



OFFICE OF THE VICE PROVOST --
ACADEMIC PERSONNEL

OFFICE OF THE PRESIDENT
1111 Franklin Street, 11th Floor
Oakland, California 94607-5200

March 24, 2017

CHANCELLORS
LABORATORY DIRECTOR WITHERELL
ACADEMIC COUNCIL CHAIR CHALFANT
ANR VICE PRESIDENT HUMISTON

**Re: Systemwide Review of Proposed Revised Academic Personnel Manual (APM)
Section 285, Lecturer with Security of Employment Series;
Section 210-3, Instructions to Review Committees Which Advise on Actions Concerning the
Lecturer with Security of Employment Series;
Section 133, Limitation on Total Period of Service with Certain Academic Titles;
Section 740, Leaves of Absence/Sabbatical Leaves**

Dear Colleagues:

Enclosed for Systemwide Review are proposed revisions to the Academic Personnel Manual as follows:

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

Background

To ensure that campuses have a range of well-defined faculty title series to meet UC's missions of research, teaching, and service, several working groups of faculty and academic administrators have developed revised policy that would clarify the important role played by faculty in the LSOE series. As do faculty in the professorial series, current LSOE faculty have responsibilities in teaching, scholarly activity, and service. Changes proposed here acknowledge that congruence of the two title series through a recommended title change; other recommendations also bring the series more in line with the professorial series, while clarifying the differences in responsibilities and review criteria.

Comprehensive review of the Lecturer with Security of Employment (LSOE) Series began in 2014 when an Academic Affairs/Academic Personnel Vice Provost LSOE Subcommittee identified the major areas of policy requiring revision, beginning with title and privileges, Senate membership, eligibility for sabbatical leave, salary scale, normative time to advancement, academic and workload expectations, and guidelines for the process of evaluating appointments and promotions. The Subcommittee report, submitted in January 2015, recommended that the policies be revised to more accurately reflect the requirements for advancement in the series and make hiring, evaluation, and promotion practices more consistent across the UC system. In the fall of 2015, a new LSOE Senate-Administration Work Group began reviewing the issues identified by the Subcommittee and developed recommendations for each of the issues in a February 2016 report to me. An Academic Personnel and Programs LSOE Work Group used the February 2016 report and recommendations as a guide to draft proposed revisions to the policies, which were circulated for Management Consultation from October to December 2016.

Current LSOE Population

With the rise in undergraduate student numbers and increased teaching obligations, campuses are relying more on faculty in the LSOE titles (currently Lecturer/Senior Lecturer with Security of Employment or Lecturer/Senior Lecturer with Potential Security of Employment). Numbers have increased from 124 in 2006 to 274 in 2016, distributed among the campuses and in various disciplines as detailed in Tables 1 and 2.

Table 1. Numbers of faculty in the LSOE title series at UC (October 2016)

Campus	Lecturer with Potential for Security of Employment	Lecturer with Security of Employment	Senior Lecturer with Potential for Security of Employment	Senior Lecturer with Security of Employment	Total LSOE
BK	3	6	0	10	19
DV	22	5	0	11	38
IR	26	15	2	30	73
LA	2	1	0	5	8
MC	8	5	0	1	14
RV	9	4	0	0	13
SD	17	31	0	9	57
SF*	0	0	0	0	0
SB	7	12	0	18	37
SC	3	6	0	6	15
Total	97	85	2	90	274

Source: October 2016 Corporate Personnel System Snapshot

*UCSF fulfills teaching needs through the use of other faculty series, such as Professor of Clinical (e.g., *Medicine*), Professor in Residence, and the Health Sciences Clinical Professor series, in part, due to the necessary focus on clinical teaching requirements and, in part, due to fund source issues.

Table 2. Number of faculty in the LSOE title series, by discipline at UC (October 2016)

Discipline	Number
Arts and Humanities	63
Computer Sciences, Math and Engineering	55
Education	11
Health Sciences	5
Life Sciences	40
Physical Sciences	38
Professional Fields	28
Social Sciences and Psychology	34
Total	274

Source: October 2016 Corporate Personnel System Snapshot

Key Policy Revisions

Systemwide review includes key revisions as detailed here:

Academic Expectations and Evaluation. The description and criteria for teaching have been enhanced and include expectations for teaching excellence, student learning, and innovation. The criterion for “Professional Achievement and Activity” has been retitled “Professional and Scholarly Achievement and Activity,” and the policy contains additional detail on expectations and documentation.

Title. The recommended title is “Teaching Professor.” Inclusion of “Professor” in the title is consistent with the professional and scholarly achievement and activity requirement for appointment or promotion in this series. Currently, campuses are using a variety of working titles for faculty in these titles, including “Teaching Professor” and “Clinical Professor.” The proposed title would also eliminate the confusion with the AFT/Non-Senate Faculty “Lecturer.”

Security of Employment (SOE). The concept and privileges related to “security of employment,” as defined in Regents policy, remain in place and are similar to tenure. Similar to the Professor series, the eight-year limit on service before promotion applies to the Assistant Teaching Professor title. Security of employment is awarded at the associate and professor ranks.

Sabbatical. Current campus practices often allow LSOE appointees leave with pay in lieu of sabbatical. Revisions to policy will allow Teaching Professors eligibility for sabbatical using the same guidelines governing sabbatical for ladder-rank faculty. Teaching Professors will then be able to engage in intensive programs of study in order to be more effective teachers and scholars, with the goal of enhancing their teaching and scholarly responsibilities.

Limits on use of title. Revisions also include the proposal that with the policy changes, the Chancellor, in consultation with the Senate, may establish a quota on the number of appointments in this series at the campus, school, or departmental level.

Other related policy revisions. Proposed revisions to APM - 133 and APM - 740, which are a part of this review, ensure that appropriate policies are in place to support proposed changes to APM - 285.

Implementation

The UC Office of the President will coordinate a consistent set of principles and a detailed implementation plan when the new policies are issued. The principles will be based on specific assumptions, primarily, that new APM - 285 and new APM - 210-3 will replace the current policies. The policies are written broadly enough to serve current and future faculty so that those holding LSOE titles can transfer to the new titles under the revised policies. Campuses will have the latitude to extend the current criteria to an individual faculty member, if needed; campuses will have up to one year to implement transition plans and procedures.

Compensation and Salary Scale. Should the policy provisions be approved, Academic Personnel and Programs--in consultation with the Senate and administration--will coordinate development of new salary scales for the proposed new titles, operating under several principles: 1) the steps and advancement periods for Teaching Professors should be similar to those for the Professor series, 2) advancement from steps V to VI and IX to Above-Scale require overall career reviews modeled on criteria established for the Professor series, 3) no current LSOE salaries will be reduced in the transition, and 4) campuses will transfer current LSOEs to the step system based on years of experience and the title mapping model shown below in Table 3. The scales will be issued by the UC Provost and Executive Vice President; and, campuses will have up to one year after the policies are issued to transfer faculty to the new scales.

Table 3. Proposed Title Mapping

Current Title*	New Title
Lecturer with Potential for Security of Employment**	Assistant Teaching Professor
Lecturer with Security of Employment	Associate Teaching Professor
Senior Lecturer with Security of Employment	Teaching Professor

*Currently, there are two appointees holding the Senior Lecturer with Potential Security of Employment title. Special transition plans will be created for any such incumbents when the policies are implemented.

**The Lecturer with Potential Security of Employment series with an appointment of less than 51 percent time will continue to be covered by the terms and conditions of the Unit 18 collective bargaining agreement.

Systemwide Review

Systemwide Review is a public review distributed to the Chancellors, the Director of the Lawrence Berkeley National Laboratory, the Chair of the Academic Council, and the Vice President of Agriculture and Natural Resources requesting that they inform the general University community, especially affected employees, about policy proposals. Systemwide Review also includes a mandatory, three-month full Senate review. Employees should be afforded the opportunity to review and comment on the draft policy, available online at <http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>. Attached is a Model Communication which may be used to inform non-exclusively represented employees about these proposals. The Labor Relations Office at the Office of the President is responsible for informing the bargaining units representing union membership about policy proposals.

We would appreciate receiving your comments no later than **June 30, 2017**. Please submit your comments to ADV-VPCARLSON-SA@ucop.edu. If you have other comments or questions, please contact Janet Lockwood at Janet.Lockwood@ucop.edu or (510) 987-9499.

Sincerely,



Susan Carlson
Vice Provost
Academic Personnel and Programs

- Enclosures:
- Proposed Revised Draft APM - 285, Lecturer with Security of Employment Series (redline and clean copy)
 - Proposed Revised Draft APM - 210-3, Instructions to Review Committees Which Advise on Actions Concerning the Lecturer with Security of Employment Series (redline and clean copy)
 - Proposed Revised Draft APM - 133, Limitation on Total Period of Service with Certain Academic Titles (redline and clean copy)
 - Proposed Revised Draft APM - 740, Leaves of Absence/Sabbatical Leaves (redline and clean copy)
 - Model Communication

- cc: President Napolitano
Provost and Executive Vice President Dorr
Executive Vice Chancellors/Provosts
Executive Vice President Nava
Vice President Duckett

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Vice President Ellis
Vice Provosts/Vice Chancellors of Academic Affairs/Personnel
LSOE Senate-Administration Work Group
Chief of Staff Grossman
Deputy/UCOP Compliance Officer Lane
Academic Personnel Directors
Deputy General Counsel Woodall
Executive Director Baxter
Executive Director Peterson
Director Chester
Chief of Staff and Director Henderson
Director Lee
Director Lockwood
Manager Donnelly
Manager Smith
Academic HR Manager Jordan
HR Manager Ramorino
Policy and Compensation Analyst Potts

285-0 **Policy**

- a. The Teaching Professor titles that have or lead to security of employment are faculty positions designed to meet the long-term instructional needs of the University that cannot be best fulfilled by an appointee in the ladder-rank professorial series.
- b. The Teaching Professor series replaces the Lecturer with Security of Employment series. Regents' policies and policies within the Academic Personnel Manual that use the Lecturer with Security of Employment series name and titles are understood to apply to the newly named Teaching Professor series and titles.
- c. A budgeted FTE must be allocated for any full-time appointment in this series. Should the Chancellor approve a less than 100 percent appointment, a portion of a budgeted FTE equal to the percent time appointment must be allocated. See APM - 285-16-b for more information on part-time appointments.

285-4 **Definition**

- a. The Teaching Professor series is used for appointees who are members of the faculty of an academic or professional college, school, division, department, or program of the University who have instructional and University and public

service responsibilities and engage in professional and scholarly activities,
especially as they relate to instruction and pedagogy.

- b. An appointee in this series will regularly carry a heavier load of teaching than will appointees in the professorial series.

285-8 **Titles**

Titles in the Teaching Professor series are:

- (1) Assistant Teaching Professor
- (2) Associate Teaching Professor
- (3) Teaching Professor

- b. An *appointment* (as distinguished from a promotion or reappointment) occurs when a person is employed in one of the three ranks above, if the individual's immediately previous status was:

- (1) not in the employ of the University;
- (2) in the employ of the University but not with a title in this series; or
- (3) in the employ of the University in the same title but at a different campus.

- c. A *promotion* is advancement from one rank to a higher rank within the Teaching Professor series.

- d. A *merit increase* is advancement in salary rate and step without change of rank (see APM - 610, Salary Increases).

- e. A *reappointment* is the renewal of an Assistant Teaching Professor appointment immediately following the end date of a previous appointment (i.e., without a break in service). A reappointment may or may not be accompanied by a merit increase.

285-10 **Criteria**

- a. A candidate for appointment, merit increase, or promotion in this series shall be evaluated by the following three criteria:

(1) Teaching excellence and innovation

(2) Professional and scholarly achievement and activity

(3) University and public service

These criteria are further explained in APM - 210-3, *Instructions to Review Committees That Advise on Actions Concerning the Teaching Professor Series*.

- b. Change of series from the Professor series to the Teaching Professor series

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

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

285-16 Restrictions

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

- a. In order to maintain an appropriate balance between education, research, and service, the Chancellor, in consultation with the Senate, may establish a quota on the number of appointments in this series. If so desired, a quota may be set for each school or department.
- b. Normally, an appointment to this series is for 100 percent service to the University.

- c. Security of employment may be granted only for an appointment at 51 percent or more time unless the Chancellor, whose authority may not be redelegated, approves the appointment by special exception.
- d. An initial appointment less than 100 percent and more than 51 percent time with a title in this series, or a subsequent permanent reduction in the percent time of an appointment, may be authorized under exceptional circumstances, provided the Chancellor specifically approves the arrangement as being in the best interests of the University based on the particular situation.

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

- (1) An appointment of 51 percent or more time carries membership in the Academic Senate (see Regents Standing Order 105.1);
 - (2) There are no implied rights to current or future full-time security of employment and the only security of employment granted with this appointment is at the agreed upon percentage; and
 - (3) Workload expectations are based on the specified percentage of time of the appointment.
- e. Appointment and advancement of a part-time appointee shall depend on the quality of performance in teaching excellence and innovation, professional and scholarly achievement and activity, and service; expectations for the quantity of

performance shall depend on the percentage of time of the appointment. In all cases, when an appointee is considering a part-time appointment, or a temporary reduction in the percentage of time of an appointment, the terms of the appointment and the expectations for productivity shall be discussed by the dean, department chair and the appointee at the outset and documented in a memorandum of understanding for advancement.

- f. When there has been a review of an Assistant Professor in the Professorial series, Assistant Professor in Residence, Assistant Professor of Clinical (e.g. *Medicine*) or Assistant Teaching Professor and the Chancellor has decided not to continue the individual's appointment in that series, the individual may not be appointed on any campus to certain faculty titles for a period of five years as set forth in APM - 133, Appendix A and also APM - 133-0-a(3) and b(3).

285-17 **Terms of Service--Appointment Review**

- a. Assistant Teaching Professor

- (1) Term of Appointment

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

- (2) Appointment for Less Than Two Years

The appointment or reappointment of an Assistant Teaching Professor may be for a period of less than two years only under the following circumstances:

- (a) An appointment or reappointment with an effective date other than July 1 shall end typically on the second June 30th following the appointment or reappointment.
- (b) A promotion or merit increase may become effective on July 1 before the end of a two-year term, but such advancement shall mark the beginning of a new term of appointment.
- (c) Consistent with the eight-year limit, a terminal appointment for an Assistant Teaching Professor may be for a period of less than two years provided adequate notice has been given, per APM - 285-17-a(45).

(3) Advancement

An appointee holding the title Assistant Teaching Professor is eligible for reappointment, merit increase, and promotion based on careful reviews of the appointee's progress and achievement.

(4) Notice for Non-Renewal of Appointment

When an appointment as an Assistant Teaching Professor is not to be renewed, written notice shall be given by the Chancellor prior to the expiration date in accordance with the schedule below.

- (a) With less than one year of service as an Assistant Teaching Professor by the end of the current period of appointment: at least a four-month notice.
 - (b) With at least one complete year of service and not more than two years of service as an Assistant Teaching Professor by the end of the current period of appointment: at least a six-month notice.
 - (c) With more than two years of service as an Assistant Teaching Professor by the end of the current period of appointment: at least a twelve-month notice.
- (5) Termination Before the End of the Appointment Period

Termination of the appointment of an Assistant Teaching Professor before the expiration of the appointment shall be only for good cause, after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate, in accordance with Regents Standing Order 103.10 and Senate Bylaw 337.

b. Associate Teaching Professor and Teaching Professor

All appointments and promotions to the ranks of Associate Teaching Professor and Teaching Professor shall continue until terminated by resignation, retirement, or dismissal. An appointment with security of employment shall not be terminated except for good cause after the opportunity for a hearing before

the properly constituted advisory committee of the Academic Senate per

Regents Standing Order 103.10 and in accordance with Senate Bylaw 337.

285-18 **Salary**

The Office of the President publishes a salary scale for this series.

a. Normal Periods of Service

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

- (1) For an Assistant Teaching Professor, the total period of University service in the title Assistant Teaching Professor or in this and certain other titles

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(see APM - 133-0) shall not exceed eight years, except as provided in APM - 133-12. The normal period of service at a given step in this rank is two years.

(2) For an Associate Teaching Professor , the normal period of service in the Associate rank is six years. The normal period of service at step is two years in each of the first three steps. Service at Steps IV and V is three years in each step.

(3) For a Teaching Professor , the normal period of service at step is three years in each of the first four steps. Service at Step V and above may be of indefinite duration. Advancement to Step VI usually will not occur after less than three years of service at Step V. This involves an overall career review and will be granted on evidence of sustained and continuing excellence in each of the following three categories: (1) effective and innovative teaching; (2) professional and scholarly achievement and activity; and (3) University and public service. Above and beyond that, great distinction, recognized nationally, will be required in contributions to pedagogy and/or scholarly or professional achievement. Advancement from Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX, will usually not occur before three years, and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.

Advancement to an Above-Scale rank involves an overall career review and is reserved only for the most highly distinguished faculty (1) whose work of

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

285-20 Conditions of Employment

- a. Full-time (51 percent or greater) Assistant Teaching Professors, Associate Teaching Professors, and Teaching Professors are members of the Academic Senate, per Regents Standing Order 105.1(a).

- b. Part-time (less than 51 percent) Assistant Teaching Professors, Associate Teaching Professors, and Teaching Professors are not members of the Academic Senate.
- c. An appointee to this series may be assigned to teach courses at any level.
- d. An appointee with a title in this series is eligible to apply for sabbatical leave (see APM - 740).

285-24 Authority

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

- a. Assistant Teaching Professor
The Chancellor, after appropriate review (see APM - 220-82).
- b. Associate Teaching Professor
The Chancellor, after appropriate review (see APM - 220-85).
- c. Teaching Professor
The Chancellor, after appropriate review (see APM - 220-85).
- d. The Chancellor, after appropriate review, has authority to approve salaries up to and including the Indexed Compensation Level (ICL).

- e. The Provost and Executive Vice President for Academic Affairs has authority to approve salaries exceeding the ICL threshold. See APM - 220-85.

285-80 **Review Procedures**

The Chancellor, in consultation with the Committee on Academic Personnel, may develop local review procedures for the Teaching Professor series. Campus procedures for review and advancement shall be modeled on the general pattern of the review process for members of the ladder-rank professorial series (see APM - 220-80).

285-95 **Letters of Invitation and Notification**

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

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285-0 Policy

- a. ~~Lecturer~~The Teaching Professor titles ~~which~~that have or lead to security of employment are faculty positions designed to meet the long-term instructional needs of the University ~~which~~that cannot be best fulfilled by an appointee in the ~~regular~~ladder-rank professorial series.
- b. The Teaching Professor series replaces the Lecturer with Security of Employment series. Regents' policies and policies within the Academic Personnel Manual that use the Lecturer with Security of Employment series name and titles are understood to apply to the newly named Teaching Professor series and titles.
- c. A budgeted FTE must be allocated for any ~~appointee in this series~~full-time appointment in this series. Should the Chancellor approve a less than 100 percent appointment, a portion of a budgeted FTE equal to the percent time appointment must be allocated. See APM - 285-16-b for more information on part-time appointments.

285-4 Definition

- a. ~~These titles are assigned to individuals who engage in teaching, professional activities.~~The Teaching Professor series is used for appointees who are members of the faculty of an academic or professional college, school, division, department, or program of the University who have instructional and University and public service responsibilities and engage in professional and scholarly activities, especially as they relate to instruction and pedagogy.
- b. ~~The Lecturer with Security of Employment series should not be confused with Regents' Lecturer (see APM 290), or with Lecturer and Senior Lecturer~~

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~~(see Memorandum of Understanding: Non-Senate Instructional Unit).~~

- c. An appointee in this series will regularly carry a heavier load of teaching than will appointees in the professorial series.

285-8 **Titles**

- a. Titles in the ~~Lecturer with Security of Employment~~Teaching Professor series are:

(1) Assistant Teaching Professor

(2) Associate Teaching Professor

(3) Teaching Professor

- b. An appointment (as distinguished from a promotion or reappointment) occurs when a person is employed in one of the three ranks above, if the individual's immediately previous status was:

(1) ~~Lecturer with Potential for Security of Employment (PSOE)~~not in the employ of the University;

(2) ~~Senior Lecturer with Potential for Security of Employment (PSOE)~~in the employ of the University but not with a title in this series; or

(3) ~~Lecturer with Security of Employment (SOE)~~in the employ of the University in the same title but at a different campus.

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- e. ~~Senior Lecturer with Security of Employment (SOE)~~
- c. A promotion is ~~an~~ advancement from one rank to a higher rank within the ~~Lecturer SOE~~ Teaching Professor series.
- d. A merit increase is advancement in salary rate and step without change of rank (see APM - 610, Salary Increases).

~~Upon promotion, a Lecturer PSOE becomes a Lecturer SOE, and a Senior Lecturer PSOE becomes a Senior Lecturer SOE. A Lecturer SOE may be promoted to Senior Lecturer SOE.~~

~~A Lecturer PSOE and a Senior Lecturer PSOE have appointments with~~

- e. ~~specific end dates. The term~~ A reappointment means is the renewal of an Assistant Teaching Professor appointment immediately following the end date of a previous appointment ~~in this series. (i.e., without a break in service).~~ A reappointment may or may not be accompanied by a ~~promotion or a~~ merit increase.

285-9 **Criteria**

- a. A candidate for appointment, merit increase, or promotion in this series shall be ~~judged~~ evaluated by ~~achievements in~~ the following ~~areas:~~ teaching, professional ~~three criteria:~~
 - (1) Teaching excellence and innovation
 - (2) Professional and scholarly achievement and activity, ~~and~~

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(3) University and public service-

~~Criteria for examining achievement in these areas are set forth in APM—210-3, Instructions to Review Committees Which Advise on Actions Concerning the Lecturer with Security of Employment (SOE) Series. These criteria are further explained in APM - 210-3, Instructions to Review Committees That Advise on Actions Concerning the Teaching Professor Series.~~

~~The title Senior Lecturer with Potential for Security of Employment (PSOE) or Senior Lecturer with Security of Employment (SOE) may be assigned to an appointee who provides services of exceptional value to the University and whose excellent teaching and professional accomplishments have made him or her a recognized leader in his or her professional field and/or in education.~~

- ~~f. Appointment and advancement of a part-time appointee with a title in this series shall depend on the quality of performance at a level of distinction comparable to that demanded of a full-time appointee; however, when circumstances warrant, a lesser rate of professional achievement and activity will be acceptable.— Teaching assignments and departmental, committee, and other service should be in proportion to the percentage of time of the position, but the same quality of performance is expected as for a full-time appointee.~~
- ~~g. Transfer~~

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~~Lecturer with Security of Employment Series~~

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- b. ~~Change of appointees in the regular professorial series from the Professor series~~
to the ~~Lecturer SOE series.~~ Teaching Professor series

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

~~(1) —~~

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

- ~~h. — When there has been a review of a Lecturer PSOE or Senior Lecturer PSOE and the Chancellor has decided not to continue the individual's appointment in that series, the individual may not subsequently be appointed on any campus to certain faculty titles for a period of five years. For a list of these faculty titles, see APM — 133, Appendix A. (See also APM — 133-0 b(3).) —~~

285-16 **Restrictions**

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

a. In order to maintain an appropriate balance between education, research, and service, the Chancellor, in consultation with the Senate, may establish a quota on the number of appointments in this series. If so desired, a quota may be set for each school or department.

~~a-b.~~ Normally, an appointment to this series is for ~~full-time~~ 100 percent service to the University.

c. Security of employment may be granted only for an appointment at 51 percent or more than half-time unless the Chancellor, whose authority may not be redelegated, approves the appointment by special exception. (See Regents' Standing Order 103.10.)

d. An initial appointment for less than full-time service 100 percent and more than 51 percent time with a title in this series, or a subsequent permanent reduction in the percent time of an appointment, may be authorized under appropriate exceptional circumstances, provided the Chancellor specifically approves the arrangement as being in the best interests of the University based on the particular situation. Ordinarily, such part-time appointments will be limited to cases in which the appointee's professional commitment is to the

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~~University. In the rare case that a part-time appointee has a professional commitment other than to the University, the Chancellor must be assured that~~

~~A memorandum of understanding between the Chancellor and the part-time appointee will be able to fulfill all the obligations entailed in the University appointment. shall be signed by both parties, to clarify the following:~~

~~In the future, the Chancellor is not obligated to increase the percentage of any part-time appointment, even if the appointee and/or the department request such an increase.~~

- (1) ~~An appointment of 51 percent or more time carries membership in the Academic Senate (see Regents Standing Order 105.1);~~

~~The appointee shall execute a written agreement that the security of employment status and other conditions of the appointment as described below are limited to the specified percentage of time. The agreement shall be set forth in a letter from the Chancellor advising the individual that the part-time appointment does not imply any future right to a full-time appointment with security of employment. The letter should also state that the rate at which credit for University service accrues for University retirement benefits may likewise be affected. The individual must sign and return a copy of such letter to indicate consent.~~

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- (2) There are no implied rights to current or future full-time security of employment and the only security of employment granted with this appointment is at the agreed upon percentage; and

~~A voluntary permanent reduction in the~~

- (3) Workload expectations are based on the specified percentage of time of the appointment shall be subject to the same restrictions as stipulated above for an initial part-time appointment.—

~~i.h. Promotions, merit increases, and reappointments may be made only within the limits of supporting funds.~~

e. Appointment and advancement of a part-time appointee shall depend on the quality of performance in teaching excellence and innovation, professional and scholarly achievement and activity, and service; expectations for the quantity of performance shall depend on the percentage of time of the appointment. In all cases, when an appointee is considering a part-time appointment, or a temporary reduction in the percentage of time of an appointment, the terms of the appointment and the expectations for productivity shall be discussed by the dean, department chair and the appointee at the outset and documented in a memorandum of understanding for advancement.

f. When there has been a review of an Assistant Professor in the Professorial series, Assistant Professor in Residence, Assistant Professor of Clinical (e.g.

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~~Medicine) or Assistant Teaching Professor and the Chancellor has decided not to continue the individual's appointment in that series, the individual may not be appointed on any campus to certain faculty titles for a period of five years as set forth in APM - 133, Appendix A and also APM - 133-0-a(3) and b(3).~~

~~j-i. A registered student or candidate for a higher degree at the University of California is not eligible for appointment to a title in this series.—~~

285-17 ~~Terms of Service—Appointment~~Service--Appointment Review

a. ~~Lecturer with Potential for Security of Employment (PSOE) and Senior Lecturer with Potential Security of Employment (PSOE)~~ Assistant Teaching Professor

(1) Term of Appointment

Each appointment and reappointment is limited to a maximum term of two years. The total University service with this ~~and~~title in combination with certain other titles may not exceed eight years, in accordance with APM - 133-0-b ~~and Regents' Standing Order 103.10 which provides: "...a Lecturer—Potential Security of Employment or Senior Lecturer—Potential Security of Employment appointed at more than half time who has completed eight years of service in that title, or in that title in combination with other titles as established by the President, shall not be continued in that title after the eighth year unless given appointment with security of employment."~~

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(5) ~~Effective Date of Appointment~~

~~Rules concerning the effective date of appointments shall be as stipulated in APM—200-17; normally an appointment period will coincide with the University's fiscal year of July 1 through June 30.~~

(32) Appointment for Less Than Two Years

The appointment or reappointment of ~~a Lecturer PSOE or Senior~~
~~Lecturer PSOE~~ an Assistant Teaching Professor may be for a period of less than two years only under the following circumstances:

(a) An appointment or reappointment with an effective date other than July 1 shall end ~~normally~~ typically on the second June 30th following the appointment or reappointment.

(b) A promotion or merit increase may become effective on July 1 before the end of a two-year term, but such advancement shall mark the beginning of a new term of appointment.

(c) ~~A~~ Consistent with the eight-year limit, a terminal appointment for a ~~Lecturer PSOE or Senior Lecturer PSOE~~ an Assistant Teaching Professor may be for a period of less than two years provided adequate notice has been given, ~~as stipulated in~~ per APM - 285-17-a(~~545~~).

(43) Advancement

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An appointee holding the title ~~Lecturer PSOE or Senior Lecturer PSOE~~Assistant Teaching Professor is eligible for reappointment, merit increase, and promotion.—~~Decisions about reappointment, merit increase, and promotion of the appointee are~~ based on careful reviews of the appointee's progress, ~~promise,~~ and achievement, ~~and may be affected by fiscal and programmatic considerations.~~

(4) Notice for Non-Renewal of Appointment

When an appointment as ~~a Lecturer PSOE or Senior Lecturer PSOE is~~an Assistant Teaching Professor is not to be renewed, written notice shall be given by the Chancellor ~~in advance of~~prior to the expiration date in accordance with the schedule below. ~~Pay in lieu of notice may be authorized by the Chancellor.~~

(a) With less than one year of service as ~~a Lecturer PSOE or Senior Lecturer PSOE~~an Assistant Teaching Professor by the end of the current period of appointment: at least a four-month notice.

(b) With at least one complete year of service and not more than two years of service as ~~a Lecturer PSOE or Senior Lecturer PSOE~~an Assistant Teaching Professor by the end of the current period of appointment: at least a six-month notice.

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- (c) With more than two years of service as ~~a Lecturer PSOE or Senior Lecturer PSOE~~ an Assistant Teaching Professor by the end of the current period of appointment: at least a twelve-month notice.

(65) Termination Before the End of the Appointment Period

Termination of the appointment of ~~a Lecturer PSOE or Senior Lecturer PSOE~~ an Assistant Teaching Professor before the expiration of the appointment shall be only for good cause, after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate, in accordance with Regents Standing Order 103.10 and Senate Bylaw 337.

~~b. Lecturer with Security of Employment (SOE) and Senior Lecturer with Security of Employment (SOE)~~ Associate Teaching Professor and Teaching Professor

All appointments and promotions to the ranks of ~~Lecturer SOE and Senior Lecturer SOE~~ are continuous Associate Teaching Professor and Teaching Professor shall continue until terminated by resignation, retirement, or dismissal. ~~A Senior Lecturer SOE may be demoted to Lecturer SOE.~~

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~~“An appointment with security of employment shall not be terminated except for good cause after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate.” (per Regents’ Standing Order 103.10); and in accordance with Senate Bylaw 337.~~

285-18 **Salary**

The Office of the President publishes a salary ~~range~~scale for this series. ~~The rate of advancement may be more variable, and in many cases slower, than for — professorial positions.~~

a. Normal Periods of Service

The normal periods of service at rank and step in this series are shown in the published salary scales and are described below. Although these time periods indicate the usual intervals between advancements, they do not preclude more rapid advancement in the case of exceptional merit or more gradual advancement when warranted and if unrelated to an Assistant Teaching Professor’s eight-year limitation. Personnel reviews that are deferred due to stopping the clock for reasons as defined in APM - 133-17-g, -h, and-i or a family accommodation as defined in APM - 760 should be treated procedurally in the same manner as personnel reviews conducted at the usual intervals. All evidence produced during the probationary period, including the period of the extension, counts in the evaluation of the candidate’s review file. The file shall be evaluated without

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prejudice, without regard to the length of service at the assistant rank, and so stated in the department chair's letter.

(1) For an Assistant Teaching Professor, the total period of University service in the title Assistant Teaching Professor or in this and certain other titles (see APM - 133-0) shall not exceed eight years, except as provided in APM - 133-12. The normal period of service at a given step in this rank is two years.

(2) For an Associate Teaching Professor , the normal period of service in the Associate rank is six years. The normal period of service at step is two years in each of the first three steps. Service at Steps IV and V is three years in each step.

(3) For a Teaching Professor , the normal period of service at step is three years in each of the first four steps. Service at Step V and above may be of indefinite duration. Advancement to Step VI usually will not occur after less than three years of service at Step V. This involves an overall career review and will be granted on evidence of sustained and continuing excellence in each of the following three categories: (1) effective and innovative teaching; (2) professional and scholarly achievement and activity; and (3) University and public service. Above and beyond that, great distinction, recognized nationally, will be required in contributions to pedagogy and/or scholarly or professional achievement. Advancement from Step VI to Step VII, from

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Step VII to Step VIII, and from Step VIII to Step IX, will usually not occur before three years, and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.

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

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~~For a Lecturer SOE, the normal period of service before review for advancement for a merit increase is three years. The period of service in the rank of Lecturer SOE may be of indefinite duration. Promotion to Senior Lecturer SOE is not normally expected, but may occur when warranted. Review for promotion to the Senior Lecturer SOE title will normally occur only after a minimum of six years in the title of Lecturer SOE.~~

285-20 Conditions of Employment

~~Senior Lecturer SOE titles should be paid at a level no less than Professor, Step I. Normally, an appointee shall be reviewed every three years for a merit increase, until the salary is equivalent to that of Professor Step V. Service at that level and higher may be of indefinite duration, and review for advancement will not usually occur after less than four years. Senior Lecturers SOE of the highest distinction, whose work has been internationally acclaimed, are eligible for salaries above the top of the range.~~

~~285-20~~ Conditions of Employment

- a. ~~Part time Lecturers PSOE and part time Senior Lecturers PSOE are not members of the Academic Senate. Full time Lecturers PSOE and full time Senior Lecturers PSOE~~ Full-time (51 percent or greater) Assistant Teaching Professors, Associate Teaching Professors, and Teaching Professors are members of the Academic Senate, per Regents Standing Order 105.1(a).

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~~a.b. Part-time Lecturers SOE and part-time Senior Lecturers SOE (less than 51 percent) Assistant Teaching Professors, Associate Teaching Professors, and Teaching Professors are not members of the Academic Senate. Lecturers SOE and Senior Lecturers SOE who are full-time appointees are members of the Academic Senate. (See Regents' Standing Order 105.1(a).)~~

- c. An appointee to this series may be assigned to teach courses at any level.
- d. ~~Since appointment to a title in this series does not imply the responsibility of engaging in research, an appointee will be assigned a heavier instructional load than that of an appointee in the regular professorial series.~~

An appointee with a title in this series is ~~not~~ eligible to apply for sabbatical leave. ~~(see APM - 740)~~

~~a. An appointee with a title in this series is eligible for leave with pay (APM - 758) or without pay (APM - 759), when the Chancellor determines that the leave is in the interest of the University. The Chancellor may approve a leave of absence with pay for twelve months or less.~~

285-24 **Authority to Approve Appointments, Reappointments, and Promotions** ~~—~~

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

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a. Assistant Teaching Professor

The Chancellor, after appropriate review (see APM - 220-82).

b. Associate Teaching Professor

The Chancellor, after appropriate review (see APM - 220-85).

c. Teaching Professor

The Chancellor, after appropriate review (see APM - 220-85).

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

e. The Provost and Executive Vice President for Academic Affairs has authority to approve salaries exceeding the ICL threshold. See APM - 220-85.

~~For a general outline, see APM 220-24 and local campus implementing procedures.~~

285-80 **Review Procedures**

The Chancellor, in consultation with the Committee on Academic Personnel, may develop local review procedures for the ~~Lecturer with Security of Employment~~Teaching Professor series. Campus procedures for review and advancement shall be modeled on the general pattern of the review process for members of the ladder-rank professorial series. ~~See (see APM - 220-80, and 220-82 through 220-85, 80).~~

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285-95 **Letters of Invitation and Notification**

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

210-3 **Instructions to Review Committees That Advise on Actions Concerning the Teaching Professor Series**

- a. The Bylaws of The Regents provide: “No political test shall ever be considered in the appointment and promotion of any faculty member or employee.” This provision is pertinent to every stage in the process of considering appointments and advancements.
- b. The policies and procedures set forth above in APM - 210-1-a, -b, -c, and -e shall govern the committee in the confidential conduct of its review and in the preparation of its report. The committee should refer to APM - 285 for policies on the Teaching Professor series.
- c. The review committee shall evaluate the candidate with respect to the proposed rank and duties considering the record of the candidate’s performance in
 - (1) Teaching excellence and innovation,
 - (2) Professional and scholarly achievement and activity, and
 - (3) University and public service.

Superior intellectual attainment, as evidenced particularly in excellent and innovative teaching as well as in professional and scholarly achievement and activity, is an indispensable qualification for appointment or promotion to security of employment positions. Insistence on this standard for holders of the teaching

professorship is necessary for maintaining the quality of the University as an institution dedicated to education. The review committee must further evaluate whether the candidate has a record of excellence in teaching and innovation while engaging in a program of professional and scholarly activity that is both sound and productive.

When evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, and balancing, when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. Consideration should also be given to changes in professional emphasis and interest that may occur in an academic career. The review committees must take exceptional care to apply the criteria with sufficient flexibility. However, flexibility does not entail a relaxation of high standards.

The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or 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 candidate is expected to submit for the review file a presentation of his or her activity in all three areas of teaching excellence and innovation, professional and scholarly achievement and activity, and University and public service. Evidence may be relevant to evaluation of achievement in more than one category and the review committee will assign the evidence to the appropriate category. Campus guidelines may include separate requirements, expectations, or guidelines for various schools or departments. The criteria set forth below are intended to serve as guides for minimum standards by which to evaluate the candidate, not to set boundaries to exclude other elements of performance that may be considered.

(1) Teaching Excellence and Innovation

Teaching Professors are expected to maintain a continuous and current command of their disciplinary subjects while demonstrating the ability to foster an inclusive and stimulating learning environment in which students gain knowledge of the subject, engage in problem-solving, and develop their ability to apply critical thinking, evidence, and creativity.

When evaluating the effectiveness of a candidate's teaching, the committee should consider such factors as the following: command of and continuous growth in the mastery of the subject field; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge;

fostering of student curiosity, independence, commitment to high standards, and capacity to reason; guiding, mentoring, and advising students, teaching assistants, and other teachers; 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; evidence-based scholarly contributions to pedagogical and curricular development, including the development of innovative instructional units, materials, and resources; significant curricular revisions informed by current pedagogical knowledge; and introduction of innovative teaching techniques.

The committee should attend to the variety of demands placed on Teaching Professors by the types of teaching called for in various disciplines and at various levels and should evaluate the total performance of the candidate with proper reference to assigned teaching responsibilities. The committee should clearly indicate the sources of evidence on which its appraisal of teaching excellence has been based. In preparing its recommendation, the review committee should keep in mind that the report is an important record of the candidate's teaching, serving as the basis for the review committee's evaluation.

It is the responsibility of the department chair to submit meaningful evaluation, accompanied by supporting evidence, of the candidate's teaching effectiveness. The following is a broadly defined, non-exclusive list of evidence that may be presented concerning teaching criteria:

- (a) Peer review assessments from other faculty members based on knowledge in the candidate's field; class visitations; attendance at the candidate's lectures before professional societies or in public; or the performance of students who have studied with the candidate;
- (b) Evaluations or comments solicited from students in courses taught since the candidate's last review;
- (c) A term-by-term enumeration of the number and types of courses and tutorials taught since the candidate's last review including:
 - (i) the level of courses and tutorials taught;
 - (ii) the enrollments of courses and tutorials taught;
 - (iii) the percentage of student course evaluations in relation to the total number of students in each course;
 - (iv) brief explanations for abnormal course loads;
- (d) Identification of any new courses taught or of previously-taught courses for which the candidate has substantially reorganized the approach or content;
- (e) Documentation of the introduction of new substantive developments in the field or of new and effective techniques of instruction, including techniques that meet the needs of students from groups that are underrepresented in the field of instruction;
- (f) Documentation of success as a positive role model or effective mentor for students at all levels, including those serving as teaching assistants;

- (g) Results from studies conducted to measure changes in student understanding of the subject material from the beginning to the end of the course;
- (h) Written testimony from former students on the impact and effectiveness of the candidate's teaching and mentorship;
- (i) Awards or other acknowledgements of distinguished teaching;
- (j) A self-evaluation of the candidate's teaching.

Initial appointment to the Assistant Teaching Professor title requires clear evidence of the potential for teaching excellence and innovation.

Appointment or promotion to the Associate Teaching Professor title requires clear documentation of consistent and sustained excellence in effective and innovative teaching. Under no circumstances will security of employment be conferred unless there is clear documentation of consistent and sustained excellence in teaching.

Appointment or promotion to the Teaching Professor title requires evidence of consistent and sustained excellence in effective and innovative teaching beyond that demonstrated as an Associate Teaching Professor.

(2) Professional and Scholarly Achievement and Activity

Teaching Professors are expected to engage in professional and scholarly activities in pedagogy and/or in the underlying discipline leading to

evidence of achievement, leadership, and influence beyond the campus. Such intellectual influence may be documented by publications (either in print or electronic formats) demonstrating outstanding and externally recognized contributions to the development of pedagogy and/or theoretical or applied research in the discipline. Achievement and leadership in pedagogy could include development or application of innovative methods of teaching or evaluative tools to assess the impact of teaching. Contributions to the advancement of professional practice or professional education, including equitable access and diversity in education, should be evaluated in this category when they present new ideas or scholarly research. The candidate's professional activities should be evaluated for evidence of achievement and leadership in the field and development or utilization of new approaches and techniques for the solution of professional problems, including those that specifically address the professional advancement of individuals in underrepresented groups in the candidate's field.

In certain fields, such as art, architecture, dance, music, literature, and drama, distinguished creation should receive consideration as an example of professional and scholarly achievement and activity. In evaluating creative activities, 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.

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

(a) Documentation of the development of or contributions to:

- (i) original materials designed to improve learning outcomes;
 - (ii) evidence-based design and evaluation of educational curricula or pedagogy;
 - (iii) administration and evaluation of a teaching program or a learning center;
 - (iv) systematic quality improvement programs and evaluation of their implementation;
 - (v) discipline-specific information systems;
 - (vi) development and evaluation of community outreach or community-oriented programs.
- (b) First, senior, or collaborative authorship of scholarly or professional publications;
- (c) Distinguished performance, including conducting and directing;
- (d) Accepted invitations to present seminars or lectures at other institutions or before professional societies.

Initial appointment to the Assistant Teaching Professor title requires evidence or promise of productive and creative contributions to pedagogy or scholarship in the underlying discipline that would support excellent teaching.

Appointment or promotion to the Associate Teaching Professor title requires evidence that the professional and scholarly achievement and activity support excellent teaching and are recognized by peers within the University of California and externally by experts in the field.

Appointment or promotion to the Teaching Professor title requires evidence of significant distinction in pedagogy and/or in the underlying discipline that supports excellent teaching and that is externally recognized as having a broad scholarly impact.

(3) University and Public Service

The 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 which 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 at a sufficiently high quality. Examples of service include: service related to the improvement of curricula or standards in elementary and secondary education; service on thesis and dissertation committees or on student-faculty committees and service to student organizations; and contributions furthering diversity and equal opportunity within the University through participation in recruitment, retention, and mentoring of scholars and students.

Initial appointment to the Assistant Teaching Professor title requires evidence of the likelihood of participation in department activities and the potential for service to the campus.

Appointment or promotion to the Associate Teaching Professor title requires evidence of active participation on committees within the professional field, department, school, campus, or University; or of service to the public in areas directly related to the candidate's professional expertise and achievement.

Appointment or promotion to the Teaching Professor 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.

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

- a. The Bylaws of The Regents provide: “No political test shall ever be considered in the appointment and promotion of any faculty member or employee.” This provision is pertinent to every stage in the process of considering appointments and advancements.
- b. The policies and procedures set forth above in APM - 210-1-a, -b, -c, and -e, shall govern the committee in the confidential conduct of its review and in the preparation of its report. The committee should refer to APM - 285 ~~both~~ for policies ~~and procedures on appointments in the Lecturer with Security of Employment~~on the Teaching Professor series.
- c. The review committee shall ~~judge~~evaluate the candidate with respect to the proposed rank and duties considering the record of the candidate’s performance in (1) ~~teaching~~(1) Teaching excellence and innovation, (2) ~~professional~~Professional and scholarly achievement and activity, and (3) University and public service.
- Superior intellectual attainment, as evidenced particularly in excellent and innovative teaching as well as in professional and scholarly achievement and activity, is an indispensable qualification for appointment or promotion to security of*

employment positions. Insistence on this standard for holders of the teaching professorship is necessary for maintaining the quality of the University as an institution dedicated to education. The review committee must further evaluate whether the candidate has a record of excellence in teaching and innovation while engaging in a program of professional and scholarly activity that is both sound and productive.

When evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, and balancing, when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. Consideration should also be given to changes in professional emphasis and interest that may occur in an academic career. The review committees must take exceptional care to apply the criteria with sufficient flexibility. However, flexibility does not entail a relaxation of high standards.

The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or 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 candidate is expected to submit for the review file a presentation of his or her activity in all three areas of teaching excellence and innovation, professional and scholarly achievement and activity, and University and public service. Evidence may be relevant to evaluation of achievement in more than one category and the 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 ~~judge~~evaluate 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 Excellence and Innovation**

~~Teaching Professors are expected to maintain a continuous and current command of their disciplinary subjects while demonstrating the ability to foster an inclusive and stimulating learning environment in which students gain knowledge of the subject, engage in problem-solving, and develop their ability to apply critical thinking, evidence, and creativity.~~

~~—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~~When evaluating the effectiveness of a candidate's teaching, the committee should consider such ~~points~~factors as the following: ~~the candidate's~~ command of ~~the subject;~~and continuous growth in the mastery of 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 curiosity, 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, commitment to high standards, and capacity to reason; guiding, mentoring, and advising ~~of~~ students; ~~and effectiveness in,~~ teaching assistants, and other teachers; 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; evidence-based scholarly contributions to pedagogical and curricular development, including the development of innovative instructional units, materials, and resources; significant curricular revisions informed by current pedagogical knowledge; and introduction of innovative teaching techniques. The committee should ~~pay due attention~~attend to the variety of demands placed on ~~lecturers~~Teaching Professors by the types of teaching called for in various disciplines and at various levels; and should judge evaluate 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~~excellence 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~~is an important ~~means~~record of ~~informing~~ the candidate ~~of the evaluation of his or her's~~ teaching ~~and of, serving as~~ the basis for ~~that~~the review committee's evaluation.

It is the responsibility of the department chair to submit meaningful ~~statements~~evaluation, accompanied by supporting evidence, of the candidate's teaching effectiveness. ~~Among significant types~~ The following is a broadly defined, non-exclusive list of evidence ~~of that may be presented concerning~~ teaching criteria:

- (a) ~~effectiveness are the following:~~ (a) opinions of Peer review assessments from other faculty members knowledgeable based on knowledge in the candidate's field, ~~particularly if based on;~~ class visitations; ~~on;~~ attendance at public lectures ~~or the candidate's~~ lectures before professional societies given by the candidate, or ~~or in public; or~~ the performance of students in course taught by who have studied with 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:
- (b) ~~evaluations and~~ Evaluations or comments solicited from students ~~for most, if not all, in~~ courses taught since the candidate's last review; ~~(b) a quarter by quarter or semester~~
- (c) A term-by-semester term enumeration of the number and types of courses

and tutorials taught since the candidate's last review ~~which~~

~~includes~~including:

- (i) the level of courses and tutorials taught;
 - (ii) the enrollments of courses and tutorials taught;
 - (iii) the percentage of student course evaluations in relation to the total number of students in ~~the~~each course;
 - (iv) brief explanations for abnormal course loads.
- (d) ~~identification~~ Identification of any new courses taught or of ~~old~~previously-taught courses for which the candidate has substantially reorganized ~~in~~the approach or content;
- (e) ~~notice~~ Documentation of the introduction of new substantive developments in the field or of new and effective techniques of instruction, including techniques that meet the needs of students from groups that are underrepresented in the field of instruction;
- (f) Documentation of success as a positive role model or effective mentor for students at all levels, including those serving as teaching assistants;
- (g) Results from studies conducted to measure changes in student understanding of the subject material from the beginning to the end of the course;
- (h) Written testimony from former students on the impact and effectiveness of the candidate's teaching and mentorship;
- (i) ~~of any awards~~ Awards or other acknowledgements of distinguished teaching;

~~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~~

(j) A self-evaluation of the candidate's teaching.

Initial appointment to the Assistant Teaching Professor title requires clear evidence of the potential for teaching excellence and innovation.

Appointment or promotion to the Associate Teaching Professor title requires clear documentation of consistent and sustained excellence in effective and innovative teaching. Under no circumstances will security of employment be conferred unless there is clear documentation of consistent and sustained excellence in teaching.

Appointment or promotion to the Teaching Professor title requires evidence of consistent and sustained excellence in effective and innovative teaching beyond that demonstrated as an Associate Teaching Professor.

(2) Professional and Scholarly Achievement and Activity

Teaching Professors are expected to engage in professional and scholarly activities in pedagogy and/or in the underlying discipline leading to

evidence of achievement, leadership, and influence beyond the campus. Such intellectual influence may be documented by publications (either in print or electronic formats) demonstrating outstanding and externally recognized contributions to the development of pedagogy and/or theoretical or applied research in the discipline. Achievement and leadership in pedagogy could include development or application of innovative methods of teaching or evaluative tools to assess the impact of teaching. Contributions to the advancement of professional practice or professional education, including equitable access and diversity in education, should be evaluated in this category when they present new ideas or scholarly research. The candidate's professional activities should be evaluated for evidence of achievement and leadership in the field and development or utilization of new approaches and techniques for the solution of professional problems, including those that specifically address the professional advancement of individuals in underrepresented groups in the candidate's field.

In certain fields, such as art, architecture, dance, music, literature, and drama, distinguished creation should receive consideration as an example of professional and scholarly achievement and activity. In evaluating creative activities, 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.

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.

~~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~~

- (b) First, senior, or collaborative authorship of scholarly or professional publications;
- (c) Distinguished performance, including conducting and directing;
- (c) Accepted invitations to present seminars or lectures at other institutions or before professional societies.

Initial appointment to the Assistant Teaching Professor title requires evidence or promise of productive and creative contributions to pedagogy or scholarship in the underlying discipline that would support excellent teaching.

Appointment or promotion to the Associate Teaching Professor title requires evidence that the professional and scholarly achievement and activity support excellent teaching and are recognized by peers within the University of California and externally by experts in the field.

~~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.~~

Appointment or promotion to the Teaching Professor title requires evidence of significant distinction in pedagogy and/or in the underlying discipline that supports excellent teaching and that is externally recognized as having a broad scholarly impact.

~~(2)~~(3) **University and Public Service**

The review committee should evaluate ~~both~~ the quantity and ~~the~~ quality of service ~~by the candidate~~ to the department, the campus, the University, ~~and the public, paying particular attention to that service which is directly~~

~~related to the candidate's professional expertise and achievement.~~

~~Evidence of suitability for promotion may be demonstrated in services to the community, state, and nation, both in and the public (whether to the local community, state, or nation). Service which is directly related to the candidate's special capacities as a teacher and professional expertise and achievement is of special relevance but so too is service in areas beyond those special capacities when the work done is at a sufficiently high level and of sufficiently high quality. Faculty Examples of service activities include: service related to the improvement of curricula or standards in elementary and secondary education represent one example of this kind of service. Similarly, contributions to student welfare through service on; service on thesis and dissertation committees or on student-faculty committees and as advisers; service to student organizations; and contributions furthering diversity and equal opportunity within the University through participation in recruitment, retention, and mentoring of scholars and students. 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.~~

Initial appointment to the Assistant Teaching Professor title requires evidence of the likelihood of participation in department activities and the potential for service to the campus.

Appointment or promotion to the Associate Teaching Professor title requires evidence of active participation on committees within the professional field, department, school, campus, or University; or of service to the public in areas directly related to the candidate's professional expertise and achievement.

Appointment or promotion to the Teaching Professor 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.

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- b. *This subsection applies to a person who holds the title Assistant Teaching Professor*

Periods of service in any combination of the following titles on any campus of the University of California count toward the eight-year limit in determining the status of an *Assistant Teaching Professor* appointed at more than 50 percent time. See Section 103.10 of the Standing Orders of The Regents.

Teaching Professor titles at more than 50 percent time

- Assistant Teaching Professor
- Acting Assistant Teaching Professor
- Acting Associate Teaching Professor
- Acting Teaching Professor

Professor series and related titles

Instructor

Assistant Professor

Acting Assistant Professor

Visiting Assistant Professor

Acting Associate Professor

Visiting Associate Professor

Acting Professor

Visiting Professor

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The following additional provisions apply:

- (1) Unless otherwise indicated in the above list, an appointment at any percentage of time including 0 percent counts toward the eight-year limit. Appointments which are 0 percent time because the appointee is on leave may be eligible for exclusion (see APM - 133-17-g). Some campuses call 0 percent appointments “without salary (WOS) appointments.”

- (2) For information on temporary transfers, changes of status, and periods of leave in regard to the computation of years of service, see APM - 133-17-g. For information on breaks in service, see APM - 133-17-e.

- (3) When there has been a review of an Assistant Teaching Professor at more than 50 percent time and the Chancellor has decided not to continue the individual's appointment in that series, the individual may not be appointed on any campus to certain faculty titles for a period of five years. For a list of these faculty titles, see APM - 133, Appendix A.

Previous years of service as Assistant Teaching Professor count toward the eight-year limit, regardless of a break in service.

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- b. *This subsection applies to a person who holds the title Assistant Teaching Professor ~~Lecturer-Potential Security of Employment or Senior Lecturer-Potential Security of Employment.~~*

~~Note: Appointees with titles of Lecturer or Senior Lecturer who do not have the potential for security of employment are not subject to this eight-year limit. Other limitations of service, however, may apply. Please consult your Academic Personnel office.~~

Periods of service in any combination of the following titles on any campus of the University of California count toward the eight-year limit in determining the status of an Assistant Teaching Professor ~~Lecturer-Potential Security of Employment (PSOE) or Senior Lecturer-Potential Security of Employment (PSOE)~~ appointed at more than 50 percent time. See Section 103.10 of the Standing Orders of The Regents.

GENERAL UNIVERSITY POLICY
REGARDING ACADEMIC APPOINTEES

APM - 133
DRAFT

Limitation on Total Period of Service with Certain Academic Titles

Teaching Professor ~~Lecturer~~ titles at more than 50 percent time

~~Lecturer~~

~~Senior Lecturer~~

Assistant Teaching Professor ~~Lecturer Potential Security of~~

Acting Assistant Teaching Professor

Associate Teaching Professor

Acting Associate Teaching Professor

Acting Teaching Professor

~~Employment~~

~~Senior Lecturer Potential Security of Employment~~

Professor series and related titles

Instructor

Assistant Professor

Acting Assistant Professor

Visiting Assistant Professor

Acting Associate Professor

Visiting Associate Professor

Acting Professor

Visiting Professor

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The following additional provisions apply:

- (1) Unless otherwise indicated in the above list, an appointment at any percentage of time including 0 percent counts toward the eight-year limit. Appointments which are 0 percent time because the appointee is on leave may be eligible for exclusion (see APM - 133-17-g). Some campuses call 0 percent appointments “without salary (WOS) appointments.”
- (2) For information on temporary transfers, changes of status, and periods of leave in regard to the computation of years of service, see APM - 133-17-g. For information on breaks in service, see APM - 133-17-e.
- (3) When there has been a review of an ~~Assistant Teaching Professor Lecturer~~ ~~PSOE or Senior Lecturer PSOE~~ at more than 50 percent time and the Chancellor has decided not to continue the individual’s appointment in that series, the individual may not be appointed on any campus to certain faculty titles for a period of five years. For a list of these faculty titles, see APM - 133, Appendix A.

~~Previous Y years of service are calculated over a lifetime on any campus. For example, an individual who previously served as Assistant Teaching Professor count toward the eight-year limit, regardless of a Lecturer PSOE and who is appointed as a Lecturer PSOE on another campus after a break in service of five years, will have previous years of service “on the clock” (APM ~~133-17-e~~).~~

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740-8 **Types**

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- b. Sabbatical leave in residence at the University may be granted to a faculty member who is eligible for a regular sabbatical and who, in addition to a program of research and/or study, will teach at the University of California. Appointees in the Professorial series shall teach one class which meets regularly at least three hours each week during each term of the sabbatical period or will perform an equivalent amount of instructional service in a course or in a clinical setting regarded as essential to the program of that campus. Appointees in the Teaching Professor series shall teach a reduced load based on overall teaching workload. A faculty member on sabbatical leave in residence who meets this teaching requirement shall be freed from all other teaching obligations and from all committee and administrative work.

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740-11 **Qualifying Service**

Credit toward eligibility to apply for sabbatical leave is earned only by service in the University under the following conditions:

- a. Subject to the provisions of APM - 740-11-d through 740-11-i, credit toward eligibility to apply for sabbatical leave is accrued by an academic appointee for each full quarter or semester of half-time or more service in one or more of the following titles:
- (1) Professor, Associate Professor, Assistant Professor, Instructor, Acting Professor in a law school
 - (2) Teaching Professor, Associate Teaching Professor, Assistant Teaching Professor
 - (3) Astronomer, Associate Astronomer, Assistant Astronomer, Junior Astronomer
 - (4) Agronomist, Associate Agronomist, Assistant Agronomist, Junior Agronomist, and other comparable titles in the Agricultural Experiment Stations, but not including the Specialist series in the Agricultural Experiment Stations
 - (5) Cooperative Extension Advisor, Associate Cooperative Extension Advisor, Assistant Cooperative Extension Advisor
 - (6) Specialist in Cooperative Extension, Associate Specialist in Cooperative Extension, Assistant Specialist in Cooperative Extension

- (7) Supervisor, Associate Supervisor, Assistant Supervisor, Junior Supervisor in Physical
Education

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740-8 **Types**

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- b. Sabbatical leave in residence at the University may be granted to a faculty member who is eligible for a regular sabbatical and who, in addition to a program of research and/or study, will teach at the University of California, home campus or another U.C. campus. ~~The faculty member~~ Appointees in the Professorial series shall teach one class which meets regularly at least three hours each week during each term of the sabbatical period or will perform an equivalent amount of instructional service in a course or in a clinical setting regarded as essential to the program of that campus.
Appointees in the Teaching Professor series shall teach a reduced load based on overall teaching workload. A faculty member on sabbatical leave in residence who meets this teaching requirement shall be freed from all other teaching obligations and from all committee and administrative work.

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740-11 **Qualifying Service**

Credit toward eligibility to apply for sabbatical leave is earned only by service in the University under the following conditions:

- a. Subject to the provisions of APM - 740-11-d through 740-11-i, credit toward eligibility to apply for sabbatical leave is accrued by an academic appointee for each full quarter or semester of half-time or more service in one or more of the following titles:

(1) Professor, Associate Professor, Assistant Professor, Instructor, ~~and~~ Acting Professor
in a law school

~~(1)~~(2) Teaching Professor, Associate Teaching Professor, Assistant Teaching Professor

~~(2)~~(3) _____ Astronomer, Associate Astronomer, Assistant Astronomer,
Junior Astronomer

~~(3)~~(4) _____ Agronomist, Associate Agronomist, Assistant Agronomist, Junior Agronomist,
and other comparable titles in the Agricultural Experiment Stations, but not including
the Specialist series in the Agricultural Experiment Stations

BENEFITS AND PRIVILEGES

APM - 740

Leaves of Absence/Sabbatical Leaves

DRAFT

~~(4)~~(5) Cooperative Extension Advisor, Associate Cooperative Extension Advisor,
Assistant Cooperative Extension Advisor

~~(5)~~(6) Specialist in Cooperative Extension, Associate Specialist in Cooperative
Extension, Assistant Specialist in Cooperative Extension

~~(6)~~(7) Supervisor, Associate Supervisor, Assistant Supervisor, ~~Junior Supervisor~~Junior
Supervisor in Physical Education

MODEL COMMUNICATION

The University invites comments on Proposed Revised Academic Personnel Manual Sections:

- 285, Lecturer with Security of Employment Series (APM - 285);
- 210-3, Instructions to Review Committees That Advise on Actions Concerning the Lecturer with Security of Employment Series (APM - 210-3);
- 133-0-B, Limitation on Total Period of Service with Certain Academic Titles (APM - 133); and
- 740, Leaves of Absence/Sabbatical Leaves (APM - 740).

Proposed revisions modify language intended to make the title more accurately reflect the requirements for advancement in the series and make hiring, evaluation, and promotion practices more consistent across the UC system.

The proposal is located on the UCOP Academic Personnel and Programs website, “Policies under review”, under the “Systemwide Review” tab at <http://ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>. It also may be viewed at (*e.g., the campus Academic Personnel Office*).

If you have any questions or if you wish to comment, please contact _____ at _____, no later than _____ 2017.