



ROSS FRANK

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PROFESSOR LAWRENCE PITTS
CHAIR, ACADEMIC COUNCIL

Re: *UCAAD's Proposed Revisions to APM 210, 240 and 245*

Dear Larry:

The members of UCAAD have reviewed the comments submitted to Council and to the committee about UCAAD's proposed revisions to APM 210, 240 and 245, including those suggested by UCFW, UCORP, Peter Berck, and the UCSD and UCI divisions.

We have considered and worked to incorporate each specific suggestion about added language and the placement of that language within the APMs, and endeavored to build on areas of general agreement about issues that call for some revision, as well as the methods for addressing them. We are also pleased to have again benefited from a discussion with UCAP about suggestions for specific language included in these further revisions.

Accordingly, we offer the attached modified revisions of APM 210, 240 and 245 as requested by Council at its March 31st meeting.

Sincerely,

A handwritten signature in black ink that reads 'Ross H. Frank'.

Ross Frank
Chair, UCAAD

RF/ml

CC: UCAAD members
Academic Senate Director Bertero-Barceló

UCAAD's April 14 Revisions to APM-210-1. The language considered by the Academic Council at its March 31 meeting follows the revised text of this version.

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

Academic Personnel Manual
Appointment and Promotion
APM-210 Review and Appraisal Committees 2/1/94

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

d. Criteria for Appointment, Promotion, and Appraisal

The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in (1) teaching, (2) research and other creative work, (3) professional activity, and (4) University and public service. ~~Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.~~ [This sentence has become the last sentence of paragraph 3 under this item - d.]

In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. The review committee must judge whether the candidate is engaging in a program of work that is both sound and productive. As the University enters new fields of endeavor and refocuses its ongoing activities, cases will arise in which the proper work of faculty members departs markedly from established academic patterns. In such cases, the review committees must take exceptional care to apply the criteria with sufficient flexibility. However, flexibility does not entail a relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions. Insistence upon this standard for holders of the professorship is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and transmission of knowledge. Consideration should be given to changes in emphasis and interest that may occur in an academic career. The candidate may submit for the review file a presentation of his or her activity in all four areas.

The University of California is committed to excellence and equity in education for California's students, including those in underrepresented groups. Teaching, research and public service contributions that extend access to university education to those in underrepresented groups are to be included in the evaluation of candidate qualifications. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.

[THE PRECEDING PARAGRAPH WAS FORMERLY THE PREAMBLE. It previously read, “The University of California is committed to excellence and equity in education for California’s students in order to secure the social well-being and economic prosperity of individuals, communities, and the state. As a public land grant institution, the University of California must seek to extend access to university education broadly and equitably to all eligible California residents, including those in underrepresented groups. These values are vital to the teaching, research and public service contributions of faculty appointees to the University of California.”]

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

(1) Teaching -- Clearly demonstrated evidence of high quality in teaching is an essential criterion for appointment, advancement, or promotion. Under no circumstances will a tenure commitment be made unless there is clear documentation of ability and diligence in the teaching role. In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various underrepresented groups. [The previous version read – “..with consideration given to the candidate’s demonstrated efforts to provide a productive educational environment to all students, including those from groups that are underrepresented.”] The committee should pay due attention to the variety of demands placed on instructors by the types of teaching called for in various disciplines and at various levels, and should judge the total performance of the candidate with proper reference to assigned teaching responsibilities. The committee should clearly indicate the sources of evidence on which its appraisal of teaching competence has been based. In those exceptional cases when no such evidence is available, the candidate's potentialities as a teacher may be indicated in closely analogous activities. In preparing its recommendation, the review committee should keep in mind that a redacted copy of its report may be an important means of informing the candidate of the evaluation of his or her teaching and of the basis for that evaluation.

It is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate's teaching effectiveness at lower-division, upper-division, and graduate levels of instruction. More than one kind of evidence shall accompany each review file. Among significant types of evidence of teaching effectiveness are the following: (a) opinions of other faculty members knowledgeable in the candidate's field, particularly if based on class visitations, on attendance at public lectures or lectures before professional societies given by the candidate, or on the performance of students in courses taught by the candidate that are prerequisite to those of the informant; (b) opinions of students; (c) opinions of graduates who

have achieved notable professional success since leaving the University; (d) number and caliber of students guided in research by the candidate and of those attracted to the campus by the candidate's repute as a teacher; and (e) development of new and effective techniques of instruction, **including techniques that meet the needs of students from groups that are underrepresented in the field of instruction.** [No change.]

All cases for advancement and promotion normally will include:

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

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

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

Textbooks, reports, circulars, and similar publications normally are considered evidence of teaching ability or public service. However, contributions by faculty members to the professional literature, or to the advancement of professional practice or professional education, **including contributions to the advancement of equitable access and diversity in education,** should be judged creative work when they present new ideas or original scholarly research. [The previous version read, “..or to the advancement of the University’s commitment to delivering equitable educational access to a diverse student population, should be judged...”]

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

(3) Professional Competence and Activity -- In certain positions in the professional schools and colleges, such as architecture, business administration, dentistry, engineering, law, medicine, etc., a demonstrated distinction in the special competencies appropriate to the field and its characteristic activities should be recognized as a criterion for appointment or promotion. The candidate's professional activities should be scrutinized for evidence of achievement and leadership in the field and of demonstrated progressiveness in the development or utilization of new approaches and techniques for the solution of professional problems, including those that specifically address the professional advancement of individuals in underrepresented groups in the candidate's field. [No change.] It is the responsibility of the department chair to provide evidence that the position in question is of the type described above and that the candidate is qualified to fill it.

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

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

**Proposed Revisions To APM – 240
APPOINTMENT AND PROMOTION
Deans and Provosts**

**Rev. 8/22/96
[NO CHANGE]**

240-4 Definitions

- a. An academic Dean or Provost is head of a Division, College, School, or other similar academic unit and has administrative responsibility for that unit. This includes fiscal responsibility for the unit, [maintaining a divisional affirmative action program for faculty recruitment and retention pursuant to Federal affirmative action regulations](#), and responsibility for insuring that systemwide and local policies, including Academic Senate regulations, are observed.
- b. A Divisional Dean is head of a Division of a College, School, or other similar academic unit and has administrative responsibility for that unit. A Divisional Dean may also head an intercollege/school division.
- c. Deans of non-academic units such as student services are not covered by this policy.

240-10 Criteria for Appointment and Evaluation

Criteria for appointment and evaluation of a Dean or Provost shall be developed by each Chancellor or designee.

240-16 Restrictions

The following restrictions apply to the appointment of an academic Dean or Provost:

- a. A Dean or Provost shall hold a concurrent University appointment in one of the following title series: Professor series, Professor in Residence series, or one of the equivalent ranks as defined by Regents' Standing Order 103.3. (See APM-115)
- b. An appointment to the position of Dean or Provost may be full time or part time. The personnel policies herein apply to all appointments, regardless of percent time.

240-18 Salary

- a. Authority to approve salaries for the appointment of Deans and Provosts is established in the Personnel Policies for Staff Members, Appendix II, Personnel Policies for Senior Managers.
- b. Academic-year or fiscal-year annual salaries up to the Regental Compensation threshold for the appointment of Acting Deans and Acting Provosts are approved by the Chancellor. This figure will be indexed annually in accordance with the Consumer Price Index.
- c. Guidelines for the compensation of Divisional Deans, Associate Deans, and Assistant Deans are presented in APM - 630.

240-24 Authority

a. Appointment of a Dean or Provost:

The Chancellor has the authority to appoint a Dean or Provost. The Chancellor, in consultation with the Academic Senate, shall appoint a committee to advise in the selection of a Dean or Provost. In cases when the Dean is the head of a school or college consisting of a single department, the faculty of the school or college shall also be consulted. In cases involving professional schools offering courses at the graduate level only, the faculty of the school shall be consulted.

b. Appointment of Acting Dean or Acting Provost:

The Chancellor has the authority to appoint an Acting Dean or Acting Provost in accordance with local campus procedures. The appointment of an Acting Dean or Acting Provost shall be a temporary appointment normally for a period not to exceed twelve months.

c. Appointment of Divisional Dean, Associate Divisional Dean, Associate and Assistant Dean, Associate and Assistant Provosts:

Appointments of Divisional Dean, Associate Divisional Dean, Associate and Assistant Deans, Associate and Assistant Provosts, and acting appointments to those titles shall be made by the Chancellor upon the recommendation of the Dean or Provost under whom they serve and in accordance with specified campus procedures.

d. Deans and Provosts and acting appointments to those titles serve at the discretion of the Chancellor. The Chancellor may end the appointment of a Dean or Provost at will and at any time, after discussion with an appropriate group of the faculty determined by the Chancellor after consultation with the Chair of the Division of the Academic Senate.

e. Divisional Deans, Associate Divisional Deans, Associate and Assistant Deans, and Associate and Assistant Provosts serve at the discretion of the Chancellor. The Chancellor, after consultation with the appropriate Dean or Provost, may end these appointments at will and at any time. In the case of a Divisional Dean who heads an intercollege/school division, provisions for ending the appointment of a dean/provost apply. (See APM - 240-24-d.).

240-80 Review Procedures

- a. A performance review for academic Deans and Provosts shall be conducted no later than the **fifth** year of service and at five-year intervals thereafter. In each case involving the review of a Dean or Provost, the Chancellor, in consultation with the Academic Senate, shall appoint an advisory committee to review the performance and accomplishments of the Dean or Provost. The advisory committee shall report its findings to the Chancellor.
- b. The Chancellor or designee shall develop guidelines for the review of Divisional Deans, Associate Divisional Deans, Associate and Assistant Deans, and Associate and Assistant Provosts.

Duties of Department Chairs (or Equivalent Officers)*

The chair of a department of instruction and research is its leader and administrative head. Appointed by the Chancellor, the chair is responsible to the Chancellor through the Dean of the college or school.

As leader of the department, the chair has the following duties:

1. The appointee is in charge of planning the programs of the department in teaching, research, and other functions. The chair is expected to keep the curriculum of the department under review, and to maintain a climate that is hospitable to creativity, diversity, and innovation.
2. The appointee is responsible for the recruitment, selection, and evaluation of both the faculty and the staff personnel of the department. In consultation with colleagues, the chair recommends appointments, promotions, merit advances, and terminations. The appointee is responsible for maintaining a departmental affirmative action program, consistent with Federal affirmative action regulations, applying to all faculty and staff activities. The appointee is expected to make sure that faculty members are aware of the criteria prescribed for appointment and advancement, and to make appraisals and recommendations in accordance with the procedures and principles stated in the President's Instructions to Appointment and Promotion Committees.
3. The appointee should be receptive to questions, complaints, and suggestions from members of the department, both faculty and staff personnel, and from students, and should take appropriate action on them.

*On some campuses some or all of the duties which are performed by the chair of a department of instruction and research may be performed by other officers. The College Provosts at San Diego perform some but not all of the duties of department chairs. The administrative heads of special academic agencies for curricular innovation are to some extent like department chairs. It is because of such variations from the traditional pattern of academic organization that the phrase "department chairs (or equivalent officers)" occurs in this memorandum and other textual references to department chair. Each Chancellor to whom this applies is responsible for making clear to such an "equivalent officer" which of the duties and responsibilities of department chairs are being entrusted.

The chair's administrative duties include the following (special assignments may be added from time to time, and the Chancellor or Dean may specify additional duties):

1. To make teaching assignments in accordance with the policy described in Regulation #750 of the Academic Senate,* and to make other assignments of duty to members of the department staff.
2. To prepare the schedule of courses and of times and places for class meetings.
3. To establish and supervise procedures for compliance with University regulations on the use of guest lecturers and Academic Senate Regulation #546 on special studies courses.**
4. To make arrangements and assignments of duty for the counseling of students, and for the training and supervision of Teaching Assistants and other student teachers and teacher aides.
5. To prepare the budget and administer the financial affairs of the department, in accord with University procedures.

*750 (A) Only regularly appointed officers of instruction holding appropriate instructional titles may have substantial responsibility for the content and conduct of courses which are approved by the Academic Senate.

(B) Professors and professors in residence and adjunct professors of any rank, instructors, instructors in residence and adjunct instructors, and lecturers may give courses of any grade. Persons holding other instructional titles may teach lower division courses only, unless individually authorized to teach courses of higher grade by the appropriate Committee on Courses or Graduate Council. If a course is given in sections by several instructors, each instructor shall hold the required instructional title. (EC 15 Apr 74).

(C) Announcements of special study courses in which individual student work under the direction of various members of a department may state that presentation is by the staff, but a member of the department shall be designated as the instructor in charge.

(D) Only persons approved by the appropriate administrative officer, with the concurrence of the committee on courses concerned, may assist in instruction in courses authorized by the Academic Senate. (AM 16 Mar 70, 15 Jun 71)

(E) No student may serve as a reader or assistant in a course in which he/she is enrolled.

**546 Registration in special studies courses for undergraduates must be approved by the chair (or equivalent) of each department concerned. This approval must be based upon a written proposal submitted to the chair.

6. To schedule and recommend to the Chancellor sabbatical leaves and other leaves of absence for members of the department. (The chair may approve a leave of absence with pay for seven calendar days or less for attendance at a professional meeting or for the conduct of University business without submitting a leave of absence form.)
7. To report promptly the resignation or death of any member of the department.
8. To be responsible for the custody and authorized use of University property charged to the department, and for assigning departmental space and facilities to authorized activities in accordance with University policy and campus rules and regulations.
9. To be responsible for departmental observance of proper health and safety regulations, in coordination with the campus health and safety officer.
10. To maintain records and prepare reports in accord with University procedures.
11. To report any failure of a faculty or staff member to carry out responsibilities and to recommend appropriate disciplinary action.

12. To report annually on the department's affirmative action plan, including a description of good faith efforts undertaken to ensure equal opportunity in appointment, promotion, and merit activities, as well as a report on affirmative action goals and results in accordance with campus policy.

In performing these duties, the chair is expected to seek the advice of faculty colleagues in a systematic way, and to provide for the conduct of department affairs in an orderly fashion through department meetings and the appointment of appropriate committees. The chair also is expected to seek student advice on matters of concern to students enrolled in the department's programs. In large departments, the chair may be assisted in the tasks involved in carrying out the responsibilities of the chair by a vice chair or other colleagues, and, when desired, by an executive committee chosen in an appropriate manner; however, the responsibilities themselves may not be delegated.