

# Promotion and Tenure

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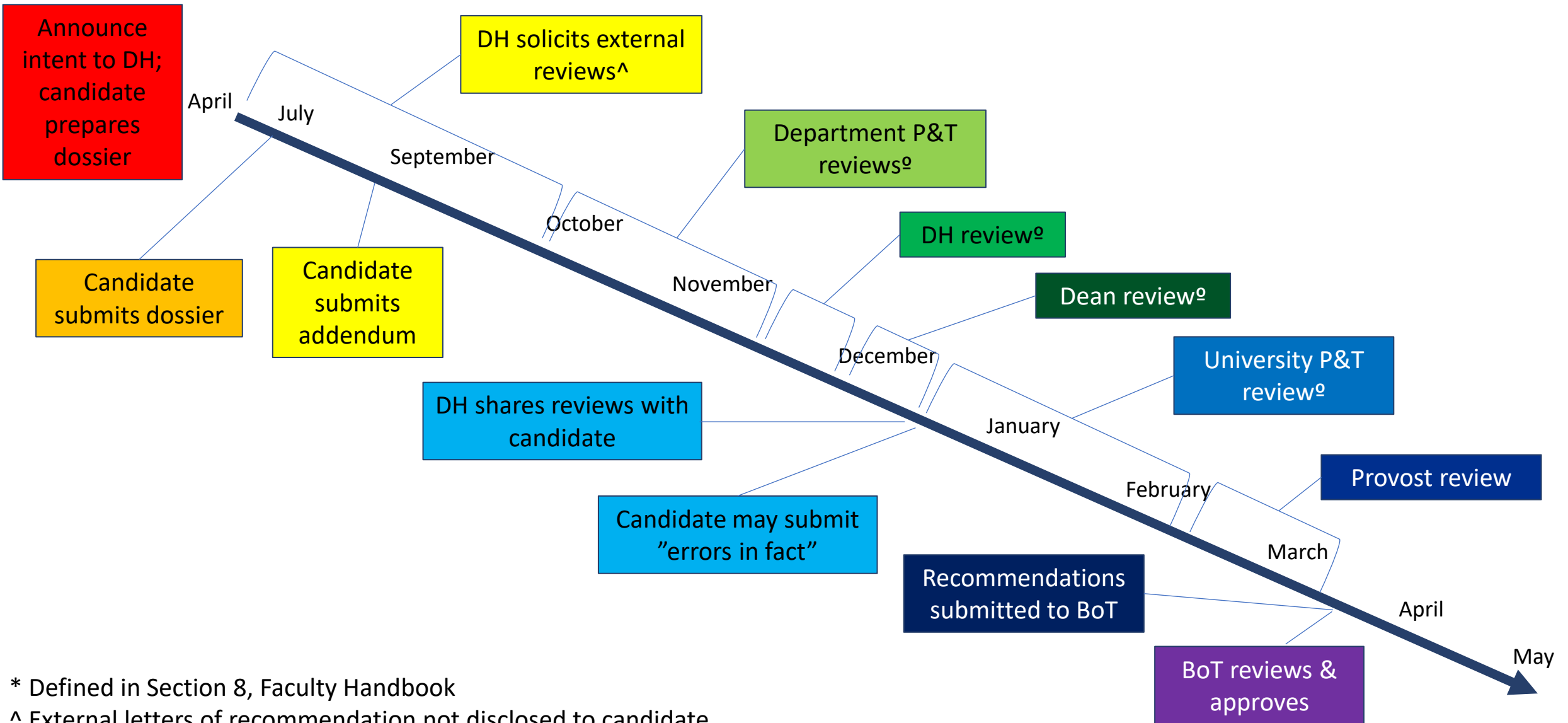
Outline of the process and the DH, DPT, and UPT roles within it

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# Promotion and Tenure Process Overview\*



\* Defined in Section 8, Faculty Handbook

<sup>^</sup> External letters of recommendation not disclosed to candidate

<sup>o</sup> Internal letters of recommendation available for candidate review

# Faculty Handbook (HB) Section 8.1: Tenure-track P&T

- “A faculty appointment with **academic tenure is a privilege**...that is earned by a **record of superior academic performance** and incorporates the expectation that such performance will continue and thrive.”
- “Promotion...is based on the **quality of a faculty member's overall performance in teaching, scholarship, and service, and the likelihood of continued growth** in their accomplishments and their professional reputations nationally and internationally.” (HB 8.1.7)



# Faculty Handbook (HB) Section 8.2: Teaching Faculty Promotion

- “Promotion in teaching rank is based on the quality of a faculty member’s overall performance in **teaching, service and scholarship**” ...

In addition to these criteria, for promotion to the **rank of teaching professor** the following criteria must be met:

**E.demonstration of leadership**, which may include developing upper-level courses, coordinating courses, mentoring junior faculty, and/or coordinating program-wide efforts to assess and evaluate student learning outcomes,

F.demonstration of knowledge and application of existing discipline-specific educational research, and

G.significant service to Mines in the categories defined above.



# Procedures Manual (PM) Sections 6.6-6.8 gives guidelines for all tracks

- Provides guidance to tenure-track (6.6), teaching (6.7), library (6.8) (*and soon, research-faculty 6.9*) candidates for various paths to success, and to committees as to how they should review and evaluate attainment of broader institutional expectations for promotion and/or tenure
- **All DHs and DPT and UPT members should read these sections prior to reviewing candidate dossiers.**



# The short version of PM 6.6 (Tenure-Track)

- **Dedicated, high quality student instruction** at both the undergraduate and graduate levels, where these programs exist, at typical program instructional loads.
- Demonstrate potential for **national and international professional recognition**.
- **Successful mentoring and completion of graduate students** at the PhD, MS-thesis, and MS-non-thesis levels, where those graduate programs exist.
- **Impactful and sustained scholarship**, which may include entrepreneurial outcomes.
- Demonstrated ability to **attract external resources** as needed to support a strong scholarship program.
- A history of professional, respectful, and ethical interactions with other faculty members, students, and staff.
- Professional service contributions that enhance the faculty member's visibility and the visibility of Mines.
- University service that demonstrates measurable contributions to Mines.



# The short version of PM 6.7 (Teaching Line)

- **Dedicated, high quality student instruction** as demonstrated by the following: student evaluations, peer evaluations/observations, examples of teaching methods and/or effectiveness, and teaching awards
- **Designing or leading classroom activities** that enhance the educational experience or that are important to the teaching mission
- Development and implementation of highly **effective or innovative teaching methods** and incorporation of feedback from formalized assessments, where appropriate.
- **Developing new courses or creating enhancements** to existing course structures.
- Exhibiting the ability to acknowledge problems encountered when teaching and to make appropriate adjustments with the goal of continuous improvement.



# For all *internal* letter writers (DH, DPT, UPT)

- Address **if and how the candidate meets the requirements** for promotion and/or tenure as defined in the Handbook.
- Look at guidelines for various paths to success in Section 6.6-6.8 of Procedures.
- Throughout and following the process, keep the content of the deliberations and the individual recommendations and votes of committee members in the **strictest confidence**.





# Evaluating teaching (PM 5.5)

We look at teaching scores, but we recognize that they are biased instruments, so we look for other evidence of effective teaching

- Is the applicant clearly trying to improve teaching trajectory?
- Have they created new courses or content that are key to campus?
- What evidence-based best practice pedagogical approaches are being used?
- Are there self or peer evaluations?
- What is teaching quantity/quality with respect to departmental expectations?



# There are many ways to do service

Divided into i) department, ii) university and iii) broader community

- Departmental committees: e.g., seminar, graduate program, undergraduate program, faculty searches.
- University committees: e.g., research, undergraduate and graduate programs, P&T, library, etc.
- Broader service is typically two components: outreach to community and service to professional society (in contexts that promotes research)
- Some committees are light work and some are extensive, so **clearly document major leadership roles (esp. for AP→P) and major service efforts**. Comment on the time commitment and role.



# Role of DH (HB 8.1.3, 8.2.4; PM 6.1-6.5)

1. Selects DPT committee chair(s) (*more in a moment*)
2. Solicits external evaluations (for TT), reviews package and the DPT rec, and makes their own written recommendation, which is added to the package.
3. Considers the criteria for P&T listed in HB and **contextualizes success** in the candidate's discipline.
4. **Responsible for review of dossiers to assure they are meeting University guidelines and are well organized**; dossiers that do not meet these criteria should be returned for improvements in organization or clarity.
5. For jointly appointed faculty, formal inclusion of contributions to split appointments or interdisciplinary programs must be considered



# Other expectations of DH (PM 6.5)

- Address considerations not addressed by the DPT, such as special contributions toward important departmental, portfolio, or University goals, participation in interdisciplinary programs, or other information DPT may not know about.
- Clearly assess progress towards P&T in annual reviews.
- **Meet >1x/yr. with untenured TT faculty members** to discuss progress toward P&T and provide recommendations and feedback about how to proceed towards successful promotion, talk through the departmental guidelines developed by the DPT.



# Who selects *external* letter writers? (PM 6.3)

- The candidate dossier should *ultimately* contain a total of 5 to 7 letters. >1/3 should be from reviewers from the candidate.
- In consultation with the DPT Chair(s), the DH requests letters.
- For faculty that are affiliated elsewhere, the DH should consult the other DH(s) or IDP Director for suggestions for letter writers.
- It is not appropriate to exclude any solicited letters.
- A mandatory table goes forward with the dossier before the external letters...see template.

**Reviewers Contacted**

Name of Reviewer Contacted	Affiliation & Position	Peer Program (Y or N)	Reason for Invitation, Professional Qualifications, and Relationship to Candidate	Review Provided (Y or N)	Reviewer Recommended by whom?		
					Candidate	DH	Committee



# External reviewers should... (PM 6.3)

- Be from **peer or aspirant peer programs** and institutions (e.g., other R-1s);
- Be highly regarded, have exceptional scholarship records, and if in academic employment are at the **Professor level**. *Associate Professors may be acceptable only for promotion from aP→AP when it is clear that they are (inter)nationally recognized, possess pertinent expertise, and understand P&T norms at peer and aspirational peer institutions;*
- **Not have a close relationship to the candidate** (i.e., former MS, PhD, or postdoctoral advisors; close collaborators (co-PIs or frequent co-authors); Mines colleagues; or anyone else with a perceived conflict of interest)
- Include, for AP→P, at **least two international external review letters**, and reviewers from the National Academy considered and contacted if possible.



# Template letters should be used (PM 6.3)

- A template letter of invitation to external reviewers is in PM 6.3 for  $aP \rightarrow AP$  and  $AP \rightarrow P$  promotion.
- For issues of equity, **this letter should be used largely as written**, with edits allowable for disciplinary norms and any specificity required for a specific candidate.
- The University expectations are clear here, departmental standards can be added if needed.



# Maintain confidentiality of letter writers (PM 6.1, 6.3)

- All external letters are kept confidential and are not made available to promotion/tenure applicants before, during, or after the promotion/tenure process.
- Should DPT and/or the Department Head refer by name to a referee and cited that person's specific opinions, **names are redacted** before the recommendations are provided to the applicant.





# Candidates should not contact letter writers (PM 6.3)

- Candidates **should not discuss** their dossier with potential reviewers, lest this be viewed as attempting to influence their independence of judgment.



# Department Promotion & Tenure (DPT) Committee Composition (HB 8.1.3, 8.2.2, PM 6.1)

- By common practice, the DH appoints Chair(s) and charges DPT(s)
- All eligible faculty (>0.5 full-time FTE in department) are required to participate (including those on UPT) except:
  - those on leave (i.e., medical, unpaid, or administrative), and
  - those on sabbatical (not required but may choose to participate)
  - those in administrative positions
- No emeritus faculty, no transitional faculty.



# Role of the DPT (HB 8.1.3, 8.2.2)

DPT reviews P&T application, taking into account the standards and practices of the Candidate's discipline...and:

- (i) in relation to guidelines and criteria established by the institution, evaluate the Candidate's **research contributions, teaching effectiveness, and service to both internal and external communities**; and
- (ii) **make a written recommendation** to the DH regarding the Candidate's progress toward, or suitability for promotion and/or tenure.



# DPT Operations (PM 6.1)

- Committees may choose their own process procedures (e.g., when to meet, how to manage review of dossiers, voting, etc.), but **it must hold a vote** denoting the number of members for and against the candidate's P&T.
- Committee members ***should not abstain from voting in difficult and/or contentious cases.***
- Committee members **must disclose COI** to other members of the committee.



# DPT Letter (HB 8.1.6, 8.2.4)

DPT **must produce at least one recommendation letter** for each candidate. This letter must

- Define the outcome of committee deliberations and **document the vote tally (no names)** supporting this outcome
- **Provide overall context** of the standards commonly applied for promotion and/or tenure in the discipline
- In the case of a split vote, the written recommendation(s) must reflect all viewpoints



# DPT confidentiality

- Throughout and following the process, the content of the deliberations and the individual recommendations and votes of committee members must be kept in the strictest confidence. The committee letter(s) shall be so written as to protect confidentiality.
- Committee Meeting Notes, Drafts and Emails: May be subject to disclosure in response to public records requests or discovery requests in litigation. Develop committee protocol for record retention after recommendation voted on and finalized in written form.
- Confidentiality and Disclosures: Candidate is given DPT and DH recommendations and can respond to correct factual errors. May seek additional information through post-review appeal process.



# Other expectations of DPTs (PM 6.5)

- Take on an active, regular role in advising faculty members seeking P&T
- Define discipline-specific criteria for successful candidates comparable to criteria at peer and aspirational peer programs, and these guidelines should be shared with the department and provided to all faculty after approval from the DH and Dean. The DPT's evaluation and eventual recommendation should define these criteria, and be consistent with them.
- Word recommendation letters carefully: they should be factual and contain objective and clear evaluations of candidate qualifications relative to P&T expectations.
- Develop plans for mentoring and providing feedback to untenured colleagues on the tenure-track. Chair of the DPT should meet >1x/yr. with each TT faculty member to discuss progress toward P&T and to provide recommendations and feedback.



# Role of UPT (PM 6.1)

- UPT shall **hold an open vote** denoting the number of members for and against the candidate's tenure and/or promotion.
- Committee members ***should not abstain from voting*** in difficult and/or contentious cases.
- **Committee members from the candidate's department must recuse themselves from deliberations about that candidate's case.**
- In addition, committee members must **disclose COI** to other members of the committee.
- The UPT letter can be requested by the candidate from the Provost





# Dean/Provost roles (HB 8.1.6, 8.2.4; PM 6.1)

- The Provost consults with the Deans on all P&T candidates. Deans review each candidate dossier, and each **Dean shall provide the Provost a formal written recommendation** of each candidate from their portfolio.
- The Dean's letter can be requested by the candidate from the Provost
- The Provost then reviews all candidate dossiers and all recommendations, decides on final action and seeks Board approval in time for faculty P&T decisions to be announced at the April Faculty Forum.
- Note: **Dean should also approve all departmental P&T guidelines** noted in sections above before circulation to departmental faculty.



# Time Limitations (HB 8.1.1)

- In the case of serious illness, pregnancy, childbirth, dependent care, or other extenuating circumstances, a tenure-track faculty member may submit a written request to extend the probationary contract period, and additionally, if the requested stoppage occurs prior to Preliminary Tenure Review, postpone the Preliminary Tenure Review.



# Common Discussions in UPT (1/3)

- **Parental Leave**: How do you take family or parental leave into consideration? How do you know whether or not someone stopped their tenure clock? **Amendments to contracts are included in the dossier.**
- **Previous Work**: Should previous work is counted? **Yes—see PM 6.6.**
- **The Color of Money**: Are there different values placed on different sources of money? **It's about output, not just inputs.**



# The playing field looks different for everyone

- Half of female scientists leave full-time science after their first child (Cech 2019)
- Women of color report ↑ amounts of discrimination, isolation, marginalization and alienation from microaggressions in STEM (Dortch 2017)
- Students of color experience stereotyping and marginalization in college classes (Harwood 2015)
- Grad students are 6x more likely to experience depression and anxiety compared to the general population. Transgender, gender-nonconforming, and women graduate students were worse than their cisgender male counterparts (>10%) (Evans 2018)
- LGBTQ students in STEM experience marginalization and devaluation and men, in particular, aren't retained (Hughes 2018)
- Women get less credit for the same contribution/effort on pubs (Macaluso 2016, Feldon 2017)
- Women receive lower teaching evals despite equal teaching effectiveness (Boring 2016, MacNell 2015)



# The playing field looks different for everyone

- Women's careers suffer after parental leave while men's are enhanced by leave (Clancy 2017, Guarina 2017)
- Women receive small start-ups as aPs (Antecol 2016)
- Papers less likely to be accepted when reviewers know the primary author is a woman (Moss-Racusin 2018)
- Female PhD applicants receive fewer email responses from profs than male (Milkman 2015)
- Women receive lower grant scores (Tamblyn 2018)
- Papers by women are cited less often (Lariviera 2013, Ghiasi 2015)
- Women's contributions attributed to male colleagues (Rossiter 1993)
- Women often lack representation in leadership (Madsen, 2008)
- Men are less likely than women to believe studies that show gender bias (Handley 2015)



# Common Discussions in UPT (2/3)

- **Collaboration**: How do we value (or discount) collaborative research and publications?
  - **Candidates should make contributions clear in their letters/statements.** Note: collaborative work done by women and historically excluded faculty is more likely to be attributed to collaborators, compared to their white male counterparts (Sarsons 2015)
- **Scholarship**: What types of publications are valued? Is the H-index important? What author order is expected (i.e., are grad students first author)?
  - **Candidates, DH, and DPT should make this clear in their letters/statements.** Note: women are often less cited than men, which impacts their H-index, and is beyond their control (King et al. 2017)



# Common Discussions in UPT (3/3)

- **Service**: How is service valued (or undervalued)?
  - Women are often given and take on higher service loads than men, which impacts scholarship (Guarino et al. 2017)
- **Teaching**: What information do we look at when evaluating teaching?
  - Women are often judged more negatively by students (Boring et al. 2016, Uttl et al. 2017, Boring 2017) – **See PM 5.5 for ideas.**
- **External letters**: Have we given your external letter writers guidance to remove bias from their letter and evaluation? How do you evaluate letters? **Check out** <http://slowe.github.io/genderbias/>
- **Rubric**: Did anyone **use a rubric** to evaluate the dossier?
  - One way to reduce implicit bias (Jackson 2016, Uhlmann et al. 2005)



# Questions?

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If you should have any questions regarding the P&T process –

Please reach out to either Vice Provost Herring or  
Associate Dean Singha

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