Academic Promotion of Higher Education Teaching Personnel

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## Presentation Outline

1. **Overview of the Project**
2. **Background**
   - National Policies and Directions in Higher Education
3. **Findings**
   - Position Classification and Compensation Scheme (PCCS) for academic (faculty) promotion in State Universities and Colleges (SUCs)
   - Practices on Academic (Faculty) Promotions
   - Structure and criteria for academic promotion
   - Evaluation and recruitment procedures
4. **Issues and Challenges**
Methodology

- **Documentary analysis/review**
  - UP, PNU, CNU, and TIP Faculty Manuals
  - UP Gazette, CHED Roadmap for Higher Education, Memos

- **Key Informants Interview (KII)**
  - VPAA, VPFA, Dean, Faculty, Promotions Committee

- **Focus group discussions (FGD)**
  - A group of administrators, HR, Promotions Committee

- **Validation: Comparative policy analysis**
  - **State universities** - The University of the Philippines (UP) and the Cebu Normal University (CNU)
  - **Private HEI** - Technological Institute of the Philippines (TIP)
Research Questions

1. What are the **major milestones** and developments in Philippine higher education in relation to Academic promotion?

2. What is the **status/working conditions** of academic personnel, as to terms and conditions of employment and security of employment?

3. What are the **criteria** for academic promotion? Are the criteria differentiated by professional grade?

4. What are the **implications of evaluation criteria** on teaching staff morale, professional performance, and the ability of the institution to reach their mission?

5. How is academic **evaluation and promotion** carried out?

6. What are the **other issues and challenges** to consider in academic/faculty promotion?
1. Overview

Table 1. Distribution of Philippine Higher Education Institutions

<table>
<thead>
<tr>
<th>Sector</th>
<th>Number</th>
<th>Percentage %</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public</td>
<td>656</td>
<td>29</td>
</tr>
<tr>
<td>Private</td>
<td>1643</td>
<td>71</td>
</tr>
<tr>
<td>Total</td>
<td>2299</td>
<td>100%</td>
</tr>
</tbody>
</table>

- Public HEIs include SUCs, LUCs, Public legislated institutions and CHED Supervised HEIs
- *Private includes sectarian and non-sectarian PHEIs
1.1 **Milestone: National Policies**

1. **Philippine Constitution**
   - The State shall give priority to education, science, and technology, arts, culture, and sports to foster patriotism and nationalism, accelerate social progress and promote total human liberation and development.
   
   - Art II, Sec 17, Philippine Constitution

3. Commission on Higher Education (CHED) Strategic Development Plan
4. Higher Education Reform Agenda
5. Roadmap for State Universities and Colleges (SUCs)
6. Salary Standardization Scheme (SSC)
7. Position Classification and Compensation Scheme (PSSC)
1.2 Roadmap for Public Higher Education Institutions

- **Public Higher Education**
  
  - Main instrument for high-level performance to meet the needs of the industry, public service and civil society

  - 4 functions of a Higher Education Institution
    - **Instruction**
    - **Research**
    - **Extension**
    - **PRODUCTION**
Roadmap For Public Higher Education Reform

Initiatives, Performance Indicators and Milestones, 2011-2016

Rationalize for Efficiency
- Rationalizing the number, distribution and growth of SUCs

Upgrade Quality
- Strengthen quality assurance in SUCs
- Upgrade qualification of Faculty

Enhance access to quality HEIs
- Modernize facilities of SUCs
- Strengthen STUFAPs

Strengthen public management
- Promote Executive Development Program
2. Position Classification and Compensation Scheme for SUCS (PD 985)

- **Aim:**
  - To rationalize academic rank and salaries/advancement of faculty members in SUCS
  - Provide a scheme for upgrading/promoting qualified and deserving faculty members through a process objective evaluation
  - Paved the way for the development of Common Criteria for EVALUATION (CCE) among State Universities and Colleges
3. The Structure and Criteria for Academic Promotion
3.1 Research Locale:
The University of the Philippines

- The University of the Philippines is a public non-sectarian, non-profit institution of higher learning. It is the nation’s leading institution devoted to higher education, research and community service.

- The UP faculty are scholars who are able to integrate teaching, research and a broad extension work into the specific contours of their respective fields of discipline.
The University of the Philippines System (with Constituent Units)

- UP Manila
- UP Visayas
- UP Mindanao
- UP Baguio
- UP Diliman
- UP Los Banos
- UP Open University
A total of 2,207 faculty scholars are with the University of the Philippines.
3.3 The UP Statement on Faculty Tenure, Rank and Promotion

- UP draws its strength from the faculty, whose intellectual capacity, creative talent and competence shape the institutions culture and reputation.
- The University must attract, recruit and retain the faculty of highest quality.
- Decisions on faculty hiring, retention, and promotion are crucial in determining the nature and form of the department and College as a whole and the very future of the University.
- 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 community.
Status and Working Conditions @ UP
4.1 Three Fundamental premises of academic life at UP

1. **Academic standards** – this is the basis for faculty appointment, tenure, and promotion.
   - *This is the guarantee of academic freedom, a right and a value without which the university ceases to exist*

2. **Demonstrable character** of 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*

3. **Value of peer review** in arriving at decisions for appointment and promotion.
   - *By submitting themselves to the judgement of their peers at various levels, faculty members gain recognition of their achievements and meritorious ones are awarded tenure and promoted*
Terms used at UP Academic Promotion

- **Tenure**
  - **Right of the faculty member for continuous employment** until he/she retires voluntarily leaves the university or is dismissed for a cause.
  - **Pact between the university and the faculty member**, in which UP agrees to guarantee academic freedom and scholarly activities.
  - It enables the University to attract and retain the best faculty.
4.2 Privileges and Responsibilities of Tenured Faculty

1. **Employment** until retirement, resignation or dismissal

2. **Economic security** that ensures salary, rank, and benefits are not reduced during period of employment, except for a cause

3. Continued university **support for teaching and scholarship activities**, including reasonable teaching assignment, and reasonable adequate facilities.
Tenure Track positions

Types of initial appointment

Direct entry

Lateral entry

Professor

Associate Professor

Assistant Professor

Instructor
### 4.3 Period of Probation for Tenure-Track Faculty @ UP

<table>
<thead>
<tr>
<th>Rank</th>
<th>Period of Probation</th>
<th>Extension</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instructor</td>
<td>5 years</td>
<td>In case the Instructor is at the thesis stage of their master’s, they may be extended for a year.</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>Within 2 years from the date of appointment</td>
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</tr>
<tr>
<td>Professor</td>
<td>Within a years from the date of appointment</td>
<td></td>
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</tbody>
</table>
Period of Probation for Tenure –Track Faculty

- It may be shortened by taking into acct the ff:
  - Outstanding performance as a teacher and a scholar in the initial years of appointment
  - Prior service as teacher and scholar in the initial years of appointment

Within the probationary period, the faculty is appointed YEARLY. If the faculty appointment is not renewed, the faculty is not renewed and the tenure is not granted.

If in the first year, the faculty did not perform well, his/her appointment shall not be renewed. However, if the faculty shows she/he can improve a one-year improvement plan is given.
4.4 Non-Tenure Track Faculty

- NTT Faculty refers to a full-time or a part-time faculty position with a certain rank which does not lead to tenure. These are:

  - Substitute Faculty
  - Casual Faculty
  - Adjunct faculty
  - Lecturer
  - Senior Lecturer
  - Professorial Lecturer
  - Clinical Faculty
  - Teaching Associate
  - Research and Extension Personnel
  - Affiliate Faculty
  - Visiting Professor
  - Teaching Assistant
## 4.5 General Criteria for Tenure

<table>
<thead>
<tr>
<th>Rank</th>
<th>Criteria</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>I. The faculty member must have appropriate credentials and experience in teaching, research and extension</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Instructor</td>
<td>3 years of meritorious service</td>
<td>Tenure is given at this rank only if there is no funds for promotion to Asst Prof rank</td>
</tr>
<tr>
<td></td>
<td>Masters or equivalent degrees</td>
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</tr>
<tr>
<td></td>
<td>And able to lead authorship of at least one refereed journal article (local and international)</td>
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<tr>
<td></td>
<td>Academic publication by a recognized academic publisher or literary publisher</td>
<td></td>
</tr>
<tr>
<td>1. Assistant Professor Rank</td>
<td>At least master’s degree or equivalent degree, satisfactory teaching, and sole authorship of at least one refereed journal article</td>
<td>Record of service on committee work and extension service</td>
</tr>
<tr>
<td>1. Higher Ranks</td>
<td>Greater evidence and body of work of sustained scholarship and quality publications or equivalent creative works and teaching excellence as determined by the college</td>
<td></td>
</tr>
</tbody>
</table>
4.5 General Criteria for Tenure

2. Implicit evaluation of tenure-track faculty at lower ranks is the promise that the faculty holds for further scholarly and professional development.

3. Given the range and types 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.
## 4.6 Standards for Evaluation of Tenure-Track Faculty

<table>
<thead>
<tr>
<th>Performance</th>
<th>Desired Quality and Attributes</th>
<th>Sources of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>Knowledge of subject matter</td>
<td>✓Student evaluation</td>
</tr>
<tr>
<td></td>
<td>Contribution to intellectual development of students through such means as course syllabus and materials, interaction</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Sustained commitment to classroom interaction</td>
<td>✓Student evaluation</td>
</tr>
<tr>
<td></td>
<td>Capacity to direct graduate senior undergraduate work, directed studies, seminars, internships, field work and other courses</td>
<td>✓Peer evaluation ✓Course syllabus ✓Instructional materials ✓Teaching</td>
</tr>
<tr>
<td></td>
<td>Ability to communicate effectively to students</td>
<td>✓Teaching portfolio ✓Overall class performance ✓Submission of grades on time ✓Teaching–related grants ✓Teaching excellence awards</td>
</tr>
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## Standards for Evaluation of Tenure-Track Faculty

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<tr>
<th>Performance</th>
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</thead>
<tbody>
<tr>
<td>Research</td>
<td><strong>Commitment to original research or creative work that will lead to sustained contributions over time and to growth in scholarly and professional stature</strong></td>
<td>✓ Critical peer evaluation using standards of discipline</td>
</tr>
<tr>
<td></td>
<td></td>
<td>✓ Papers read in conferences</td>
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<tr>
<td></td>
<td></td>
<td>✓ Creative work research projects</td>
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<tr>
<td></td>
<td></td>
<td>✓ Refereed publications (journals, articles, books, book chapter) or equivalent artistic presentation in visual and performing arts</td>
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<tr>
<td></td>
<td></td>
<td>✓ Membership or leadership in professional organization</td>
</tr>
<tr>
<td></td>
<td></td>
<td>✓ Award and achievement in any discipline</td>
</tr>
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Standards for Evaluation of Tenure-Track Faculty

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<th>Desired Quality and Attributes</th>
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<tr>
<td>Service</td>
<td>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</td>
<td>✓ committee work ✓ Participation in department, college and university activities ✓ Extension report ✓ Feedback from beneficiaries or partners ✓ Public service award</td>
</tr>
</tbody>
</table>
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.**

The evidence must show the **faculty members capacity for continued scholarly work** even after the **grant of tenure.**

The higher the rank which the **grant of tenure is considered**, the greater the evidence of **sustained scholarly work and professional achievement.**
4.7 Evidence of Merit

- Evidences
- Application
  - Record of teaching, research and service
- Intellectual honesty
  - Academic grounds: professional ethics
- Other values central to academic life
4.8 Evaluation Process

- Evaluation for renewal
  - Regularly done by department

- Recommendation
  - Only tenured faculty can recommend

- Chancellors Recommendation
  - Addressed to the President – to the Board of Regents

CAPC is elected by all faculty members, tenured and non-tenured

Dept Chair to the Dean

College Academic and Personnel Committee (CAPC)
4.9 How evaluation is to be conducted

- APC is selected by the faculty members
- Access to evaluation documents
- Chair
- Minimum criteria
- Discipline-based additional requirements
- Stringent requirements for higher ranks (with approval of the Dean, Chancellor and President and BOR)

Voting
- Voting is made only by tenured faculty
- Voting faculty must be transparent in explaining their votes to colleagues

The candidates must be informed regarding the process towards satisfying the standards
### 4.10 Minimum Qualifications and Expectations of Faculty Ranks

<table>
<thead>
<tr>
<th>A. Initial Appointments</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Instructor</td>
<td>✓ Appropriate undergraduate degree and scholastic record</td>
</tr>
<tr>
<td></td>
<td>✓ Intellectual competence to teach introductory courses</td>
</tr>
<tr>
<td></td>
<td>✓ Good teaching potential as manifested by sample lectures or teaching demonstration</td>
</tr>
<tr>
<td></td>
<td>✓ Motivation to undertake graduate courses and potential for success in graduate studies</td>
</tr>
</tbody>
</table>
## Minimum Qualifications and Expectations of Faculty Ranks

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<thead>
<tr>
<th>A. Initial Appointments</th>
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<tbody>
<tr>
<td><strong>2. Asst Professor</strong></td>
<td>✓ Appropriate MA / MS degree or equivalent degree</td>
</tr>
<tr>
<td></td>
<td>✓ Competence in teaching as evidence by student evaluation and very good teaching potential as manifested by sample lectures or teaching demonstration</td>
</tr>
<tr>
<td></td>
<td>✓ Ability to undertake research or creative work</td>
</tr>
<tr>
<td></td>
<td>✓ Active participation in departmental activities and when possible college of university activities</td>
</tr>
</tbody>
</table>
## Minimum Qualifications and Expectations of Faculty Ranks

### A. Initial Appointments

<table>
<thead>
<tr>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Appropriate PhD or equivalent terminal degree</td>
</tr>
<tr>
<td>✓ Better or satisfactory teaching performance</td>
</tr>
<tr>
<td>✓ Demonstration of high level competence in research or creative work</td>
</tr>
<tr>
<td>✓ Ability to supervise research or direct creative work or performance</td>
</tr>
<tr>
<td>✓ Active participation in department, college and University activities and extension work</td>
</tr>
</tbody>
</table>
### Minimum Qualifications and Expectations of Faculty Ranks

<table>
<thead>
<tr>
<th>A. Initial Appointments</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>3. Full Professor</td>
<td>✓Appropriate PhD or equivalent terminal degree</td>
</tr>
<tr>
<td></td>
<td>✓Highly productive and sustained publication record or equivalent creative output</td>
</tr>
<tr>
<td></td>
<td>✓Active participation in department, college and University activities and extension work</td>
</tr>
<tr>
<td></td>
<td>✓Demonstration of highest standards of professional excellence, academic integrity, and service to the university</td>
</tr>
</tbody>
</table>
5.1 Principles of Academic Promotion @ UP

1. Promotion is recognition of the faculty members' accomplishments, growth, and development as a teacher and a scholar, and service to the University.

2. Promotion affirms primacy of academic excellence in support of the University's mission.

3. Evaluation of merit must involve application of academic and professional judgement by peers.

4. The breadth and depth of academic and professional fields in the University make the development of detailed promotion criteria.
5.1 Principles of Academic Promotion @ UP

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.

6. Promotion to higher ranks occurs only three times in faculty career, from Instructor to Asst Professor, from Asst Prof to Associate Prof, and from Associate Prof to Professor.

7. All faculty members are expected to perform minimum duties and expectations contained in University Rules.
5.1 Principles of Academic Promotion @ UP

8. As the faculty and university develop, the standards of performance should change.

9. The career path of a faculty member begins with hiring.

- Appointment at the Instructor level shall be reserved for those **judged to have potentials for development**.

10. A cap on promotion and priority categories for promotion may be imposed by the constituent university and or system, owing to budget constraint.
## 5.2 General Evaluation Criteria and Indicators

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Weights</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Purely Graduate/Mixed Units</td>
</tr>
<tr>
<td>Teaching</td>
<td>30-40%</td>
</tr>
<tr>
<td>Scholarly and creative work</td>
<td>30-40%</td>
</tr>
<tr>
<td>Service</td>
<td>10-15%</td>
</tr>
<tr>
<td>Professional Growth</td>
<td>10-15%</td>
</tr>
</tbody>
</table>
5.3 Actual Case: UP 2014 Merit Promotions for the Regular Faculty and Research Faculty – Additional Guidelines

1. The call for promotion shall be selective and based on merit.

2. In keeping with the University’s commitment to excellence, the criteria used shall be as rigorous, more than in previous years.

3. The number of faculty to be promoted shall be determined by the constituent university.
Promotions take effect on 1 Jan 2014

Faculty shall be evaluated from 1 April 2010-31 Dec 2013: teaching, scholarly research or creative work, service to the University and the public, and professional growth.

For faculty who received automatic promotion solely due to acquisition of a PhD, their accomplishments (publications) during period 1 April 2010-31 Dec 2013) shall be considered
7. Promotion to higher ranks requires the highest standards of performance, in addition to this, a peer-reviewed publication in a highly reputable journal or in an academic book, or creative work that has passed peer evaluation is required.

8. Recommendations shall be accompanied by strong justification.

9. To be considered for promotion, faculty members must have satisfactory teaching/mentoring performance as determined by the Unit.
10. Faculty on secondment may be promoted based on their achievement/contributions to public administration/service and knowledge in their respective offices.

11. Faculty members with administrative case shall not be disqualified for promotion while the case is pending.
5.4 Procedure for 2014 Promotions

Recommendation from Department /Institute level through the Academic Personnel Committee (APFC) or the University Academic Personnel Board (UAPB)

APFC Or UAPB reviews college recommendations

3 months

Recommendations will be acted by the pertinent committees
- Asst Prof/Assoc Prof - Chancellor
- Crossing ranks _ Chancellor of OVPAA System Committee formed by the President

Final Approval of the recommendations for promotion to or at the rank of Assoc Prof and Prof comes from BOR, upon the recommendation of the president
Findings from FGDs

- No regular schedule of evaluation for academic promotion
- Tenure is highly competitive. Department endorsement does not guarantee promotion
- UP or OUT system pushes UP faculty to seek for employment with competitors (private university)
- UP evaluates on the 5th sem and if publication requirement is not met, the faculty is not loner rehired for the 6th sem.
6. Admin says.....

- System committee worked on the Academic promotions criteria
- Faculty consultations were done and recommendations were taken in
- Campus-wide consultation took place for over 4 months
- Comments were extensive and improved the academic promotion system
- Changes in the world of knowledge and their impact to society were considered.
7. Insights from the Faculty Regent

- Teachers salary is based on Salary Standardization Law (SSL), a pittance of what other professors get in other leading private universities (ADMU and DLSU)

- If faculty are untenured, they should be ready for unemployment if they do not publish in a scientific or academic paper after five years of overloaded subjects and committee work.

- Untenured faculty are treated like a disposable commodity which can be displaced and replaced any time.

- Academic promotion timing depends on the President of the System, if it will be implemented as scheduled or not.
7. Voices from selected Faculty

- Many **faculty scholars** feel pressure to get as many **articles published as quickly as possible**, since tenure committees are often swayed by the sheer number of articles published.
- The problem in getting tenure is submitting more articles for IRP and quantity is valued more highly than quality.

<table>
<thead>
<tr>
<th>Requirements</th>
<th>Situation</th>
</tr>
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<tbody>
<tr>
<td>IRP</td>
<td>RIP</td>
</tr>
<tr>
<td>Publish</td>
<td>Perish</td>
</tr>
<tr>
<td>UP</td>
<td>Out</td>
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</tbody>
</table>
6.2 ISSUES on Academic promotions perception and impact on teaching morale, behaviour and campus culture

- The Academic Promotions Committee has been identified as the most powerful committee in the University, who can decide the fate of the faculty
- APC brings in demoralization and some reported sexual harassments
  - No uniform standard in each campus unit
  - APC has the prerogative to devise own criteria despite the manual and Memos. (egs crossranked publication vs article published)
  - Some faculty are “Frozen Delights”
  - Strictly for ISI journal
  - Assoc Prof in other Univ = Assistant Prof in UP
6.1 Standpoints

- High academic standards
- Academic freedom
- Professional Ethics
- Commitment to sustained intellectual growth