

**SHAPING OUR  
INSTITUTIONAL FUTURE:  
A STATEMENT ON FACULTY TENURE,  
RANK, AND PROMOTION**

### OTHER TITLES IN THE SERIES:

- Series 1. In Support of a Culture of Scholarship and Excellence: Faculty Development, Grants, and Awards
- Series 3. The UP Academic Assessment System
- Series 4. Auditing Student Services

**SHAPING OUR  
INSTITUTIONAL FUTURE:  
A STATEMENT ON FACULTY TENURE,  
RANK, AND PROMOTION**

**UP SYSTEM MANUAL SERIES 2**

OFFICE OF THE VICE PRESIDENT FOR ACADEMIC AFFAIRS

UNIVERSITY OF THE PHILIPPINES

2004

Copyright © 2004 University of the Philippines  
All rights reserved

No part of this volume may be reproduced, copied, or transmitted in any form for commercial purposes, but parts hereof may be quoted for research and other purposes, provided proper citation is made.

Book Design by Zenaida N. Ebalan

Printed in the Philippines by CORASTA, Inc.

## TABLE OF CONTENTS

	<i>Title</i>	<i>Page</i>
	Foreword	vii
	Introduction	1
I	Tenure	3
	A. Meaning and Purpose of Tenure	3
	B. Privileges and Responsibilities of Tenure	4
	C. Tenure-Track Positions	5
	D. Non-Tenure Track Positions	7
	E. General Criteria for Tenure	9
	F. Evidence of Merit	12
	G. Evaluation Process for Renewal and Tenure	13
II	Minimum Qualifications and Expectations for Faculty Ranks	15
	A. Minimum Qualifications for Initial Appointment	15
	B. Minimum Expectations for Faculty Ranks	17
III	Faculty Promotion	20
	A. Principles	20
	B. General Evaluation Criteria and Indicators	21
	C. Teaching	22
	D. Scholarly or Creative Work	23
	E. Service to the University and Larger Community	24
	F. Professional Growth	24
	G. Evaluation Procedure	25
IV	Promotion of Faculty Administrators	27
	A. Evaluation Criteria and Indicators	27
	B. Evaluation Procedure	28

## Tables

1. Standards for Evaluation of Tenure-Track Faculty	10
2. Evaluation Categories for Faculty Promotion and Corresponding Weights	21
3. Evaluation Categories for Promotion of Faculty Administrators and Corresponding Weights	27
4. Recommendation Process for Faculty Administrators	29
Annex. Teaching Portfolio	31

## FOREWORD

This manual is one of a series prepared by the Office of the Vice President for Academic Affairs to guide University administrators and faculty members in matters of professional development, such as recruitment, promotion, and tenure, as well as grants and other incentives.

There is need to harmonize our policies, procedures, and standards in these areas across the System, to make sure that all our faculty members are treated fairly and equitably, particularly where their professional well-being is concerned. They should also be made aware of their rights and responsibilities as members of a special corps of teachers and researchers in the Philippines' national university.

The standards set or implied in these guidelines are high, and well they should be; our considerable investments in modernizing our laboratories and libraries would be wasted if we did not expect and promote excellence in our most vital resource as a university, our faculty.

I enjoin all University administrators and faculty members to study these manuals thoroughly and, beyond merely implementing their contents, to adapt and to improve on them as far as the rules allow and as changing situations may require. The banishment of mediocrity and the promotion of excellence cannot simply be a matter of promulgating from above, but of commitment and initiative on the level of departments and colleges.

May these manuals help each of us build a more progressive and more dynamic university, at par with the best of the region and the world.

Francisco Nemenzo  
President

## INTRODUCTION

The University draws its strength from the faculty, whose intellectual capacity, creative talent, and competence shape the institution's culture and reputation. Having chosen the life of the mind as its mission, both as an end and value in itself and a means to a better life, the University must attract, recruit, and retain the faculty of highest quality. Not only is the University's academic mission at stake; so is its capacity to address the rising needs of the country and anticipate the demands of a fast-changing and fiercely competitive world. Decisions on faculty hiring, retention, and promotion are crucial in determining the nature and form of the department and the College as a whole and, indeed, the very future of the University.

Hence, Deans and Department Chairs must apprise all academic staff of their departments, and in particular, those they newly recruit into the faculty, of institutional goals and individual expectations of faculty members, including the areas of performance in which the faculty are to be evaluated. This policy statement is issued to assist the process of communication and enable the faculty to internalize the University's academic value system. The statement is not intended as a compilation of policies and guidelines, although some are included here for emphasis. Rather, the statement is an explanation of these policies and an affirmation of the academic values that underpin them. These values—academic freedom, high academic standards, professional ethics, and the commitment to sustained intellectual growth—are the only standpoint from which the statement is to be interpreted. Bureaucratic and narrow legalistic interpretations diminish the statement's spirit and purpose.

Recognizing that certain procedures vary across constituent universities and among colleges and departments, the statement asserts three fundamental premises of academic life.

The first is the primacy of academic standards as the basis of faculty appointment, tenure, and promotion. This is the guarantee of academic freedom, a right and a value without which the University ceases to exist.

Second is the demonstrable character of the academic grounds for appointment, tenure and promotion. Faculty members must be able to show proof of merit to deserve membership of the faculty, tenure, and promotion.

The final premise is the value of peer review in arriving at decisions on appointment, tenure, and promotion. By submitting themselves to the judgment of their peers at various levels, faculty members gain recognition of their achievements and the meritorious ones are awarded tenure and promoted.

To address differences in procedure, units are enjoined to write down the core guidelines that direct the manner in which they arrive at recruitment, tenure, and promotion decisions and the criteria on which these decisions are founded. The guidelines are the product of a collegial undertaking and must have the approval of the department and preferably, also the College



faculty. They must also be consistent with the minimum standards set by the University and the declaration set forth in this statement. Units may, of course, adopt more stringent criteria; these require the approval of higher bodies.

Recruitment, tenure, and promotion are no doubt arenas of discussion and debate. This statement is not intended to stifle or mute discussion but to lay down the parameters for a fair evaluation of faculty members both in the decision-making process and the substance of the decision. If the review process is unfair, it can only be so for two reasons: that other than academic grounds served as the basis of the decision (a violation of academic freedom), or that the merits of the faculty in question were not adequately considered. In either case, proof must be demonstrable. By requiring departments to put their guiding principles in writing, the room for arbitrary decision making will at least be reduced.

The contents of this manual were discussed at various levels of the University. The portions on minimum expectations of faculty rank and promotion standards were initially worked out by a System Committee in 2001.<sup>1</sup> After the Committee submitted its report to the President in November that year, the Academic Affairs Committee, consisting of the Vice Chancellors of Academic Affairs of the constituent universities, discussed the report. Later that month, the President's Advisory Council took up the recommendations of the Committee and decided to consult the faculty through the Deans. Campus-wide consultations thus took place from late November 2001 until February 2002. The comments of the faculty were quite extensive and contributed greatly to the improvement of the original document.

The section on faculty tenure was subsequently added by the Vice President for Academic Affairs. Initial discussions of the Academic Affairs Committee led to further refinements of the statement on tenure. The complete document as it now stands was endorsed by the President's Advisory Committee on 23 January 2004 (202<sup>nd</sup> meeting) and approved by the President.

Policies on recruitment, tenure, and promotion, however, cannot be permanent. Standards (ought to) improve over time, as new constructions of knowledge emerge and greater demands are placed on learning and scholarship. It is thus incumbent on the University (down to the unit level) to periodically review and upgrade its policies and guidelines so as to ably address changes in the world of knowledge and their impact on the professions and society at large.

For its part, the University reaffirms its obligation to continue to create and sustain an enabling and supportive environment for a vibrant academic life: to help faculty members develop their full potential, to provide and strive to upgrade the resources to meet these expectations, and offer incentives for creative work and research and awards for academic excellence.

Maria Serena I. Diokno  
Vice President for Academic Affairs

---

<sup>1</sup> Administrative Order FN 01-55, creating the Committee on Promotion Standards, chaired by Assistant Vice President for Academic Affairs Jose Maria P. Balmaceda, with the following as members: Profs. Maria Carmen Jimenez, Ruben Defeo, Maria Antonia Habana, and Maribel Dionisio-Sese.

## I. TENURE

The statement explains what tenure is, the rights and obligations it entails, the procedure for the grant of tenure, and the rationale behind policies and processes.<sup>1</sup> The document addresses both faculty on tenure track, who are regularly evaluated and must eventually demonstrate that they deserve tenure, and tenured faculty, who recommend the granting of tenure and are themselves expected to maintain a vigorous academic life. Units are advised to put their procedures and requirements in writing so as to guide tenure-track and tenured faculty alike, ensure that policies are followed, minimize conflict, and facilitate the review and improvement of policies and processes.

### A. Meaning and Purpose of Tenure

#### 1. Meaning of Tenure

- 1.1. Right of faculty member to continuous employment until he/she retires, voluntarily leaves the University, or is dismissed for cause
- 1.2. Pact between the University and the faculty member, in which the University agrees to guarantee the academic freedom and economic security of the faculty member and provides a place of work for teaching and scholarly activities, and the faculty member agrees to undertake these functions as best as he/she can and to fulfill other institutional responsibilities
- 1.3. The start, not the end of an academic career; a responsibility, not an attainment that exempts the tenured faculty member from periodic evaluation

#### 2. Aims of Tenure

- 2.1. To foster and safeguard the academic freedom of faculty
- 2.2. To enable the University to attract and retain the best faculty

---

<sup>1</sup> Practices in various universities abroad were used as references for the sections in part I, such as the University of Illinois Seminar on Tenure, December 1996; Mississippi State University Faculty Handbook (AOP 13.07); University of Michigan Senate Assembly, "Toward a Definition of Tenure," 12 December 1994; Simon Fraser University Tenure-Track Faculty Workload Policy, 1 September 1999; Carmen Silva-Corvalan et al., "White Paper on the Meaning of Tenure," USC Academic Senate Resolution 95/96-007, 8 May 1996; University of North Carolina, last revised 3 October 2002; University of Virginia, 1 March 2000; University of Houston; Amherst College Faculty Handbook; University of Pittsburgh, 5 July 1988; Virginia Commonwealth University, 1997; and Donna R. Euben, American Association of University Professors, "Tenure: Current Perspectives and Challenges," October 2002.

- 2.3. To protect the faculty from dismissal or termination of employment without cause

## **B Privileges and Responsibilities of Tenure**

### 1 Privileges of Tenure

- 1.1. Employment until retirement, resignation, or dismissal for cause
- 1.2. Economic security that ensures that salary, rank, and benefits are not reduced during the period of employment, except for cause
- 1.3. Continued University support for teaching and scholarly or creative work, including reasonable teaching assignments and reasonably adequate facilities (classroom, library, laboratory, office, and equipment)

### 2 Responsibilities of Tenure

#### 2.1. On the part of the tenure-track faculty member

##### a Develop one's field of learning and research

- ▶ Produce scholarship of the quality and quantity expected of tenure-track faculty
- ▶ Demonstrate capacity to sustain research activities over time

##### b Contribute to the learning of students through competent and effective teaching

- ▶ Meet all scheduled classes on time and make himself/herself available for consultation
- ▶ Prepare seriously for class and teach competently and as well as he/she can
- ▶ Strive constantly to improve teaching performance, keep up with new developments and teaching materials in the discipline, and update pedagogy and teaching content to reflect these developments

##### c Be committed to the University as an intellectual community

- ▶ Uphold academic freedom against abuse and respect the academic freedom of others
- ▶ Participate in the life of the University
- ▶ Perform in a productive professional manner so as to deserve faculty status
- ▶ Conduct himself/herself ethically in all dealings with students, colleagues, staff, and persons outside the University

- d Render service to the University and the larger community
  - ▶ Engage in activities that enrich the University's academic life
  - ▶ Undertake public service projects that improve the quality of life, address contemporary problems of society, or generally raise the welfare of the community at large

2.2. On the part of tenured faculty who recommended tenure

- a Uphold academic freedom, which requires that faculty appointments are made solely on academic grounds—performance in teaching, research and extension, potential to contribute to the discipline, and ethical conduct of the profession
- b Apply stringent standards in measuring the quality of the applicant for appointment (reappointment) and tenure
- c Create an intellectual environment that supports open and free inquiry, including the freedom to differ, in the spirit of learning and scholarship
- d Satisfy the minimum (preferably better than the minimum) expectations of faculty stated in section 2

**C. Tenure-Track Positions**

- 1 Tenure-track appointment is probationary in character. The period of temporary appointment varies according to the rank of the faculty member under probation as stated below.
- 2 Tenure-track positions are those that can lead to tenure, namely: Instructor, Assistant Professor, Associate Professor, and Professor. However, tenure is not given at the Instructor rank except as provided in item E1.1.
- 3 There are two types of initial appointment: direct entry at the rank of Instructor, and lateral entry at higher ranks (Assistant, Associate, and full Professor).
- 4 The period of probation (temporary appointment) is as follows.<sup>2</sup>
  - 4.1. For Instructor rank, the period is not more than five years reckoned from the date of original appointment as Instructor, regardless of status as temporary,

---

<sup>2</sup> Revised Section 5.4.1 of Article 177, UP Code, as amended (Criteria for Tenure: Instructor), 1142<sup>nd</sup> BOR meeting, 20 May 2000; Article 178, Criteria for Tenure: Assistant Professor; Article 179, Criteria for Tenure: Associate Professor; Article 179A, Criteria for Tenure: Professor.

casual, or substitute faculty (see item D). In the case of instructors at the thesis stage of their master's degrees, the period may be extended for another year but not to exceed two years, provided the instructor is properly informed of this condition. At the end of the probationary period, either the appointment of the Instructor is not renewed, or the Instructor is appointed to the rank of Assistant Professor, not necessarily with tenure. As Assistant Professor, the faculty member is evaluated for the purpose of renewal and tenure.

- 4.2. For the rank of Assistant Professor, the probationary period is three years
  - 4.3. The Associate Professor may be given tenure within two years from the date of appointment
  - 4.4. The Professor may be given tenure within the year from the date of appointment as Professor
5. The actual length of the probation may be shortened by taking into account the following factors:
- 5.1. Outstanding performance as teacher and scholar in the initial years of appointment
  - 5.2. Prior service at an academic institution at the rank of Assistant Professor or higher
6. Within the probationary period, the faculty member is appointed yearly. If the faculty member's appointment is not renewed or tenure is not granted, the faculty member shall be informed in writing at least sixty days prior to the expiry of his/her appointment by the Dean.
7. After the first year, if the faculty member does not perform up to par and shows no promise of improvement, his/her appointment shall not be renewed. However, if the faculty member shows potential for improvement, he/she shall prepare a one-year improvement plan, guided by the standard set in table 1 (item E6), and shall discuss it with the Chair and the department's Academic Personnel Committee (or equivalent body). The improvement plan shall be submitted to the Dean for approval. An improvement plan may also be prepared by substitute and casual faculty who show potential.
8. The reasons for devising an individual improvement plan are as follows.
- 8.1. The tenure-track faculty member commits himself/herself (in writing) to improving his/her teaching and other performance. The department shall hold the faculty member to this commitment.

- 8.2. Members of the department/division Academic Personnel Committee (APC) change as they are elected. To ensure consistency in the details of the plan and avoid misunderstanding, it is best to put the improvement plan in writing.
  - 8.3. The discussions that precede the approval of the plan help ensure that the requirements are fair and reasonable.
  - 8.4. A formal plan will serve as a clear guide and basis for monitoring the progress toward tenure of the faculty.
9. At the end of the year of the plan, the Chair and department APC (or equivalent body) shall either recommend continuation of the plan for another year or modify it. However, if the faculty member's performance is unsatisfactory, his/her appointment shall not be renewed. In no instance shall the improvement plan be used as a reason to renew the appointment of a faculty member who shows little or no promise or potential for growth.
  10. Units may adopt stricter probationary policies,<sup>3</sup> provided these are approved by the College, the Chancellor, the President, and the Board of Regents.

#### **D. Non-Tenure Track Positions**

1. A non-tenure track position is a full or part-time faculty position with a certain rank which does not lead to tenure. Non-tenure track positions are the following: substitute faculty, casual faculty, adjunct faculty, affiliate faculty, clinical faculty, lecturer, senior lecturer, professorial lecturer, visiting professor, teaching assistant, and teaching associate. REPS (Research and Extension Personnel) faculty are a special case (see item D15).
2. A non-tenure track faculty member has the same rights and responsibilities as tenured faculty except on the matter of tenure. However, lecturers and part-time faculty are not assigned committee work or required to attend meetings.
3. A substitute faculty member is one who occupies the item of a faculty member on leave without pay or who is seconded to another agency of government. The appointment of substitute faculty is for one semester or academic year and ends upon the return to duty of the faculty member who holds the item, as specified in the substitute faculty member's notice of appointment. Substitute faculty carry full-time load.

---

<sup>3</sup> For example, in its 1026th meeting on 23 November 1989, the BOR approved the recommendation of the School of Economics, UP Diliman, that the maximum period of temporary appointment as Assistant Professor of Economics be six years, provided the School continues to hire faculty members with PhD degrees.

- 4 Substitute faculty may apply for a tenure-track position upon the termination of substitute appointment, provided an item is available. In this case, the probationary period for tenure shall be reckoned from the initial appointment as faculty.
- 5 A casual faculty member is appointed without a faculty item and is paid out of the lump sum for personnel services. The casual appointment is for one year and may be extended on an annual basis as the funds allow and if there is a need. Casual faculty carry full-time load.
- 6 Casual faculty may also apply for a tenure-track position if an item is available. In this case, the probationary period for tenure shall be reckoned from the initial appointment as faculty.
- 7 An adjunct faculty member is one whose principal employment is outside the University but who is fully qualified professionally and who performs, on a part-time basis, duties that are normally assigned to full-time faculty.
- 8 An affiliate faculty appointment is an additional appointment given to a faculty member who renders service (usually teaching or research) in another unit. If the faculty member serves in another constituent university (CU), the appointment is called temporary second appointment.<sup>4</sup>
- 9 A clinical faculty member is one whose major responsibility is to serve as a preceptor of students and trainees in clinical skills and, in some cases, to lecture, whether in the classroom or in a hospital setting.
10. The lecturer is the "occasional" teacher who is appointed for one semester to teach three to six units and whose responsibilities are defined and limited by the notice of appointment. The lecturer's appointment may be renewed on a semester basis.
11. The senior lecturer and professorial lecturer are persons of sizeable achievement, with recognized expertise in the field of scholarship or creative arts. Senior and professorial lecturers are also appointed for one semester with a teaching load of not more than six units. Their appointments may be renewed on a semester basis.
12. The appointment as visiting professor is given to a faculty member from another university for a limited period of time, usually as part of an exchange agreement with that university. The appointment may be extended by semester or academic year.

---

<sup>4</sup> Guidelines for the appointment of faculty members to another constituent university and the System, 1147<sup>th</sup> BOR meeting, 21 December 2000.

13. The teaching associate is a master's student who is given a teaching assignment of six to nine units of undergraduate courses while enrolled in six to nine units of graduate studies. The teaching associate teaches in the department where he/she is enrolled. The appointment is yearly.<sup>5</sup>
14. The teaching fellow is a PhD student who is assigned to teach six to nine units of undergraduate courses while enrolled in six to nine units of graduate courses or twelve units of dissertation. The teaching fellow teaches in the department where he/she is enrolled. The appointment is yearly.<sup>6</sup>
15. REPS faculty hold permanent status as research and extension staff and are given additional appointment as faculty, with corresponding rank, in order to teach in units that require their service.<sup>7</sup>

## **E General Criteria for Tenure**

1. The faculty member must have the appropriate credentials and experience in teaching, research and extension.
  - 1.1. For Instructor rank, this means at least three years of meritorious service, a master's or equivalent degree, and sole or lead authorship of at least one refereed journal article (local or international) or academic publication by a recognized academic publisher or literary publisher in the case of literary work; or in the field of visual arts, creative work that was exhibited and juried, or a similar requirement in music and other performing arts. Tenure is given at this rank only if there are no funds for promotion to Assistant Professor rank.<sup>8</sup>
  - 1.2. For Assistant Professor rank, this means at least a master's or equivalent degree, satisfactory teaching, and sole or lead authorship of at least one refereed journal article (local or international) or academic publication by a recognized academic publisher or literary publisher in the case of literary work; or in the field of visual arts, creative work that was exhibited and juried, or a similar requirement in music and other performing arts.
  - 1.3. For higher ranks, this means greater evidence and body of work of sustained scholarship (quantity and quality of publications or equivalent creative work)

<sup>5</sup> Guidelines for appointment of teaching associates and teaching fellows, 1092<sup>nd</sup> BOR meeting, 29 November 1995.

<sup>6</sup> *Ibid*.

<sup>7</sup> General guidelines were approved by the BOR on 21 June 1996 (1098<sup>th</sup> meeting). But academic units can recommend specific guidelines for approval by the President and the Board of Regents. The UP Los Baños's implementing guidelines, for example, were approved by the BOR on 24 October 1996 (1102<sup>nd</sup> meeting); the guidelines of the Marine Science Institute, UP Diliman, were approved on 31 August 2000 (1144<sup>th</sup> BOR meeting).

<sup>8</sup> For Instructor and Assistant Professor ranks, see Revised Articles 177 and 178 of the UP Code, 1153<sup>rd</sup> BOR meeting, 30 August 2001.



and teaching excellence, as determined by the department or preferably the College as a whole. (See section 2, items A3 and A4 for minimum qualifications for initial appointment at Associate Professor and Professor ranks.)

14. In addition, there must be a record of service to the University and the larger community. Departments expect tenure-track faculty to engage in committee work and extension service.
2. Implicit in the evaluation of tenure-track faculty at lower ranks is the promise the faculty member holds for further scholarly and professional development.
3. Given the range and type of journals, the quality (academic worth) of the faculty's publication or creative work must at all times be judged by tenured peers.
4. In general, units that offer only graduate programs must have more rigorous requirements than purely undergraduate units.

TABLE 1. STANDARDS FOR EVALUATION OF TENURE-TRACK FACULTY

PERFORMANCE	DESIRED QUALITY AND ATTRIBUTES	SOURCES OF EVIDENCE
TEACHING	<ul style="list-style-type: none"> <li><input type="checkbox"/> KNOWLEDGE OF SUBJECT MATTER</li> <li><input type="checkbox"/> CONTRIBUTION TO INTELLECTUAL DEVELOPMENT OF STUDENTS THROUGH SUCH MEANS AS COURSE SYLLABUS AND MATERIAL, INTERACTION WITH STUDENTS IN AND OUTSIDE THE CLASSROOM, ADVISING, AVAILABILITY TO STUDENTS</li> <li><input type="checkbox"/> SUSTAINED COMMITMENT TO CLASSROOM INSTRUCTION</li> <li><input type="checkbox"/> CAPACITY (WHERE APPLICABLE) TO DIRECT GRADUATE WORK OR SENIOR UNDERGRADUATE WORK, DIRECTED STUDIES OR READING SEMINARS, INTERNSHIPS, FIELD WORK OR OTHER COURSES</li> <li><input type="checkbox"/> ABILITY TO COMMUNICATE EFFECTIVELY TO STUDENTS</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> STUDENT EVALUATION: TEACHER'S ABILITY TO COMMUNICATE, OPENNESS TO DIALOGUE, FAIRNESS, ORGANIZATION, PERSONAL QUALITIES IN THE CLASSROOM (E.G., A POPULAR TEACHER IS NOT NECESSARILY A GOOD TEACHER; UNREASONABLENESS IS NOT A MARK OF INTELLIGENCE), ATTENDANCE, PUNCTUALITY, AVAILABILITY FOR CONSULTATION</li> <li><input type="checkbox"/> PEER EVALUATION: COURSE SYLLABUS AND CONTENT, INSTRUCTIONAL MATERIALS, TEACHING</li> <li><input type="checkbox"/> TEACHING PORTFOLIO: COURSE SYLLABUS AND MATERIAL, EXAM QUESTIONS, EXERCISES, INSTRUCTIONAL MATERIALS (INCLUDING TEXTBOOK, LAB MANUAL AUTHORED BY FACULTY MEMBER, IF ANY)</li> <li><input type="checkbox"/> OVERALL CLASS PERFORMANCE (E.G., INORDINATELY HIGH FAILURE RATE MUST BE EXPLICABLE)</li> <li><input type="checkbox"/> SUBMISSION OF GRADES ON TIME</li> <li><input type="checkbox"/> TEACHING-RELATED GRANTS</li> <li><input type="checkbox"/> TEACHING EXCELLENCE AWARDS</li> </ul>

PERFORMANCE	DESIRED QUALITY AND ATTRIBUTES	SOURCES OF EVIDENCE
RESEARCH	<input type="checkbox"/> COMMITMENT TO ORIGINAL RESEARCH OR CREATIVE WORK THAT WILL LEAD TO SUSTAINED CONTRIBUTIONS OVER TIME AND TO GROWTH IN SCHOLARLY AND PROFESSIONAL STATURE <input type="checkbox"/> ACCEPTABLE QUALITY AND QUANTITY OF PUBLISHED OR CREATIVE WORK, IN TERMS OF THE MINIMUM STANDARDS AND THOSE SET BY THE DISCIPLINE	<input type="checkbox"/> CRITICAL PEER EVALUATION USING STANDARDS OF THE DISCIPLINE <input type="checkbox"/> PAPERS READ IN CONFERENCES; INVITED PARTICIPATION IN SCHOLARLY CONFERENCES <input type="checkbox"/> CREATIVE WORK OR RESEARCH PROJECTS (ONGOING AND COMPLETED), INCLUDING PATENT, SOFTWARE, AND OTHER TECHNOLOGICAL DEVELOPMENTS <input type="checkbox"/> REFEREED PUBLICATIONS (JOURNAL ARTICLE, BOOK, OR BOOK CHAPTER) OR EQUIVALENT ARTISTIC PRESENTATION, EXHIBITS, OR PERFORMANCES IN VISUAL AND PERFORMING ARTS <input type="checkbox"/> RESEARCH GRANTS (IF ANY) <input type="checkbox"/> MEMBERSHIP OR LEADERSHIP IN PROFESSIONAL ORGANIZATION <input type="checkbox"/> AWARD AND ACHIEVEMENTS IN THE DISCIPLINE (IF ANY)
SERVICE	<input type="checkbox"/> ACTIVITIES THAT ENHANCE THE ACADEMIC LIFE OF THE UNIVERSITY, IMPROVE THE QUALITY OF LIFE OF SOCIETY, OR PROMOTE THE GENERAL WELFARE OF THE UNIVERSITY, COMMUNITY, OR NATION AT LARGE	<input type="checkbox"/> COMMITTEE WORK, PARTICIPATION IN DEPARTMENT/COLLEGE/UNIVERSITY ACTIVITIES <input type="checkbox"/> EXTENSION REPORT <input type="checkbox"/> FEEDBACK FROM BENEFICIARIES OR PARTNERS <input type="checkbox"/> PUBLIC SERVICE AWARD (IF ANY)
<p><b>BASIC PREMISES:</b></p> <ol style="list-style-type: none"> <li>1. WHILE THE BALANCE AMONG TEACHING, RESEARCH, AND SERVICE MAY VARY FROM DISCIPLINE TO DISCIPLINE, EFFECTIVE TEACHING OR IMPORTANT CONTRIBUTIONS TO SOCIAL WELFARE CANNOT COMPENSATE FOR THE ABSENCE OF SCHOLARLY OR CREATIVE WORK.</li> <li>2. THE EVIDENCE MUST SHOW THE FACULTY MEMBER'S CAPACITY FOR CONTINUED SCHOLARLY GROWTH EVEN AFTER THE GRANT OF TENURE.</li> <li>3. THE HIGHER THE RANK AT WHICH THE GRANT OF TENURE IS BEING CONSIDERED, THE GREATER THE EVIDENCE OF SUSTAINED SCHOLARLY WORK AND PROFESSIONAL ACHIEVEMENT.</li> </ol>		

5 Units may impose higher requirements<sup>9</sup> provided these are approved by the College, the Chancellor, the President, and the Board of Regents.

6 Table 1 summarizes the standards for tenure in light of the statements in this section. Recruitment and tenure rules, however, should be reviewed periodically and upgraded in the interest of academic excellence.

<sup>9</sup> In its 1017<sup>th</sup> BOR meeting on 8 December 1988, the Board clarified that the College may, with the approval of its faculty, adopt higher standards or requirements for the grant of tenure. The clarification was given in the light of the decisions of some units, including the College of Science, to adopt stricter tenure requirements.

**F Evidence of Merit**

- 1 During the probationary period, the tenure-track faculty member must be able to show why he/she deserves to be reappointed as faculty or to receive tenure.
- 2 Units are encouraged to adopt the practice of having tenure-track faculty apply for tenure just as temporary faculty have to apply for reappointment. By asking tenure-track faculty to apply for tenure, the department sends a clear signal that: (a) tenure is not automatically granted, and (b) the burden of proof of merit rests on the faculty member who applies for tenure.
- 3 The faculty member's record of teaching, research, and service is reviewed by peers (by tenured faculty, in the case of the award of tenure). The tenure-track faculty member is entitled to a fair evaluation of his/her record but may not presume an entitlement to renewal of appointment or tenure simply by virtue of being on tenure track. Tenure decisions are individually determined in light of the University's minimum standards and those of the unit where the faculty member serves.
- 4 A faculty member who wishes to appeal the non-renewal of his/her appointment or the non-award of tenure must present proof that: (a) a violation of academic freedom contributed to the decision of the recommending or approving authority, i.e., that other than academic grounds were used to arrive at the decision; or (b) that insufficient consideration was given to the merit of his/her application. Academic grounds include professional ethics, intellectual honesty, and other values central to academic life.
- 5 Two rights are at stake in the event described above: the right of tenured colleagues to make a qualitative judgment on the candidate's performance and record, and the right of temporary faculty to expect fairness, both in the process by which the tenure decision is reached and in the substance of that decision. The appeal procedure should take into account both these rights.
- 6 Non-renewal is different from termination or dismissal of faculty. In the first, the burden of proof lies with the tenure-track faculty to show why he/she ought to be reappointed. In the second, the burden shifts to the University to show why, if at all, the faculty member should be dismissed.
- 7 Tenure does not insulate the faculty member from a fair and periodic review of his/her academic performance.
- 8 A bad tenure decision impedes institutional excellence. Units must therefore treat tenure decisions seriously; the future reputation of the unit rests on the quality of its academic staff.

## G. Evaluation Process for Renewal and Tenure

1. Evaluation for the purposes of renewal and tenure is done regularly by the department/institute/division in which the tenure-track faculty member serves.
2. Only tenured faculty members of the department may recommend tenure. In departments where the number of tenured faculty members is negligible, the Dean shall, in consultation with the College Academic Personnel Committee, recommend the composition of the department APC to the Chancellor for approval. Such members may come from any unit of the college.
3. The initial recommendation emanates from the unit's Chair and Academic Personnel Committee and proceeds through channels: from the Chair to the Dean and the College APC or equivalent body, and then on to the counterpart committee at the level of the constituent university, chaired by the Vice Chancellor for Academic Affairs/Instruction (called Academic Personnel and Fellowships Committee or University Academic Personnel Board). The CU committee then endorses its recommendations to the Chancellor.
4. The Chancellor endorses recommendations for tenure to the President. All recommendations for tenure are acted on by the Board of Regents, upon the recommendation of the President, while the renewal of faculty appointment is acted on by the Chancellor up to the level of Assistant Professor, and the Board of Regents for higher ranks, upon the recommendation of the President.
5. Each unit shall have guidelines that specify the following:
  - 5.1. How the evaluation is to be conducted: the procedure to be used and the faculty members tasked to carry it out
    - a. In most units, members of the department Academic Personnel Committee are elected by all faculty members, tenured and non-tenured faculty alike.
    - b. In national institutes that have their own governing rules, there are specially approved procedures.
    - c. In other departments, the tenured faculty act as a Committee of the whole while in some, the tenured faculty act on the recommendation of the APC.
    - d. The Chair acts as a member of the collegial review body (the department APC or tenured faculty). Should he/she differ with the evaluation and recommendation of the review body, the Chair shall put his/her views in writing for consideration by the next level of the review.

- e Access to evaluation documents (e.g., minutes of APC/tenured faculty meeting, transcripts of interviews with candidates) shall be clarified.
- 5.2. Criteria to be used to assess progress toward tenure
- a In addition to the minimum criteria for Instructor and Assistant Professor ranks, the department may have other expectations, some of which relate directly to the discipline. The unit shall specify these requirements and make them clear to tenure-track faculty from the outset.
  - b The department shall also specify tenure requirements for higher ranks (Associate Professor and Professor) . These requirements must be more stringent than those for the lower ranks.
  - c If the department's requirements for tenure at lower ranks exceed the minimum requirements with respect to the graduate degree and publication record of candidates, the department must obtain the approval of the College, the Chancellor, the President and the Board of Regents.
- 5.3. Frequency of the evaluation: when and how often (The evaluation shall be completed well before the sixty-day rule for informing faculty of non-renewal.)
- 5.4. How the tenure-track faculty's individual improvement plan, if any, is to be incorporated into the review process
- 5.5. How the candidate will be informed regarding progress toward satisfying the standards for tenure in that unit
- 5.6. Voting rights of faculty regarding hiring, renewal (and non-renewal) , and tenure
- a The mechanism must be such that tenure decisions are made solely by tenured faculty.
  - b Voting faculty shall be able to explain their vote to their colleagues.

## II. MINIMUM QUALIFICATIONS AND EXPECTATIONS FOR FACULTY RANKS

Two sets of criteria are described in this section: the minimum qualifications for hiring faculty at a certain rank, and the minimum expectations of faculty who hold such rank. The document is therefore addressed to new recruits and tenured faculty alike. Early on in their academic careers, faculty members ought to know what is expected of them so that they can prepare for the added responsibilities that come with higher rank. Tenured faculty members are likewise expected to meet these standards and serve as role models to tenure-track faculty.

The expectations described here suggest the stature that comes with rank, a stature earned by solid academic labor as judged by peers. In addition to the expectations of a particular rank, all expectations of the previous ranks must be met. The expectations thus serve as a guide to career development.

### A. Minimum Qualifications for Initial Appointment

The following are the minimum qualifications according to faculty rank. All candidates for original appointment shall possess desirable academic, collegial, and professional qualities such as academic integrity, professional ethics, dedicated service to the unit and the University, and commitment to academic excellence.

1. Instructor
  - 1.1. Appropriate undergraduate degree and good scholastic record
  - 1.2. Intellectual competence to teach introductory courses
  - 1.3. Good teaching potential as manifested by sample lectures or teaching demonstration
  - 1.4. Motivation to undertake graduate courses and potential for success in graduate studies
2. Assistant Professor
  - 1.1. Appropriate MS/MA degree or equivalent degree
  - 1.2. Competence in teaching, as evidenced by student evaluation and other parameters given in table 1 (section 1, E6), or very good teaching potential as manifested by

sample lectures or teaching demonstration in the case of candidates for original appointment to this rank

- 2.3. Ability to undertake research or creative work in visual and performing arts of credible quality, preferably with at least one research publication as sole or lead author in reputable refereed journal/book or the equivalent in literary, visual, and performing arts
  - 2.4. Active participation in department activities, and, when possible, College or University activities
- 3 Associate Professor
- 1.1. Appropriate PhD or equivalent terminal degree<sup>10</sup>
  - 1.2. Better than satisfactory teaching performance
  - 1.3. Demonstration of high level of competence in research or creative work, with at least several research publications in reputable refereed journals/books or the equivalent output in literary, visual, and performing arts
  - 1.4. Ability to supervise research or direct creative work or performance
  - 1.5. Active participation in department, College, and University activities and extension work
- 4 Full Professor
- 1.1. Appropriate PhD or equivalent terminal degree
  - 1.2. Outstanding teaching performance
  - 1.3. Highly productive and sustained publication record or equivalent creative output that is recognized by peers both within and outside the University as significant contributions to the advancement of knowledge
  - 1.4. Active participation in department, College, and University affairs and extension work
  - 1.5. Demonstration of the highest standards of professional excellence, academic integrity, collegiality, and service to the University

---

<sup>10</sup> In exceptional cases, the doctoral degree for Associate and full Professor ranks may be substituted by a record of publicly available scholarly or creative work judged by peers to be of superior quality.

## B Minimum Expectations for Faculty Ranks

Once appointed to a rank, the faculty member is expected to teach as well as possible, build up a productive record of research or creative work, and engage actively in activities that serve the University and the larger community.

1. Instructor
  - 1.1. Must demonstrate teaching competence
  - 1.2. Must show understanding of disciplinary content by handling at least two different courses while an Instructor
  - 1.3. Must enroll in an appropriate graduate program from a reputable institution (recognized by the University) and must finish the program within the period prescribed by the University
  - 1.4. Must produce graduate work of acceptable quality; evidence of promise must be present
  - 1.5. Must be involved in department activities such as faculty meetings, committee and registration/advising work
  - 1.6. Must possess academic integrity and professional ethics
2. Assistant Professor
  - 2.1. Must have at least an MA/MS degree and must have started PhD studies (or equivalent terminal degree) and finished the program within the period prescribed by the University
  - 2.2. Quality of work in graduate studies must be above average; capacity to sustain intellectual growth must be evident
  - 2.3. Must maintain better than satisfactory teaching evaluation based on student and/or faculty peer feedback, teaching portfolio (see annex), and other evidence
  - 2.4. Must engage in research or creative work at least as member of a research or creative project team
  - 2.5. Must publish or produce creative work of the quality and quantity necessary to satisfy the standards for tenure and promotion and in the required capacity (as lead author or co-author or co-creator of creative work)



- 2.6. Must show commitment to the department, College, and University by continued participation in unit activities
  - 2.7. Must participate in extension activities
- 3 Associate Professor
- 3.1. Must have a PhD or equivalent terminal degree<sup>11</sup>
  - 3.2. Must maintain excellent teaching record
  - 3.3. Must sustain intellectual productivity by continued publication in reputable refereed academic or literary venues or the equivalent creative work in the visual and performing arts
  - 3.4. Must be actively involved in thesis/dissertation advising
  - 3.5. Must mentor younger faculty in both teaching and research
  - 3.6. Must develop a culture of research not only by advising graduate students and mentoring younger faculty, but also by bringing them into research projects and helping them publish
  - 3.7. Must demonstrate commitment to the University by membership and participation in department/College/University committees when and where possible
  - 3.8. Must actively engage in extension work
- 4 Professor
- 4.1. Must have a PhD or equivalent terminal degree
  - 4.2. Must maintain excellent teaching record, as evidenced by innovative approaches to teaching the discipline and a generally accepted reputation for stimulating student interest in learning
  - 4.3. Must maintain an active publishing career or the equivalent measure of creative output in the arts; must strive for peak research or creative output

---

<sup>11</sup> In exceptional cases, the expectation of a PhD for the ranks of Associate and full Professor may be substituted by a superior record of publicly available scholarly or creative work.

- 4.4. Must develop a culture of excellence in teaching, research, and service by being a role model and mentor, and by prodding the unit to continuously strive for higher levels of achievement
- 4.5. Must exercise leadership in the profession and bring honor to the University
- 4.6. Must maintain active involvement in department/College/ University committees and activities
- 4.7. Must take active part in extension work or perform well as an administrator

### III. FACULTY PROMOTION

Promotion offers an opportunity for the faculty to demonstrate and gain recognition for their achievements over a period of time. As with tenure, promotion is based on demonstrable academic grounds. Within the framework provided by the principles and guidelines in this statement, units are advised to specify their promotion requirements (in writing) for the guidance of the faculty.

#### A. Principles

- 1 Promotion is recognition of the faculty member's accomplishments, growth, and development as a teacher and scholar, and service to the University and the general public. It involves an assessment of the faculty's success and continuing competence in the performance of their academic duties. Promotion also presents the challenge of further accomplishments.
- 2 Promotion affirms the primacy of academic excellence in support of the University's mission. Academic freedom guarantees that academic quality is the basis of academic personnel decisions. Promotion implies selectivity and choice; it is awarded for demonstrable scholarly and professional merit, not for seniority, length of service, or humanitarian considerations.
- 3 The evaluation of merit involves the application of academic and professional judgment by peers, which takes place within a framework of collegiality, shared responsibility, accountability, and authority along various levels of review, among the faculty, and between faculty and administrators. Faculty members share in the exercise by providing solid evidence of merit and by acting as peer reviewers.
- 4 The breadth and variety of academic and professional fields in the University make the development of detailed promotion criteria, equally applicable to all fields, inappropriate. However, the overriding values and standards are the same: demonstrable academic achievement in teaching, scholarly or creative work, service, and professional growth.
- 5 Individual colleges and departments may impose more stringent standards so long as these are consistent with the intent and framework of system-wide standards and are applied consistently within the unit. Stricter or additional requirements must be approved by the College faculty.
- 6 Promotion to a higher rank occurs only three times in a faculty's career, from Instructor to Assistant Professor, from Assistant to Associate Professor, and from Associate to

Full Professor. Hence, rank promotions require the highest standards of performance. In no case shall faculty cross rank solely on the basis of performance as an administrator.

7. All faculty members are expected to perform the minimum duties and expectations contained in this statement and other University rules. The extent to which these expectations are surpassed shall be the basis of upward movement within a rank or promotion to a higher rank.
8. As the faculty and the University develop, the standards of performance should change. If a faculty member's accomplishments do not keep pace with current standards, the individual may not be promoted. It is not appropriate to argue that faculty be promoted because they meet the performance standards previously in effect, by which some of their colleagues were measured and promoted. Scholarly development means adherence to ever higher standards of performance.
9. The career path of a faculty member begins with hiring. Appointment at the instructor level shall be reserved for those who are judged to have potential for development and the future award of tenure; and for other ranks, those who have demonstrated competence and whose track records indicate a high likelihood of continued excellence. Promotion standards in this statement are consistent with those for faculty recruitment and tenure.
10. A cap on promotion and priority categories for promotion may be imposed by the constituent university and/or the System, owing to budget constraints. It is incumbent on the individual units to prioritize their recommendations.

**B General Evaluation Criteria and Indicators**

1. Faculty shall be evaluated on the following categories: teaching, scholarly or creative work, service to the University and the public, and professional growth.
2. The weights for each category are differentiated according to the nature of the unit. Graduate units (i.e., without undergraduate programs) are expected to place at least equal emphasis on teaching and scholarly work, while purely undergraduate units may give greater value to teaching.

TABLE 2. EVALUATION CATEGORIES FOR FACULTY PROMOTION AND CORRESPONDING WEIGHTS

EVALUATION CATEGORY	WEIGHTS	
	PURELY GRADUATE/MIXED UNITS	PURELY UNDERGRADUATE UNITS
TEACHING	30 - 40%	40 - 50%
SCHOLARLY/CREATIVE WORK	30 - 40%	30 - 40%
SERVICE	10 - 15%	10 - 15%
PROFESSIONAL GROWTH	10 - 15%	10 - 15%

- 3 Within the range specified in table 2, individual units may decide on the mix of weights to be applied, unless the constituent university adopts a uniform system.
- 4 The aspects to be assessed, indicators, items, and activities to be evaluated for each category are generally worded so that academic units can further define them.
- 5 Units shall endeavor to assess not only quantity, but more importantly, quality and significance of contributions. However, units may impose quantitative requirements as part of the operational basis of their evaluation.
- 6 Faculty members are evaluated based on accomplishments reckoned from the date of the University's last promotion.
- 7 The parameters provided in table 1 (section 1, E6) are also useful as a guide in evaluating the performance of faculty being considered for promotion.

### C. Teaching

- 1 Good teaching—the kind that instills a desire for learning and encourages creative and critical thought—is expected of all faculty members, tenured and non-tenured alike. Teaching ability and performance, and conscientiousness in undertaking teaching duties may be measured in terms of the following:
  - 1.1. Mastery and command of subject matter
  - 1.2. Ability to convey subject matter clearly to students
  - 1.3. Ability to translate material into a form that is organized, comprehensible, appropriate and interesting to students
  - 1.4. Accessibility to students for consultation
  - 1.5. Constant review and improvement of the syllabus and teaching materials
  - 1.6. Application of strategies that invite learning initiatives by the student
- 2 Effective teaching may be gauged through student evaluation, peer evaluation, and the faculty member's teaching portfolio.<sup>12</sup>
- 3 Items to be considered in the teaching portfolio or other activities evaluated under the teaching category include, but are not limited to, the following:

---

<sup>12</sup> See annex for the teaching portfolio.

- 3.1. Production and publication of teaching materials like textbooks, course (student and teaching) modules, laboratory manuals
  - 3.2. Use of updated, research-based syllabi, course materials, and teaching innovations
  - 3.3. Performance as research supervisor, thesis and dissertation adviser
  - 3.4. Teaching load, class size, number of preparations
4. In no case shall teachers who are habitually absent or late, and who frequently submit grades late, be promoted.

**D. Scholarly or Creative Work**

1. Scholarly research or creative work is expected of all faculty members, especially for ranks higher than Instructor. The vitality of the faculty, both collectively and individually, depends greatly upon ongoing research and creative accomplishments. Research and creative work enrich the discipline and enhance teaching.
2. Published research in reputable refereed journals, academic books or other prestigious publications, and creative work that has been made available to peers for independent assessment, such as well-acclaimed juried or invited exhibitions or performances for the visual and performing arts, are the main indicators of accomplishment in this category. As such, they are given the heaviest weight.
3. Vanity (self-published or self-produced) publications, exhibitions, or performances and unpublished papers that have never been read in conferences shall not be given credit.
4. Other scholarly outputs that may be given credit include, but are not limited to: technological innovations, varieties/strains, patents, software and computer programs; significant policy papers, media productions, recordings, editing of published books and journals; and presentation of scholarly/technical papers and research findings in conferences and other academic fora. All these must be considered by peers to be of academic worth.
5. Publications and presentations in popular venues or works outside the discipline (e.g., articles in newsletters or bulletins, advocacy papers) shall not be considered part of research but may be considered under the category of service.
6. Faculty members must submit documented evidence of publication and other creative output for evaluation by peers.

**E Service to the University and Larger Community**

1. Extension service is valued because it enriches teaching and research, disseminates knowledge to the larger community, and is directed at the improvement of the general well-being of society.
2. Service to the University is measured in part by one's involvement in department/College/University activities and committees (e.g., degree of participation, effectiveness).
3. Faculty members who hold administrative positions, especially heads of units, carry important and demanding responsibilities in serving the University. Acknowledging that heavy administrative workload might limit teaching and scholarly output, a separate set of guidelines for faculty administrators is provided in section 4 of this statement.
4. Contributions to community service in the public sector or civil society or as a public intellectual are an important part of extension work.
5. Items or activities that may be examined and given credit in this category are the following:
  - 5.1. Service rendered as coordinator, trainer, resource speaker, organizer of training programs, conferences, symposiums, and workshops related to one's discipline
  - 5.2. Technical assistance to government and other agencies
  - 5.3. Training programs for other universities and educational institutions, local communities and non-government organizations
  - 5.4. Service publications (popular training manuals, monographs, bulletins, etc.)
  - 5.5. Popular presentations and popularized lectures on topics within the discipline
  - 5.6. Contributions as public intellectual to the intelligent discussion of issues of national or global concern

**F Professional Growth**

1. A faculty member must also show evidence of professional growth, both as a professional educator and an academic belonging to a particular discipline or field. Accomplishments in this category form part of the criteria for promotion.
2. The items and activities to be considered and evaluated in this category include the following:
  - 2.1. Additional formal training in the discipline (academic studies or specialty training, as in the case of medical doctors)

- 2.2. Professional recognition (awards in recognition of research/teaching/service)
- 2.3. Attendance in local and international symposia, conferences within one's discipline
- 2.4. Leadership positions in academic or professional organizations and societies here and abroad
- 2.5. Membership in international organizations of an academic nature
- 2.6. Membership in editorial or advisory boards of journals
- 2.7. Membership in technical panels
- 2.8. Research fellowship or visiting professor appointment in a reputable foreign university
- 2.9. Invitation to review or referee published articles, research output/creative work within the discipline
- 2.10. Invitation to sit in other review bodies (such as those that award grants or awards)

## **G. Evaluation Procedure**

### **1. Review Levels**

- 1.1. Recommendations for promotion begin at the department level, through the Chair and Academic Personnel Committee (or equivalent body), and are forwarded to the Dean for evaluation and endorsement by the Dean and College APC (or equivalent body).
- 1.2. A counterpart committee at the constituent university level (Academic Personnel and Fellowships Committee or University Academic Personnel Board), chaired by the Vice Chancellor for Academic Affairs or Instruction, reviews College recommendations for promotion.
- 1.3. Promotions up to the rank of Assistant Professor are decided by the Chancellor. Recommendations for higher rank promotions are endorsed by the Chancellor to the System committee for promotions chaired by the Vice President for Academic Affairs. The System committee endorses its recommendations to the President.
- 1.4. Final approval of recommendations for promotion to or at the rank of Associate Professor and Professor comes from the Board of Regents, upon the recommendation of the President.



- 2 If the faculty member is an affiliate faculty member in another constituent university during the period of evaluation, both the home and the second unit shall evaluate the faculty member.<sup>13</sup>
  - 2.1. The home unit shall evaluate the affiliate faculty member for teaching and/or scholarly or creative work if he/she teaches there and/or has done work on the discipline.
  - 2.2. The second unit shall evaluate the affiliate faculty member for teaching and scholarly performance if he/she teaches in the second unit or has done research on a subject related to the nature and scope of the second unit.
  - 2.3. The recommendation for promotion may emanate from either unit, provided the affiliate faculty member's record is evaluated by both the primary and secondary units. The recommending unit shall send the documents to the Vice President for Academic Affairs, who shall then refer the recommendation to the other unit for evaluation.
  - 2.4. After evaluating the affiliate faculty member's record, both units shall forward their recommendation to a joint committee chaired by the Vice President for Academic Affairs and consisting of the Vice Chancellors for Academic Affairs (or Instruction) of the two units concerned.
  - 2.5. The System committee shall send its recommendation to the President, for approval by the Board of Regents.
- 3 A faculty member who finds that his/her accomplishments were not adequately considered by the review bodies may appeal to the next higher body.
  - 3.1. In making and considering the appeal, the following shall be considered: bias or unfairness in the review process (the level of review must be identified), and insufficient consideration of the faculty member's accomplishments compared to others in the same rank and discipline/field.
  - 3.2. Corrective promotion in relation to past promotions may not be the subject of appeal unless from the outset, the promotion was announced as corrective promotion. In this case, the University shall determine the cut-off date for past promotions and include it in the announcement of corrective promotion.

---

<sup>13</sup> Guidelines for promotion of affiliate faculty and faculty on temporary second appointment, 176<sup>th</sup> PAC (President's Advisory Committee) meeting, 29 November 2000.

## IV. PROMOTION OF FACULTY ADMINISTRATORS

In terms of teaching and scholarly or creative work, faculty administrators who devote at least half of their time to administrative work are not likely to be as productive as colleagues without any administrative load credit. A specific promotion scheme for faculty administrators is not intended to privilege administrators over their faculty colleagues. This statement in fact asserts that rank promotion for faculty administrators requires solid evidence of scholarly merit. Yet there can be no question that administrators carry the heavy burden of academic management, including its less than appealing and cumbersome aspects. This statement therefore affirms that leadership of the University at all levels requires competence both as administrators and as academics, while recognizing that the scholarly production of administrators may not appreciably be as high as that of faculty with regular teaching and research load.

Only administrators with an administrative load credit of six or more units are covered by this section.<sup>14</sup>

### A. Evaluation Criteria and Indicators

1. The evaluation of faculty administrators shall take into account the following:
  - 1.1. Nature of the administrative position and its concomitant responsibilities
  - 1.2. Faculty administrator's teaching load (if any) and performance, scholarly or creative work, service and professional growth during his/her period of administrative service
  - 1.3. Length of time served by the faculty member as an administrator prior to and during the period under review
2. Weights of evaluation categories

TABLE 3. EVALUATION CATEGORIES FOR PROMOTION OF FACULTY ADMINISTRATORS AND CORRESPONDING WEIGHTS

CATEGORY	ADMINISTRATIVE LOAD CREDIT		
	6 UNITS	9 UNITS	12 UNITS
TEACHING	20 - 40%	10 - 20%	
SCHOLARLY OR CREATIVE WORK	20 - 40%	10 - 20%	
SERVICE TO UNIVERSITY	40%	60%	80%
PROFESSIONAL GROWTH	0 - 10%	10 - 20%	20%

<sup>14</sup> Guidelines for the promotion of faculty administrators, 189<sup>th</sup> PAC meeting, 21 August 2002.

- 3 For faculty with twelve units of administrative load credit, professional growth may include teaching, scholarly or creative work, or extension. For the rest, it may include extension work.
- 4 The constituent university shall formulate concrete criteria and the corresponding point or value system using the weights and categories in table 3. The Chancellor shall make these measures known to the faculty.
- 5 In consideration of academic and scholarly criteria, no faculty member may cross rank solely on the basis of performance as an administrator.
- 6 The criteria for evaluating administrative service are as follows:
  - 6.1. Accomplishment of goals that support the mission of the unit and the University
  - 6.2. Responsible leadership and management of human, physical, and financial resources
  - 6.3. Promotion of the interest, and sensitivity to the needs, of the entire, diverse University community
  - 6.4. Innovations introduced in policies, guidelines, procedures, and services aimed at upgrading standards and improving performance
  - 6.5. Ability to make decisions and act decisively and fairly
- 7 The faculty administrator may opt to be evaluated according to the instrument for faculty who are not administrators (section 3), provided his/her administrative performance is at least satisfactory.
- 8 When evaluating the faculty administrator, the criteria for faculty (section 3) and for administrators (section 4) shall be prorated according to the length of time the faculty member served as an administrator during the period of evaluation.

## **B Evaluation Procedure**

- 1 The procedure for recommending faculty administrators is designed to elicit reliable feedback from colleagues in the discipline as well as other administrators at lower and higher levels with whom the administrator has worked.

TABLE 4. RECOMMENDATION PROCESS FOR FACULTY ADMINISTRATORS

FACULTY ADMINISTRATOR	SOURCE OF RECOMMENDATION
DEPARTMENT CHAIR, INSTITUTE DIRECTOR, OTHER COLLEGE ADMINISTRATORS EXCEPT DEAN, ASSOCIATE DEAN, AND COLLEGE SECRETARY	<input type="checkbox"/> THE DEAN, ASSISTED BY A COMMITTEE OF RESPECTED FACULTY MEMBERS CHOSEN BY THE DEAN. <input type="checkbox"/> THE DEAN CONSOLIDATES THE ACADEMIC AND ADMINISTRATIVE RATINGS.
COLLEGE SECRETARY AND ASSOCIATE DEAN	<input type="checkbox"/> THE DEAN AND COLLEGE ACADEMIC PERSONNEL COMMITTEE OR EXECUTIVE BOARD. <input type="checkbox"/> THE COLLEGE APC OR EQUIVALENT BODY CONSOLIDATES THE ACADEMIC AND ADMINISTRATIVE RATINGS.
DEAN AND CU-LEVEL OFFICIAL LOWER THAN VICE CHANCELLOR	<input type="checkbox"/> THE CHANCELLOR, ASSISTED BY THE VICE CHANCELLORS. <input type="checkbox"/> THE CHANCELLOR CONSOLIDATES THE ACADEMIC AND ADMINISTRATIVE RATINGS.
VICE CHANCELLOR	<input type="checkbox"/> THE CHANCELLOR, ASSISTED BY A COMMITTEE OF DEANS SELECTED BY THE CHANCELLOR. <input type="checkbox"/> THE CHANCELLOR CONSOLIDATES THE ACADEMIC AND ADMINISTRATIVE RATINGS.
CHANCELLOR	<input type="checkbox"/> THE PRESIDENT, ASSISTED BY THE VICE PRESIDENTS AND A COMMITTEE OF DEANS SELECTED BY THE PRESIDENT. <input type="checkbox"/> THE VICE PRESIDENT FOR ACADEMIC AFFAIRS CONSOLIDATES THE ACADEMIC AND ADMINISTRATIVE RATINGS FOR APPROVAL BY THE PRESIDENT.
SYSTEM OFFICIAL LOWER THAN ASSISTANT VICE PRESIDENT AND ASSISTANT SECRETARY	<input type="checkbox"/> THE PRESIDENT, ASSISTED BY THE VICE PRESIDENTS. <input type="checkbox"/> THE VICE PRESIDENT FOR ACADEMIC AFFAIRS CONSOLIDATES THE ACADEMIC AND ADMINISTRATIVE RATINGS FOR APPROVAL BY THE PRESIDENT.
VICE PRESIDENT, SECRETARY OF THE UNIVERSITY, ASSISTANT VICE PRESIDENT, AND ASSISTANT SECRETARY	<input type="checkbox"/> THE PRESIDENT, ASSISTED BY THE CHANCELLORS.

- 2 Like the rest of the faculty, administrators are evaluated from the date of the University's last promotion, provided that in the case of the latter, the formula to be used shall be prorated depending on when the faculty member assumed his/her administrative position.
- 3 If the faculty member served in the previous administration during the promotion period, the incumbent review bodies or officials shall consult their predecessors regarding the administrative performance of that faculty member.

- 4 The evaluation of the faculty administrator's academic performance (teaching, scholarly or creative work, service) shall be made by his/her department. Depending on the level of the administrator (see table 4), the Dean or the Chancellor shall consolidate the administrative and academic ratings of the faculty.
- 5 Faculty administrators serving in another constituent university on temporary second appointment shall be evaluated by their home and secondary units, as follows:
  - 5.1. The primary or secondary unit shall evaluate the faculty administrator for teaching and scholarly or creative work if the administrator teaches in the unit or researched/published on the discipline or on a subject related to the nature and scope of the unit.
  - 5.2. The evaluation as faculty administrator shall follow the procedure described in item B1 (table 4).
  - 5.3. The recommendation for promotion may emanate from either unit if the faculty administrator opts to be evaluated according to the instrument for faculty who are not administrators (section 3). In this case, the recommending unit shall send the documents to the Vice President for Academic Affairs, who shall then refer the recommendation to the other unit for evaluation. After evaluating the administrator's record, both units shall forward their recommendation to a joint committee chaired by the Vice President for Academic Affairs and consisting of the Vice Chancellors for Academic Affairs (or Instruction) of the two units concerned.
  - 5.4. However, if recommended according to the instrument for faculty administrators, the recommending bodies shall be those identified in item B, depending on the position of the administrator.
  - 5.5. The recommendation shall be submitted to the President and, if so endorsed, shall be sent to the Board of Regents for approval.
- 6 The official and/or committee tasked to evaluate administrative performance shall consider only reliable information about the faculty administrator's performance, discounting all unfounded conclusions and untruthful accounts.
- 7 Evaluators shall endeavor to assess not only quantity but, more importantly, quality and significance of the administrator's contributions.
- 8 Promotion ceilings, if any, shall apply equally to faculty and faculty administrators.

## ANNEX



## TEACHING PORTFOLIO<sup>1</sup>

### Contents of the Portfolio

The teaching portfolio submitted by the teacher should furnish evidence to demonstrate his/her strengths as a valuable member of the teaching community. A great deal of the information relevant for this purpose can be furnished only by the teacher himself/herself.

We propose that the teaching portfolio contain the following items:

- ▶ A Statement of the candidate's philosophy and practice of teaching,
- ▶ Teaching quality,
- ▶ Innovativeness,
- ▶ Range of teaching,
- ▶ Continual self-improvement, and
- ▶ Contributions to the cause of education.

In evaluating the quality of a teacher, it is important to separate factors that are under the teacher's control from those that are not. For instance, are the syllabuses of the courses that the candidate teaches designed by the candidate or are they provided to him/her by an external source? If the candidate did not participate in any of the outreach programs, was it because (s)he did not wish to participate, or was not selected by those who were in charge of selection? If the range of the courses taught by the candidate is limited, is it an artifact of the teaching assignment decided by the administration or is it a reflection of the candidate's limited range? It is the responsibility of the candidate to furnish sufficient information in the portfolio on such issues, such that the evaluating committee can make a meaningful decision.

### Philosophy and Practice of Teaching

The statement of the candidate's philosophy and practice of teaching should clearly articulate the candidate's general perspective on teaching, what the candidate hopes to achieve through teaching, and ongoing reflections on teaching and learning. It should also connect the general pedagogical position to the specific details of the curriculum and teaching methodology in the subject discipline. (For instance, it does not make sense to claim to teach critical thinking if this goal is not reflected in the design of the questions for assignments and the final examination.)

### Quality of Teaching

The various ingredients that go into the quality of teaching are spelt out in the Centre for Development of Teaching and Learning concept paper on Assessing Quality of Teaching in Higher Education. In providing evidence for teaching quality, the candidate is welcome to make use of the value system provided in this paper, or present an alternative perspective on teaching with its own value system.

---

<sup>1</sup> Centre for Development of Teaching and Learning (CDTL), National University of Singapore (excerpt).



Demonstrations of teaching quality will be based on examples of the candidate's syllabuses, teaching materials (e.g. class notes, textbooks, audio-visual tapes, computer programs, web sites, laboratory manuals), question papers, etc. to be included in the portfolio. The candidate may provide additional evidence for high quality in terms of external sources such as student feedback and peer review, teaching excellence awards, invitations to teach in special programs involving alliances with prestigious overseas universities (e.g. Singapore-MIT Alliance), and his/her perceptions on the teaching.

### **Innovativeness in Teaching**

Possible evidence may include commendations or awards for teaching innovation; innovative teaching materials, e.g. audio-visual tapes, computer software, web sites, textbooks, laboratory manuals; media interview/report relating to successful teaching innovation; internal/external grants for teaching innovations and development; development of subjects and/or courses in new, flexible, or traditional modes.

### **Range of Levels and Areas**

The portfolio should indicate the candidate's range of levels taught: undergraduate and graduate coursework; project supervision at undergraduate, honours or graduate coursework level, distance education, continued education, and so on. It should also indicate the range of areas of specialization in the context of the candidate's discipline and departmental practices. Evidence of multidisciplinary type of teaching, and teaching outside one's own Department, such as in the Talent Development Programme, Core Curriculum, etc., would also be relevant.

The portfolio should indicate the range of courses that the candidate has not taught (because of insufficient opportunities) but is capable of and is willing to teach. It may also cover courses that the candidate has taught in other universities before joining NUS or during sabbatical/study leave, etc. Additionally, the portfolio may include evidence of innovativeness, educational activities and continual self-improvement.

*Innovativeness in teaching, e.g.*

Innovative curriculum design (e.g. course objectives, syllabus, readings, etc.);

Innovative modes/styles of teaching, including active/interactive strategies, innovative exercises, strategies for promoting critical thinking, design of assessment tasks (e.g. projects, examination questions, quizzes), etc.;

Innovative ways of getting ideas and concepts across (e.g. metaphors/analogies, examples, live demonstrations, diagrams, etc.);

Innovative uses of IT.

*Continual Self-Improvement, e.g.*

Updating syllabuses, reading lists, class notes, projects, etc., with indications of keeping abreast with recent advances in the field. Use of new teaching resources, e.g. those provided by IT so as to teach more effectively and in harmony with the changing world and students.

Changes in the curriculum and methodology of courses taught, indicating ongoing reflection on teaching (e.g. adoption of Problem Based Learning, Inquiry Based Learning, etc.)

Participation in the teaching enhancement workshops, seminars, conferences, courses at NUS and outside, indicating the desire to acquire fresh ideas and to exchange ideas with others.

Seeking educational qualifications (e.g. certificates/diplomas/degrees in education).

*Educational Activities, e.g.*

The educational activities of a teacher includes considerations of the following aspects, within and outside NUS:

Service,

Research on education, and

Leadership in education.

Service may be categorized as: a) Educational services to the department, faculty, university, or nation (e.g. administrative roles such as year coordinator, appointments in committees or units meant for the enhancement of teaching in the university, promoting international links and collaboration); b) Service to fellow teachers; and c) Service for students, above and beyond the call duty.

Category (a) includes involvement in relatively administrative activities such as peer review, participation in various faculty/university/external committees dealing with teaching and learning issues, as well as participation in curriculum review and development. Category (b) includes conducting teaching seminars or workshops such as those organized by CDIL and other educational units within or outside the University. Category (c) includes collaboration with colleagues at other universities on the development of course materials for multimedia software, distance learning and continued education; giving inspirational/enhancement talks to students in schools and junior colleges; and involvement in learning enhancement activities in general.

Research on education includes published or unpublished papers/books/ reports on education; presentations (invited and uninvited) of conference papers, seminars, workshops on teaching and learning issues; organization of conferences at faculty/university/state/national level; editing or refereeing papers relating to teaching and learning issues.

Evidence for leadership in education may include initiating and promoting educational reform at the departmental, faculty or university level; active participation/leadership in professional societies and organizations relating to teaching and learning; leadership positions in teaching in professional associations; invitations from outside NUS to present papers/keynote or plenary addresses on higher education; and requests for advice/consultancy on teaching and learning issues.