Guidelines for Evaluation of Service in Faculty Performance Review

PURPOSE

The following guidelines are for faculty, chairs, deans, and other reviewing committee members involved in the preparation and consideration of merit and promotion cases. Lack of clarity in the current policies and procedures for evaluation of faculty service during merit and promotion reviews, coupled to a number of grievances that have come before the Berkeley Division's Committee on Privilege and Tenure concerning the significance of service in personnel decisions, have prompted the Academic Senate to develop more detailed guidelines for evaluation of faculty service. They are intended to provide a framework for how service is to be evaluated; they are not prescriptive.

BACKGROUND

In a December 1, 2003 letter to the faculty, the Academic Senate's Committee on Committees (COMS), in conjunction with the Committee on Budget and Interdepartmental Relations (BIR), wrote:

> Senate service is considered by the Budget Committee when reviewing personnel cases for merit raises and promotions. A balanced record of research, teaching, and service is the optimal combination of accomplishment. It is important to know that the University's expectations about service vary depending on one's tenure status and rank. A higher level of service is expected from associate and full professors, including significant service to the campus, such as service on Academic Senate committees. The higher up the ladder a faculty member is, the more service is expected.

The above statement is considered current, but both BIR and COMS believe that the definition of "service" could be amplified given the potential for uncertainty and ambiguity with respect to how this policy is implemented. The potential ambiguity appears to stem, in part, from APM section 210-1-d, Criteria for Appointment, Promotion, and Appraisal, which states the following.

> 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.

Section 210-1-d (4) of the APM on University and Public Service offers this further elaboration.

> 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.

In the above statement, the APM combines university service and public service, which may suggest that they are interchangeable, and the policy does not specify how "University service" is defined or assessed.

It is the view of COMS and BIR that "University service" specifically means service at the department, campus, and system-wide levels, and that all faculty are expected to participate in the governance and the common good of their department, the campus, and their profession.

COMMENTARY ON BIR AND COMS GUIDANCE REGARDING FACULTY SERVICE

The campus recognizes that some University service obligations are more suited for tenured faculty, such as Campus *Ad Hoc* Review Committees, but there are also many opportunities for junior faculty to serve. In order to cultivate a culture of service on the Berkeley campus, some suggested guidelines by professorial rank are offered here.

Assistant Professor. The University greatly benefits from the involvement of its junior level faculty members. An Assistant Professor is normally expected to provide service at the *local level* of the department or school, for example, by serving as an undergraduate adviser, as a member of a graduate admissions committee or as a member of a faculty search committee. Service at the Academic Senate or campus level is relatively rare for Assistant Professors, but when it occurs, it is most appropriate for the service to be on campus committees that do not have intensive and prolonged time demands.

Associate Professor. Associate Professors are expected to serve both their departments and the campus, for example through membership on standing Academic Senate committees and Campus Ad Hoc Review Committees. [It is understood, however, that Associate Professors in some departments may need to devote more service to the governance of their departments — whether as chairs, undergraduate or graduate directors. These faculty are thus not as free to perform campus service as faculty in other departments. It will be the job of the Chair to explain such situations in sending forward promotion and merit cases.] It is also expected that faculty in the Associate Professor ranks give time to their profession through service on editorial boards, grant review committees, or as elected or appointed officers of professional societies or associations.

Full Professor. At the level of Full Professor the expectations increase to include all of those categories initiated in the lower ranks of the professorate, up through and including the assumption of administrative positions such as Department Chair, ORU Directors, or leadership in other research units such as field stations. Service on Academic Senate committees is also expected, unless the aforementioned positions preclude such service. In addition, faculty at the Full Professor level are expected to serve on University-wide

committees when invited. In summary, Full Professors are expected to offer *frequent* and *broadly distributed* service to multiple constituencies within the academic community.

The above examples are not intended to be prescriptive but rather to illustrate the pattern and type of service expected of faculty members in the normal execution of their duties. Merit increases and promotion decisions depend on an "all-things considered" judgment about a faculty member's contributions. Campus service during each review period is not essential, but failure to serve at the campus level over multiple review periods makes it an increasingly significant factor arguing against merit increases and promotion as the duration of service deficiency lengthens. Similarly, it is also expected that faculty will contribute service to professional organizations and to public service requests, as called upon and when one's expertise is needed.

ADDITIONAL GUIDANCE ON THE NATURE AND EVALUATION OF SERVICE

1. One-time recognition of distinguished service. Long-standing Berkeley campus practice has been to apply APM 245-11[1] regarding service as a department chair to any faculty members who provide truly distinguished service and perform exceptionally well. A recommendation for such recognition should state that this campus practice is being invoked and should make clear what the exceptional strengths of the faculty member's service record are. Simply serving in a large number of different roles or devoting an exceptional amount of time to service does not by itself warrant this kind of recognition. Recognition can be given on a one-time basis for such contributions during reviews through Professor, Step V, either as justification for acceleration or to compensate for a temporary decrease in scholarly activity. This one-time-only recognition of service contributions has been the accepted practice for some time, and has served both the faculty and the Berkeley Division well.

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[1] **245-11 Criteria for Evaluating Leadership and Service in the Academic Personnel Process** Academic leadership is, in itself, a significant academic activity. Therefore, distinguished leadership and effective discharge of administrative duties by a department chair shall be considered as appropriate criteria in evaluating the performance of a department chair for a merit increase, accelerated increase, or promotion. It is expected that a department chair will remain active in both teaching and research in order to maintain his or her capabilities in the appropriate field of scholarship. However, a chair who discharges his or her duties as a chair effectively may have reduced time for teaching and research. Reduced activity in these areas that results from active service as a department chair should be recognized as a shift in the type of academic activity pursued by the department chair rather than a shift away from academic pursuits altogether. Therefore, it is entirely appropriate to award a merit increase, or, if performance warrants it, an accelerated increase, primarily for demonstrated excellence in service in the chair appointment when accompanied by evidence of continued productive involvement in scholarly activities.

Promotions in rank and advancement up to Step V of the Professor rank should be considered with these criteria in mind. However, advancement above Step V of the Professor rank or to an above-scale salary are advancements of greater significance than promotion and merit increases up to Professor Step V and should require substantial justification beyond excellence of administrative service.

Department chairs who are being considered for academic advancement are subject to regular review procedures, including review by the Committee on Academic Personnel or the equivalent committee.

2. Leaves-without-salary from the campus for governmental or industrial positions. These leaves can result in long-term benefits to the individual and the campus. However, absences from campus diminish opportunities for classroom instruction and University service, so when a case is prepared for a merit increase or a promotion under such circumstances, there should be exceptional strength in research, mentoring, and professional service to offset any lack of teaching and campus service.

3. Nonstandard Service. In some cases, service may be considered "nonstandard" or ambiguous with respect to how it should be considered. For example, the following situations may not be clear as to whether the contribution is to research, teaching, or service: (1) directing a field program overseas, which involves administrative service while at the same time contributing to one's research activities; or (2) administering an exchange program, where the faculty member directs the program while also teaching students in the program. The categorization of such activities is not evident from the descriptions usually provided by the faculty member. Therefore, the Chair, when preparing a faculty member's case for merit or promotion, should clarify the categorization of the activity under one or more of the headings of research, teaching, and service and should specify the nature of the activity in question.

4. Reporting and evaluation of service in merit and promotion cases. BIR will consider the service record just as it considers the teaching and research records in merit and promotion cases. Evidence of *interest* in campus service, such as a faculty member's volunteering for committee service in response to the annual call for service by COMS, in addition to *actual* service to the Campus, will be considered by BIR.

Evaluation of service goes beyond the simple statement of "served on committee X," instead a summary of the work performed and time spent on conducting committee (or other service) business should be provided. We recommend that this information be reported on one's biobibliography. COMS, as part of its annual process of appointing and renewing appointments to Academic Senate committees will gather information in a general fashion, in terms of the extent of service provided by the unit's faculty. In addition, those faculty who have performed exceptionally meritorious service will be identified and acknowledged. Chairs and Deans may assume that COMS invites faculty members to continue Senate service only if their past service has been of acceptable quality.

The role of the Chair or Dean is to evaluate the faculty member's service record. Enumeration does not constitute evaluation. Deans and Chairs may want to consider developing expected or typical service "paths" for faculty in their particular departments or units, to serve as models for their faculty. Deans and Chairs should evaluate the academic importance of service roles the faculty member has filled, the effectiveness of the faculty member's work in those roles, and the appropriateness of the service record given the faculty member's career stage; comparisons with the service records of others may be helpful.

The responsibility for evaluating service on committees or task forces that are outside the Academic Senate purview lies with the Chair/Dean, who should consult with others as necessary.

With regard to department chairs and directors of institutes, Deans and other Campus administrators should evaluate the quality of the service provided by faculty.

In essence, the case that goes to the BIR for merit or promotion consideration should describe the faculty member's service record, and the Chair or Dean's letter should evaluate the merits of the service record. The strengths and weaknesses of the service record, along with the strengths and weaknesses of the teaching and research records, will be weighed in the review process.

5. Public service — to the Community, the State, and the Nation. As faculty members advance through the professorial ranks, they are expected to exhibit an increasing record of service in their dossier of performance. Recognition is given to service that fulfills the public mission of the University through extramural service to community organizations, to governmental agencies at the local, state and national level, and to professional associations at the local, national, and international level. Nevertheless, this type of service *cannot* substitute for campus service over repeated review periods, nor can it fully compensate for lower productivity in research or reduced teaching.

In summary, significant service need not be continuous, but it should appear in a balanced record over time, generally extending beyond a single review period. Meritorious service on the part of faculty members should include frequent periods of active engagement at all levels, and as mentioned above, the scope of such service is expected to increase as a faculty member proceeds up the academic ladder of the professorate.

RESPONSIBILITIES

The *faculty member* is responsible for taking the initiative in seeking service appropriate to their rank. Faculty can seek positions on Academic Senate committees, for example, by completing the annual COMS call for service. Faculty members, when preparing background material for their promotion or merit case, should provide accurate information about their service records and should indicate any unusually demanding service they performed.

Deans and Chairs also should recommend faculty for appointment to various positions that are consistent with the faculty member's expertise and interest.

Department chairs are responsible for preparing the dossier for submission, and should gather information regarding the service record from as many sources as necessary in order to offer a fair assessment of the faculty member's record of service.

The *senior management group* (e.g., Vice Chancellor for Research) should also participate as necessary in assessing the service of faculty members who occupy research administrative roles.

The *BIR* will evaluate the case based on the information provided to it regarding teaching, research, and service as noted in the above APM section 210-1-d.

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