

The background features a large, light blue watermark of the University of Delaware seal. The seal is circular and contains a shield with two open books. The left book is labeled 'GRAMM PHILOL RHETOR ETHICA' and the right book is labeled 'METAPH LOGICA MATHEN PHYSICA'. Below the shield is a banner with the word 'SOL'. The outer ring of the seal contains the text 'UNIVERSITY OF DELAWARE' at the top and '1743' at the bottom, flanked by two stars. The seal is partially obscured by the text on the slide.

Promotion & Tenure Review at UD

28 August 2024

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Goals of this Session

- Revisit key elements of the P&T process.
- Discuss (relatively) recent changes to the Faculty Handbook policy on P&T.
- Offer an opportunity for the community to ask questions, make comments.

Note:

4.4.10 Promotion Process Schedule

- Notification of intention to apply for promotion due April 30
- Dossier Due September 1
 - Please be advised that because 9/1 falls on the Labor Day weekend, all dossiers can be submitted until Tuesday, 9/3 at 11:59pm. Support will be available during normal business hours (9am-5pm). Answers to frequently asked questions can be found in this link: <https://provost.udel.edu/files/2020/06/PT-Faculty-FAQ.pdf>
- Sometime in the summer external review packets are to be sent out. This process is left to the department to manage. Check on your department's policy. If not written, consider creating a written procedure.

Faculty Handbook

4.4.1 Faculty Promotion and Tenure

The ultimate objectives of promotion policies at the University of Delaware are **faculty excellence** and **procedural fairness**. In order to preserve and enhance its reputation as an institution of higher education, the University must establish and maintain high standards of teaching, scholarly and artistic activity, and service. At the same time, it must treat each faculty member with decency and respect. Thus, these procedures seek to promote the individual's welfare and professional development while at the same time fostering the University's growth toward excellence.

4.3 Workload and Evaluation

- 4.3.1 Consistency between Workload Policy and Other Policies
The University strives for consistency among the following policies:
 - Workload assignment policies;
 - Promotion and tenure policies and decisions;
 - Faculty appraisals by the department chairperson or college dean, et. al.;
 - Merit salary award policies;
 - Initial contract and contract renewal decision policies.
 - Faculty holding tenure-track positions are expected to perform the activities enumerated in the unit's approved Promotion & Tenure document.

UD Strives to Enact a P&T Procedure that is characterized by

- Procedural Clarity
- Transparency
- Fairness

Procedural Clarity

- Section 4.4 of the Faculty Handbook is the governing P&T policy.
- It contains an outline for the dossier and a timeline for the review process.
- College and department policies must align with the Handbook policy.
- When policy statements conflict, the Handbook policy prevails.

Transparency

- Candidates see the internally generated review letters at every stage of the process.
- 4.4.6 Departmental Responsibilities
 - Review letters are signed,
 - Include vote totals and explain the reason for the decision
 - Signed minority reports are also allowed

Fairness

- Candidates have the right to appeal the decision at every stage of the process.
- Candidates can add evidential material at any stage of the process.
- Candidates have the right to withdraw at any point.
- Reviewers can solicit additional information from the candidate and previous reviewers that might clarify the dossier.

Office of the Provost Vice Provost for Faculty Affairs

- Responsible for overseeing the process.
- Offers guidance to candidates and reviewers.
- Assists the Provost in the review of dossiers.

4.4.4 Candidate's Rights and Responsibilities

- To “apply for promotion in any academic year.”
- To prepare an “organized and cogent dossier, representing the case for promotion as well as possible.”
- The organization of the dossier is described in "Promotion Dossiers."

Recent Changes to the University P&T Policy

- Teaching Section (4.4.11)
 - Innovation Statement
 - Student Course Feedback (4.4.11)
- Scholarship Section (4.4.11)
 - Titling of scholarship statement
 - Broader Impact Statement
 - Community Engagement Statement
- Service Section (4.4.11)
- Professional Activity Prior to Employment (4.4.11)
- Temporary COVID Policies (4.4.18)

Teaching Narrative: Innovation Statement

- Teaching innovation statement highlighting the candidate's efforts to: develop new course(s) and content; utilize novel pedagogy in instruction; create and incorporate curricular content that connects the subject matter to societal impact through community engagement or innovation; instruct students on processes associated with creating, delivering and capturing value from new ideas, including technology commercialization; and/or engage students in collaborative efforts to solve complex real-world problems.

Student Course Feedback (4.4.11)

Quantitative student course feedback (collected using institutional measures) properly tabulated and summarized. The procedures used in administering the feedback should also be described in context. Where available, comparable departmental measures should be provided. **Student course feedback can reflect unconscious bias and may not reflect student learning. Such measures should only be considered in conjunction with other indicators of teaching quality.**

Scholarship

- Scholarship section now titled **Research/Creative Activities**
 - A. Evidence of scholarly attainment **which may include:**

Broader Impacts

Intellectual Property, Sponsored Research Outputs, Use & Licensing, Entity Creation, Patents, trademarked works, trade secrets, novel designs, open innovations, startups, social ventures and other creative outputs reflecting the translation of the candidate's scholarly and creative activities into forms for making broader (societal) impact may be documented in the dossier, if appropriate. Evidence for the societal or disciplinary usage/benefit of the work should be included to validate the significance of the candidate's contributions.

Community Engagement

Scholarly products of mutually beneficial community engagement may include, policy documents, publications in disciplinary and interdisciplinary referred journals, publications in community engagement referred journals, presentations and grants, curricular innovations, executive summaries, exhibitions, and performances.

Professional Activity Prior to University Employment

(4.4.11)

It is expected that for promotion, the candidate must offer clear evidence of substantial scholarly achievement made after the awarding of the doctorate or other appropriate terminal degree or postdoctoral work. The research involved for that degree or postdoctoral work was one of the reasons for initial employment; promotion, on the other hand, must consider evidence of scholarship accomplished subsequent to that performed for the degree or postdoctoral work. **However, this requirement does not mean that publications based on the dissertation or postdoctoral work should be totally ignored. Additionally, new publications based on previously collected large datasets may have merit in certain disciplines. Through mentoring, departmental P&T guidelines, letter of appointment, and the peer review process, each department is responsible for making clear to new faculty members what work will (and will not) count toward the promotion and tenure decision.**

Temporary COVID Policies (4.4.18)

- Contract and Tenure Clock Extension

Applies to all tenure track faculty and continuing track faculty as of the 2019-2020 or 2020-2021 academic years.

- Evidential Materials, Teaching

Student feedback collected in Spring 2020 through Summer 2021, may be included in future faculty evaluations and future peer reviews only at the discretion of the faculty member.

- COVID Impact Statements
- External Reviewers

Reminders/Clarifications

- Changes in unit priorities (4.4.13)
- No double reviewing (4.4.7)
- Chair's role (4.4.6)

Changes in Unit Priorities (4.4.13)

Those faculty who are candidates for promotion and/or tenure during the probationary period prior to the granting of tenure have the right to be reviewed under the policy and procedure in force at the time of hiring, rather than under any revised policy or procedure subsequently adopted.

No Double Reviewing (4.4.7)

Faculty members may participate and vote on either the department or the college level, but not on both. It is the practice of the University Faculty Senate P&T Committee to not allow department members of those under review to vote.

Department Chair's Role (4.4.6)

“The committee should also consult with the department chairperson, who should offer counsel but neither participate in its final deliberations nor vote on its recommendation.”

Faculty Affairs Website

<p>FACULTY AFFAIRS</p> <ul style="list-style-type: none"> UD ACHIEVE PROGRAM UD ADVANCE INSTITUTE POLICIES AND GUIDELINES PROMOTION AND TENURE RESOURCES + AWARDS + 	<p>PROMOTION AND TENURE</p> <p>The chief goals of promotion and tenure policies at the University of Delaware are promoting faculty excellence and ensuring procedural fairness. In order to realize these aspirations, the University must establish and maintain the highest standards of teaching, scholarly and artistic activity, and service. These resources are meant to help guide candidates and reviewers in this important work.</p>	<p>FACULTY AFFAIRS</p> <ul style="list-style-type: none"> UD ACHIEVE PROGRAM UD ADVANCE INSTITUTE POLICIES AND GUIDELINES PROMOTION AND TENURE RESOURCES - NEW FACULTY ORIENTATION FACULTY MENTORING AWARDS + 	<p>RESOURCES</p> <p>This page contains a collection of resources for faculty, chairs and deans.</p>
<p>Upcoming Events</p> <ul style="list-style-type: none"> Aug 28, 2024 Promotion and Tenure at UD: Policy & Process Review Sep 5, 2024 Fall 2024 Peer Review Course Kickoff Sep 9, 2024 Faculty Senate Meeting Sep 20, 2024 Faculty Affairs Coffee Hour 	<p>Promotion and Tenure Information for Candidates and Reviewers -</p> <ul style="list-style-type: none"> 2024 UD P&T Memo 2024 eBinder System Overview Video P&T Policy Review August 2023 Mentoring for Success: Annual Appraisals, Peer Reviews, P&T COVID Impact Statement Resource Evaluating COVID Impact Statements Timeline of COVID-19 Pandemic and Administrative Decisions <p>Guidance for Using the eBinder System +</p> <p>Peer-Review, Promotion and Tenure Workshops +</p>	<p>Upcoming Events</p> <ul style="list-style-type: none"> Aug 28, 2024 Promotion and Tenure at UD: Policy & Process Review Sep 5, 2024 Fall 2024 Peer Review Course Kickoff Sep 9, 2024 Faculty Senate Meeting Sep 20, 2024 	<p>General Resources +</p> <p>New Faculty +</p> <p>All Faculty +</p> <p>Deans -</p> <ul style="list-style-type: none"> Accreditation Continuing Track Renewals - submit request Emerita/Emeritus Appointments - submit request Expedited Tenure Review - submit request Faculty and Staff Hiring - Please contact Kawkab Rasheed (krasheed@udel.edu) Faculty Special Salary Increase - submit request Named Professors and Named Chair Nominations - submit nomination Promotion and Tenure <p>Chairs +</p>



Faculty Evaluation: Minimizing Evaluation Errors

A Workshop for Faculty Review Committees





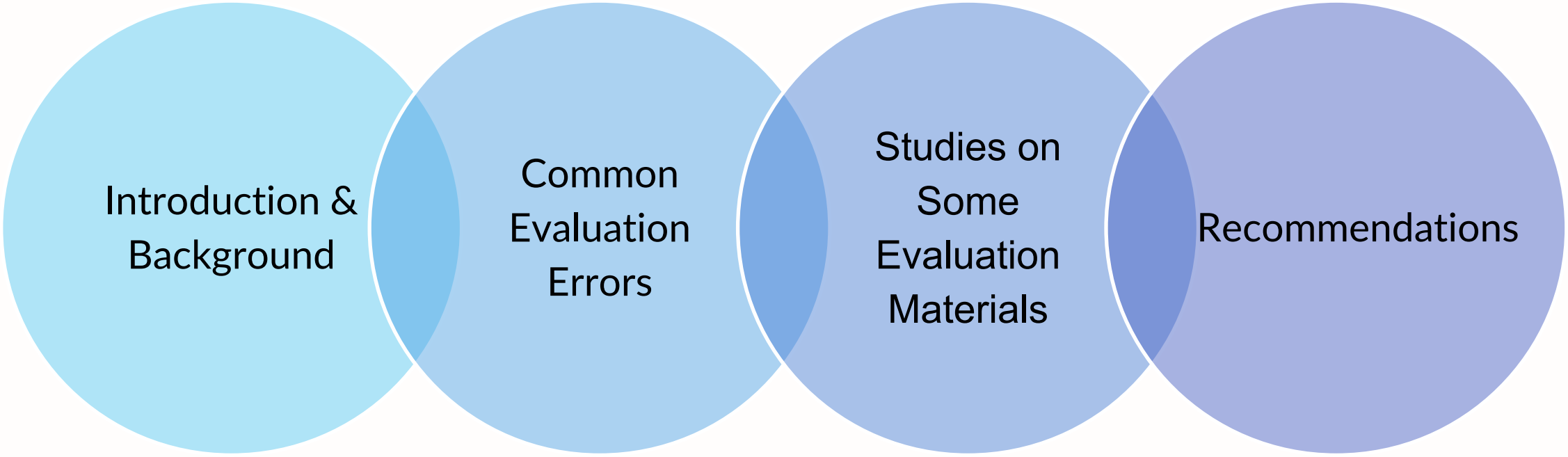
UD ADVANCE Institute

- Originally funded by an NSF ADVANCE Institutional Transformation award and currently funded by the provost's office
- Core work involves the development and dissemination of research-based initiatives surrounding faculty development, diversity, and positive departmental climates
- Programs and initiatives are for all faculty





Agenda



Introduction &
Background

Common
Evaluation
Errors

Studies on
Some
Evaluation
Materials

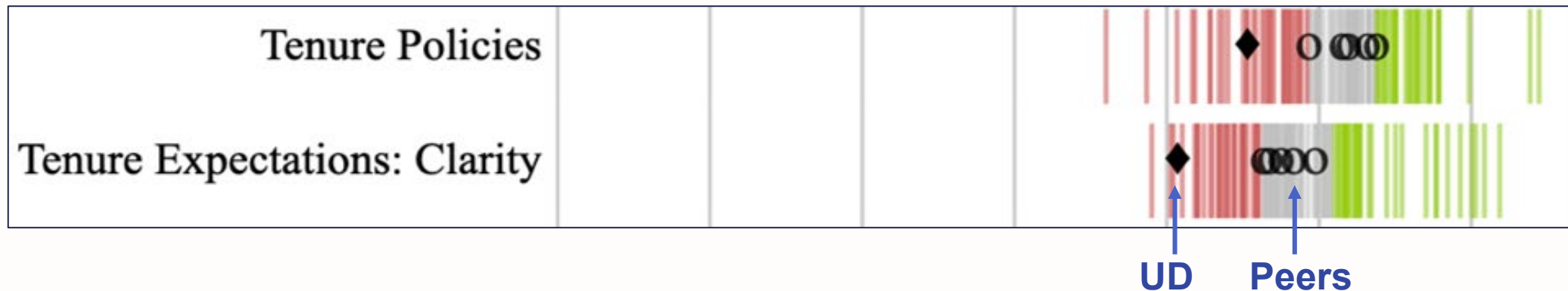
Recommendations



Workshops for Faculty Evaluators – Why (Now)?

2020 COACHE Results

- Low levels of satisfaction surrounding tenure policies and clarity of expectations, with women and URM being less satisfied than other groups.



Peers, Chosen by UD: Indiana, Pittsburgh, Rutgers, Maryland, Virginia Tech



Faculty Evaluation

Peer review, or P&T evaluation, is a complex task that involves interpreting, synthesizing, and assessing many different types of information. For example:

- Written policies (P&T documents)
- Candidate statements: Research, Teaching, Service, Workload, COVID-19
- External letters for P&T
- Other external input such as teaching evaluations
- Unofficial impressions or input from others

There is inherently some level of subjectivity involved in the evaluation process, and room for error--especially when we are rushed or distracted.





Recommendation

When evaluating a dossier, slow down, be intentional, and take notes.

- Evaluation errors are more likely to occur when we rush or are distracted or tired.
- Careful and deliberate evaluation will help you mitigate against the possible presence of bias in things like student teaching evaluations or external letters.
- Taking notes will help you to slow down and to remember your perspective and defend your position (if needed) in future discussions of the case.





Examples of Common Evaluation Errors

- **Stereotyping.** Evaluators judge an individual based on group membership.
- **Favoring what is familiar.** For example, one might give greater weight to external letters from people/institutions that one knows.
- **Anchoring on certain aspects of the dossier at the expense of others.** For example, over-emphasizing numerical metrics over the full record.
- **Seizing a pretext.** Evaluators hide – often implicitly – one’s real concern. For example, by focusing on a few negatives/positives rather than overall performance.
- **Momentum of a group.** Individual evaluators fall in line with the majority consensus without fully hearing other considerations.





Potential for Error in Evaluation Materials

Studies show that some types of materials commonly used in evaluation might not accurately reflect candidate qualifications or achievements, and may even be biased.

1. Student Evaluations of Teaching
2. External Letters for P&T
3. Numerical metrics (citation counts)

We will briefly overview some social science research on these three topics and then discuss more recommendations.





Student Evaluations of Teaching (SETs)

- SETs are often poor measures of *teaching effectiveness*; instead they tend to reflect factors such as student expectations, course size, type of course, etc.
- SETs are often *biased* – against women, faculty of color, non-native speakers, and other demographic groups.

Heffernan, T. (2021). *Assessment & Evaluation in Higher Education*, 47(1), 144–154, and citations therein.

External Review Letters

A recent analysis of 1000 external review letters (for 195 candidates) suggests that characteristics of letters, and their writers, may influence P&T decisions as much as, or even more than, candidate characteristics.

Madera, J. M., Spitzmueller, C., Yu, H., Edema-Sillo, E., & Clarke, M. S. (2024). *Research Policy*, 53(2), 104939.





Productivity/Impact Proxies

Research shows that that numerical productivity proxies like citation counts can be biased and journal rankings/impact factors don't always measure quality. These studies span disciplines, including STEM, social science, and the humanities. Examples:

- Citation practices can lead to over-citation of men and under-citation of women.
- A study finds that high citation count and impact factor correlated with lower degrees of statistical power and lower replicability.
- A study of journal rankings concludes that journal ranking is not consistent enough over time to be used reliably to evaluate individual researchers. The authors suggests that journal ranking be considered as a “minor component” of the overall evaluation.

Teich, E.G., et al., *Nat. Phys.* 18, 1161–1170 (2022); Dion ML, et al., *Analysis*. 2018;26(3):312-327; Dworkin, J.D. et al., *Nat Neurosci* 23, 918–926 (2020); Wang, X., et al., *Annals of the International Communication Association*, 45(2), 134–153 (2021); A.Ferrara, et al., *Research Evaluation*, Volume 25, Issue 3, July 2016, Pages 279–291; Dougherty, Michael R., and Zachary Horne. *Royal Society Open Science* 9.8 (2022): 220334.





Recommendation

Be aware of the limitations and the potential for bias in SETS, external reviews, and productivity proxies. These items should be considered in context, weighed as a single factor among many, as part of a thorough review of the candidate's dossier.

- Avoid over-emphasis on numerical metrics or specific journals.
- These measures, when they do work, can advantage some subdisciplines over others.
- Incorporate other ways to assess impact: For example, scholarship that proposes a novel solution or theory, changes the way we think about an issue, bridges fields, etc. (creativity)
- Read key elements of the dossier, including scholarly accomplishments, and form your own assessment before relying on external letters or numerical metrics.





Recommendation

The Faculty Handbook (4.4.1) requires that evaluation be based on the candidate's workload and departmental P&T criteria

- Before starting your evaluation work, establish a common understanding of the criteria, especially in areas of ambiguity – ex., co-authorship, multidisciplinary or nontraditional research, atypical workload, etc.
- Committee chairs:
 - Have a draft committee letter written early enough for input from voting faculty and for changes to be made. (Allow voices to be heard, but don't overdo it.)
 - In the event of any “no” votes, make sure the final letter includes an explanation for why those people voted no.



Recommendation

Avoid comparing the candidate to others in the field; measure their work against the standards

- The P&T documents establish a minimum acceptable standard. If a candidate performs at or above that level, the decision should be “yes,” even if another candidate has performed at an even higher level.
- This refers not only to other candidates you are in the process of evaluating, but also to previous or hypothetical candidates.
- If external P&T letters make comparisons with candidates at other institutions, consider whether the comparisons are fair. For example, are workload assignments and resources comparable?





Recommendation

Balance the importance of letter writers (in P&T)

- Letters from external reviewers can play an important role, especially if the candidate's work falls outside traditional norms within the department. For example, external writers can offer perspective and clarify expectations of excellence within the candidate's sub-field.
- But be aware of the potential for error when reading and assessing external letters.





Recommendation

Do not second guess or penalize candidates who have taken stop-the-clock for allowed reasons

- o Treat their record of accomplishment as if it occurred during the standard window of time (this is the purpose of the policy).



Collecting your thoughts

Our recommendations are rooted in research on equity and excellence in faculty evaluation. Some recommendations are straightforward while others might fall outside of normally accepted practices in your department. Take a minute to write down at least one thing that you would like to implement that you think might be challenging, or might receive pushback from colleagues. Can you think of any way to help move the practice forward?



Thank You!

Contact Us

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