

MEMORANDUM

DATE: August 26, 2016

TO: University Senate Executive Committee

FROM: Campus APT Committee and
John Bertot, Associate Provost for Faculty Affairs

SUBJECT: 2015-2016 APT Committee Annual Report

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CASES HANDLED BY THE CAMPUS APT COMMITTEES 2015-2016

	Promotion w/ Tenure		Promotion to Professor / Principal Agent	New Appointment / Associate	New Appointment / Professor	Total
YES	25		31	2	4	62
NO	3		1			4
TOTAL	28		32	2	4	66

Table 1. Cases Considered by the Campus APT Committee (2015-2016).

Comments on the APT Results

There were a total of 66 promotion, tenure, and new tenured appointment cases that the Campus APT Committees considered during the 2015-2016 cycle. An additional 13 cases were withdrawn by candidates prior to consideration by the Campus APT Committee.

Based on the number of cases considered by the APT Committees, denials in 2015-2016 at the level of promotion with tenure are at 11%, similar or slightly lower than the 11-13% reported between 2011-2012 and 2014-2015 (see Figure 1). **Denials at the level of promotion to Professor/Principal-Agent level are at 3% this year**, up from 0% last year (see Figure 2).

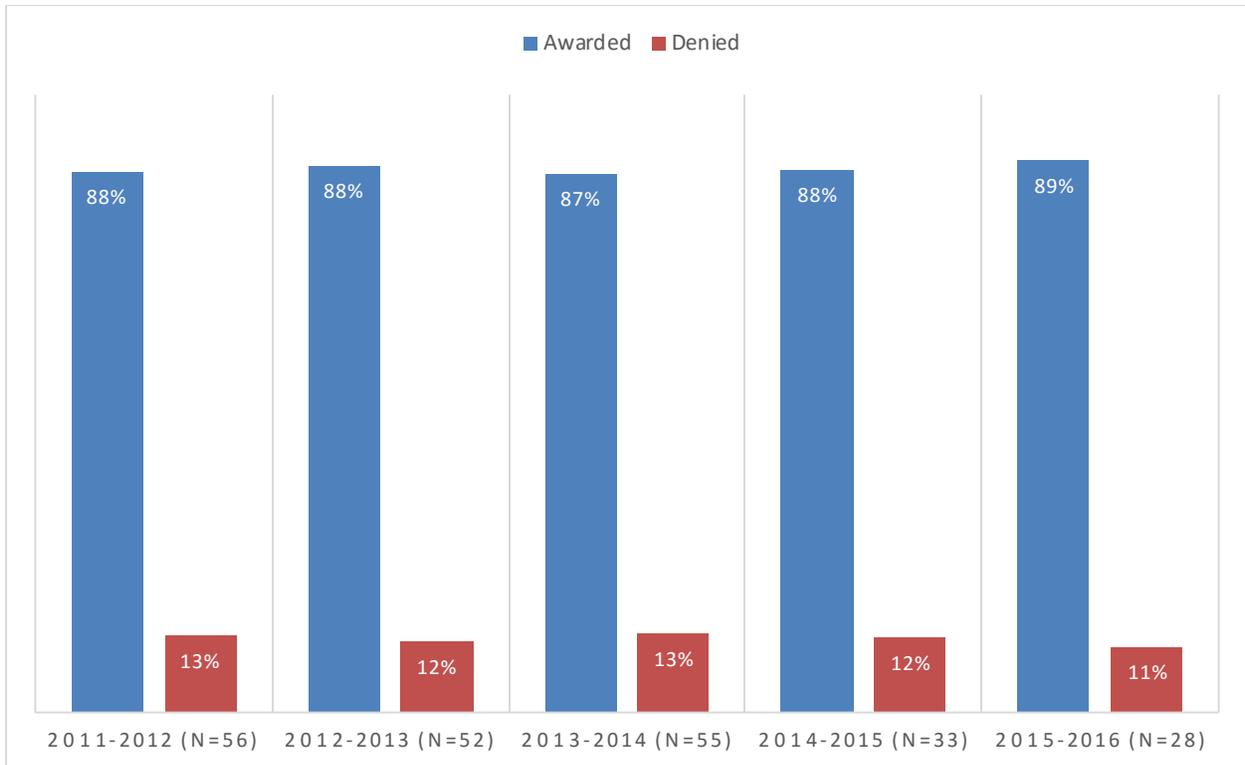


Figure 1. 2012-2016 Promotion with Tenure Case Results for Cases Considered by the Campus APT Committee (percentages rounded to nearest whole number).

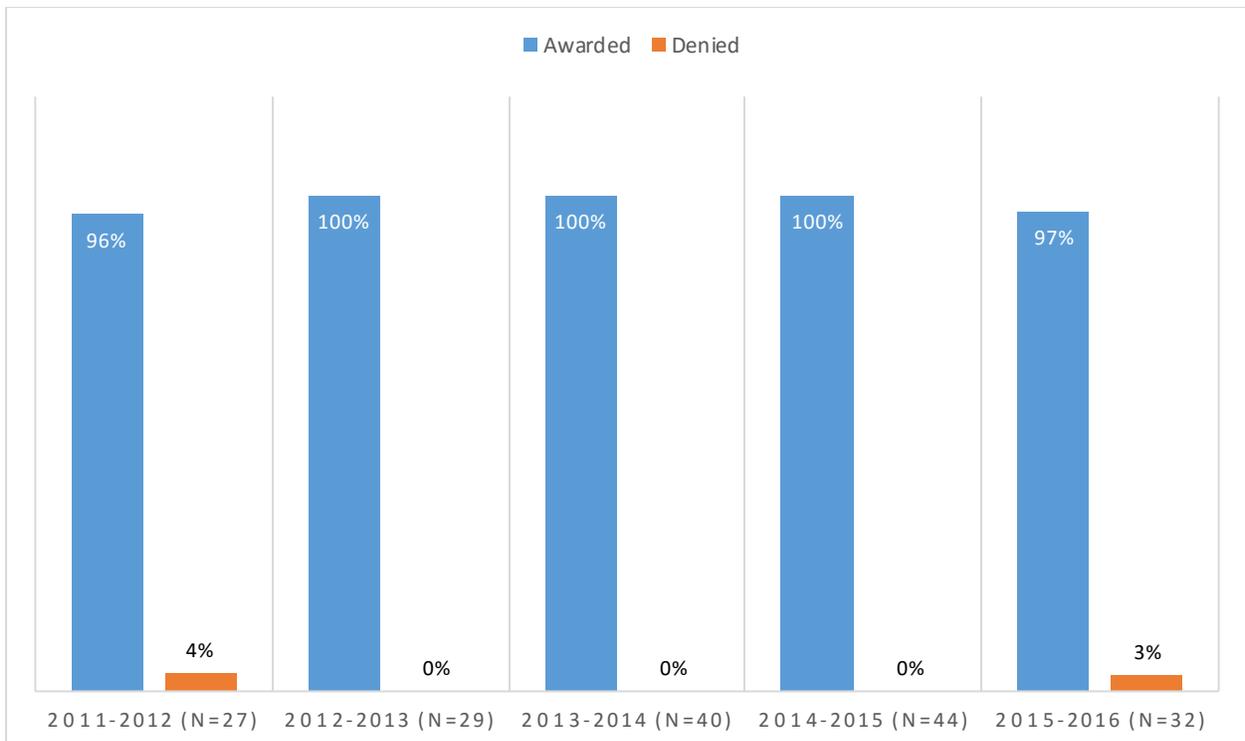


Figure 2. 2012-2016 Promotion Case Results for Cases Considered by the Campus APT Committee (percentages rounded to nearest whole number).

Each year, some faculty withdraw their dossiers from consideration from the APT process. Withdrawals at the tenure level can include non-mandatory cases, cases in which the candidate was denied at the unit level, resignations due to accepting positions at other academic institutions, and candidates leaving UMD for non-academic reasons.¹ For 2015-2016, withdrawals are at 24% of all cases² (N=9) originally submitted for promotion to Associate Professor (as compared to 23% (N=10) in 2014- 2015, 13% (N=8) in 2013-2014, 19% (N=12) in 2012-2013, 8% (N=5) in 2011-2012 – combined average of 17%) and at 11% (N=4) for Professors/Principal Agents (in comparison, in 2014-2015, withdrawals were at 17% (N=9) for promotions at this higher level, 13% (N=6) in 2013-2014, 19% (N=7) in 2012-2013, and 21% (N=7) in 2011-2012 – combined average of 18%).

The Appendix has a brief discussion of associated demographic data regarding promotion/tenure cases.

A YEAR IN TRANSITION

2015-2016 was a transitional year for APT policy implementation; Professional Track Faculty (PTK) Appointment, Evaluation, and Promotion (AEP); and the Faculty Achievement Data initiative (Lyterati).

APT POLICY IMPLEMENTATION

A 2013 joint Provost/Senate Task Force recommended substantive changes to the APT process that were discussed in the Senate during 2014 and became official policy after the Board of Regents approved the changes in the Spring of 2015. The changes included formal charges of APT committees at every level to stress unbiased and equitable considerations of candidates; broader definitions of scholarship; recognition of entrepreneurial activities that enhance teaching, service, or scholarship; development and implementation of unit standards for teaching portfolios and systematic peer reviews of teaching; and mentoring for associate professors. A more detailed summary of the changes is available at: <https://faculty.umd.edu/policies/changes.html>.

The 2015-2016 tenure and promotion cycle was a year of transition, facilitation, and guidance as units individually and the campus as a whole moved towards implementation of the new APT policies and procedures. The transition period provided an opportunity for the Office of Faculty Affairs and units to ensure adoption of and adherence to the new policies, as well as collaboration opportunities with the Teaching and Learning Transformation Center (TLTC) regarding guidance on the preparation of teaching portfolios.

¹ The Office of Faculty Affairs does not comprehensively capture data related to reasons for candidate withdrawals. Moving forward, the Office of Faculty Affairs plans to capture more accurate candidate withdrawal data.

² Tenure approvals + tenure denials + withdrawals.

AEP POLICY PREPARATION AND IMPLEMENTATION

Over the last three years, the campus adopted a number of policies (summarized at https://faculty.umd.edu/policies/ptk_changes.html) affecting PTK faculty, including the institutionalization of the name Professional Track Faculty for a range of appointments that are not eligible for tenure; a revision to PTK faculty titles; and Senate representation. In addition, guidelines were issued for appointing, evaluating, and promoting PTK faculty. These guidelines define the basic requirements for unit-level plans, require PTK faculty involvement in the creation of those plans, and define review processes for both the approval of unit-level plans and the results of promotion reviews.

The 2015-2016 academic year saw the development of college-level AEP plans and their approval by the Senate and review by the Office of Faculty Affairs. Departmentalized Colleges will work with their departments on their AEP plans over the next year. 2016-2017 will also see the development and implementation of a campus AEP process for promotions to the highest levels of the PTK ranks.

FACULTY ACHIEVEMENT DATA (LYTERATI)

Three years ago, the Office of Faculty Affairs set out to enhance the campus's faculty achievement data system through a vended solution (Lyterati) to facilitate the APT and AEP processes, improve how the campus records and manages data related to faculty activity and accomplishments, and enhance the campus's ability to integrate faculty achievement data into other related processes (i.e., awards and recognition). A range of factors led to our inability to implement this system as envisioned, and the Office of the Provost (with the Office of Faculty Affairs acting on its behalf) and the Division of Information Technology have formed a partnership to re-envision and relaunch the effort with input from key stakeholders across campus (faculty, chairs, deans, directors, IRPA, VPR, the Libraries).

An initial working group has been created to inform the process, with a range of engagement efforts designed and planned to seek input from campus constituencies, particularly faculty, as we move towards the selection of a new tool for collecting and managing faculty achievement data. The lessons learned from the failure to implement successfully our initial faculty achievement data system, as well as information being gathered from peer institutions and their experiences, also serve as critical inputs into our efforts moving forward. Updates regarding the effort will be posted at <https://faculty.umd.edu/data/>.

MENTORING AND LEADERSHIP INITIATIVES

Department-facilitated mentoring for assistant professors and the offer of mentoring to associate professors is required by University policy. More specifically, policy requires that faculty members be assigned at least one mentor (but are encouraged to reach out to

multiple mentors); mentorship of untenured faculty continues through tenure; and mentoring continues after tenure for associate professors, if desired by the faculty member. Ensuring quality mentoring also requires experienced and trained leadership and effective mentors.

A number of mentoring and leadership initiatives and programs have been instituted by the Office of Faculty Affairs through its participation in the Big 10 Academic Alliance (formerly the CIC). These include the Academic Leadership Program (designed to train next generation faculty leaders) and the Department Executive Officers Seminar (for current chairs and directors). In partnership with the Graduate School, the Office of Faculty Affairs has also promoted the Big 10 Academic Alliance's National Research Mentoring Network (NRMN-CAN), designed to provide professional development experiences to aspiring scientists, especially postdocs from underrepresented populations in the biomedical workforce, and to assist mentors in developing core competencies for mentoring and grant-writing.

In addition, the Office of Faculty Affairs has supported faculty development initiatives by ADVANCE and the Office of Diversity and Inclusion, including:

- ***Keeping our Faculties*** -- a year-long mutual mentoring seminar designed to enhance the professional growth of early-career women faculty.
- ***Advancing Together*** -- a two-day workshop for women associate professors.
- ***Advancing Faculty Diversity*** -- a year-long peer network for women and men assistant and associate professors who are faculty of color.
- ***ADVANCE Professors*** -- women faculty at full professor rank assigned to each college to act as role models and catalysts within their colleges for improving work environments. The Office of Faculty Affairs also has been working with colleges to enhance their faculty mentoring.

Also, the Center for Health Equity, supported by the Office of Faculty Affairs, has offered a Master Mentor Training Program, based on a curriculum from the University of Wisconsin, to senior mentors on campus. Future plans include the development of workshops on mentoring for mentors and chairs and significantly strengthening mentoring of associate professors.

The Office of Faculty Affairs continues to look for ways to provide additional opportunities for faculty development, including workshops and informal gatherings for untenured and tenured faculty interested in information on promotion and faculty life.

Concluding Remarks

The 2015-16 APT cycle has been transitional – a bridge between the old and new APT policies and guidelines put into place in 2015 after the combined efforts of the Senate, the

Administration, and beyond. While underway, the full completion of this agenda, to include extending it to PTK faculty through AEP guidelines and streamlining the process will take years. Progress towards institutional excellence, of which faculty promotion policies are one part, requires integration across a number of efforts throughout the campus community. A transparent, rigorous, and fair APT process is key to maintaining the university as an institution of inclusive and integrative excellence.

On a final note, we encourage readers to examine the demographic data contained in the Appendix. The data show trends in APT over the last five tenure cycles. Overall, the data show continued improvement regarding women within the professoriate. The data regarding underrepresented minorities are more mixed. There are signs of improvement in the 2015-2016 APT cycle; however, the number of underrepresented minority cases for tenure is small. We should note that the 2015-2016 APT cycle saw a lower than normal number of cases (37 total inclusive of 9 withdrawals), as compared to the more typical 50-65), in part due to hiring freezes at the time these individuals joined our faculty and tenure delays. Regardless, the challenge is to seek continued and more robust improvement in faculty diversity.

APPENDIX: DEMOGRAPHIC DATA

The demographics within this Appendix are about promotion and tenure from within the ranks at UMD and not appointments hired into UMD. Withdrawn cases report data regarding faculty members who renounced the APT process. Such cases can include withdrawals for non-academic reasons, resignations due to accepting positions at other academic institutions, decisions to wait an additional year in cases of early tenure, and instances in which the candidate was denied at the unit or college level. Caveats about small numbers apply.

TENURE CASES (2015-16) *

	CASES CONSIDERED BY APT COMMITTEE							
	ALL CASES**		CAMPUS APT CASES***		DENIED CASES ³		APPROVED CASES	
	Total	%	Total	%	Total	%	Total	%
Total	37		28		3	11%	25	89%
Female	18	49%	13	46%	1	8%	12	92%
Male	19	51%	15	54%	2	13%	13	87%
Asian	13	35%	10	36%	1	10%	9	90%
Black	2	5%	1	4%			1	100%
Latino	2	5%	1	4%			1	100%
White	15	41%	12	43%	2	17%	10	83%
Not Reported	5	14%	4	14%			4	100%

* Percentages rounded to the nearest whole number.

** Includes withdrawn cases.

***This group of cases considered by the APT Committee is the number used to calculate Denied and Approved percentages.

Of the tenure cases considered by the APT Committee, 46% were women (down from 52% in 2014-2015 but up from 39% in 2010-2011; see Figure 3). 43% were white (as compared to 55% in 2014-2015 and 61% in 2010-2011; see Figure 4), 36% were Asian (as compared to 18% in 2014-2015 and 21% in 2010-2011; see Figure 4), 4% were Black or African American (as compared to 3% in 2014-2015 and 11% in 2010-2011; see Figure 4), 4% were Latino (as compared to 0% in 2014-2015 and 7% in 2010-2011; see Figure 4), and 14% did not report their race (as compared to 24% in 2014-2015 and 0% in 2010-2011; see Figure 4). Setting aside the percentage of those cases without race reported, non-white faculty (Asian, Black or African American, Latino) represent 44% of the 2015-2016 tenure cases considered by the APT Committee, up from 21% in 2014-2015 and 39% in 2010-

³ Denied cases may also include faculty who seek tenure before their mandatory tenure review year. These faculty are eligible to be reconsidered for tenure in their mandatory review year.

2011. Asian faculty (36%) account for most of this increase, while Black or African American and Latino faculty remain in the single digits (4%, respectively) (see Figure 4).

In terms of tenure denials regarding cases considered by the APT Committee, men (13%) were denied tenure at a higher rate than women (8%) (see Figure 5). This compares to 6% for men and 18% for women denied tenure in 2014-2015 and 6% for men and 23% for women in 2011-2012.

Women faculty (28%) withdrew from the tenure process at a higher rate than men faculty (21%) (see Table 2). Black and Latino faculty withdrew from the tenure process at a higher rate than Asian and White faculty. This year, 29% of minority faculty withdrew from the tenure process (within race/ethnicity categories, 23% Asian, 50% Black or African American, and 50% Latino). Of the four underrepresented minority candidates (11% of all cases) seeking promotion and tenure (two Black or African American and two Latino), one in each group withdrew and the other was successfully tenured and promoted (see Figure 6). We should note that this year witnessed a lower than normal number of tenure cases, and thus it is difficult to fully measure progress in the tenure of underrepresented minorities.

WITHDRAWN CASES (2015-16)

	WITHDRAWN CASES	
	Total	%
Total	9	24%
Female	5	28%
Male	4	21%
Asian	3	23%
Black	1	50%
Latino	1	50%
White	3	20%
Not Reported	1	20%

Table 2. Withdrawn Tenure Cases 2015-2016.

Given the above, the trends identified here are mixed. Though variable by year, the five-year trend shows an increased percentage of women being tenured. The data also show that the tenure trajectory for faculty of color is more positive. However, until more faculty from underrepresented groups enter the tenure pipeline, through active recruiting and strategic support systems such as mentoring, the diversity of our faculty will remain a challenge.

SELECTED DEMOGRAPHIC DATA: FIGURES
 (Percentages rounded to the nearest whole number)

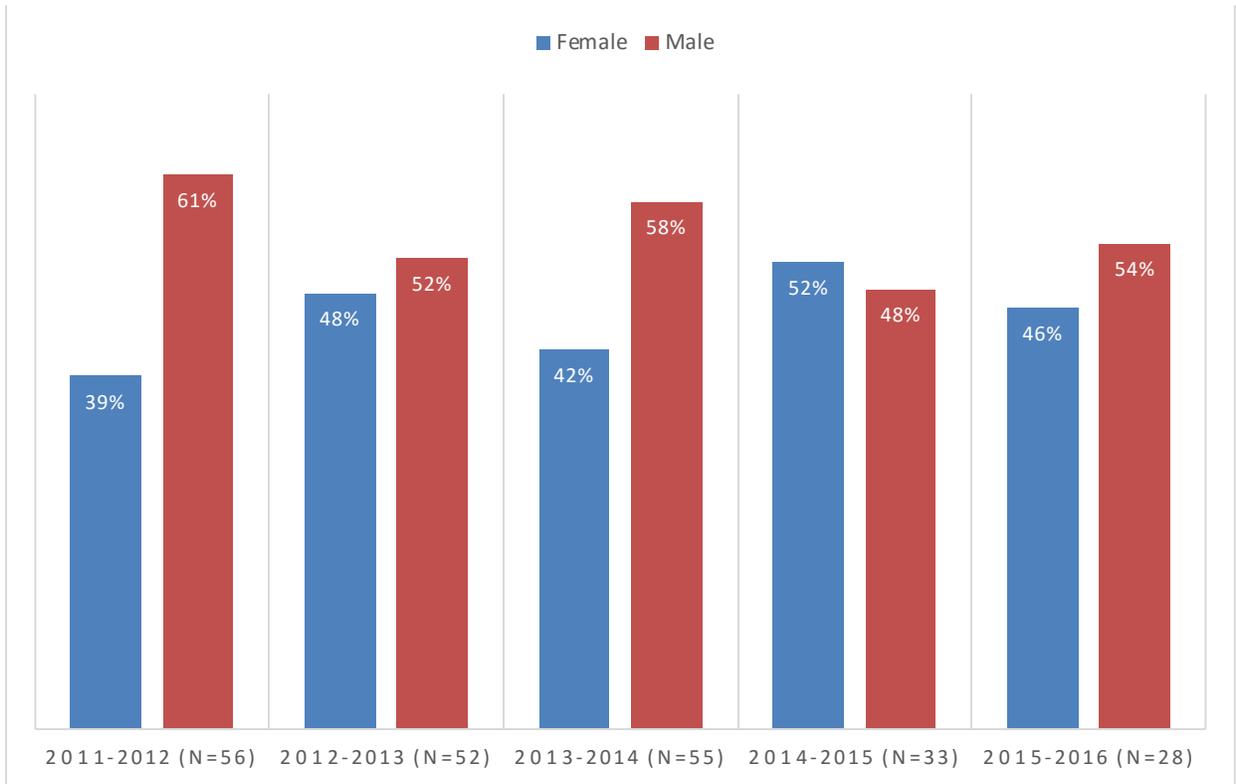


Figure 3. Tenure Cases by Gender Over Five Years.

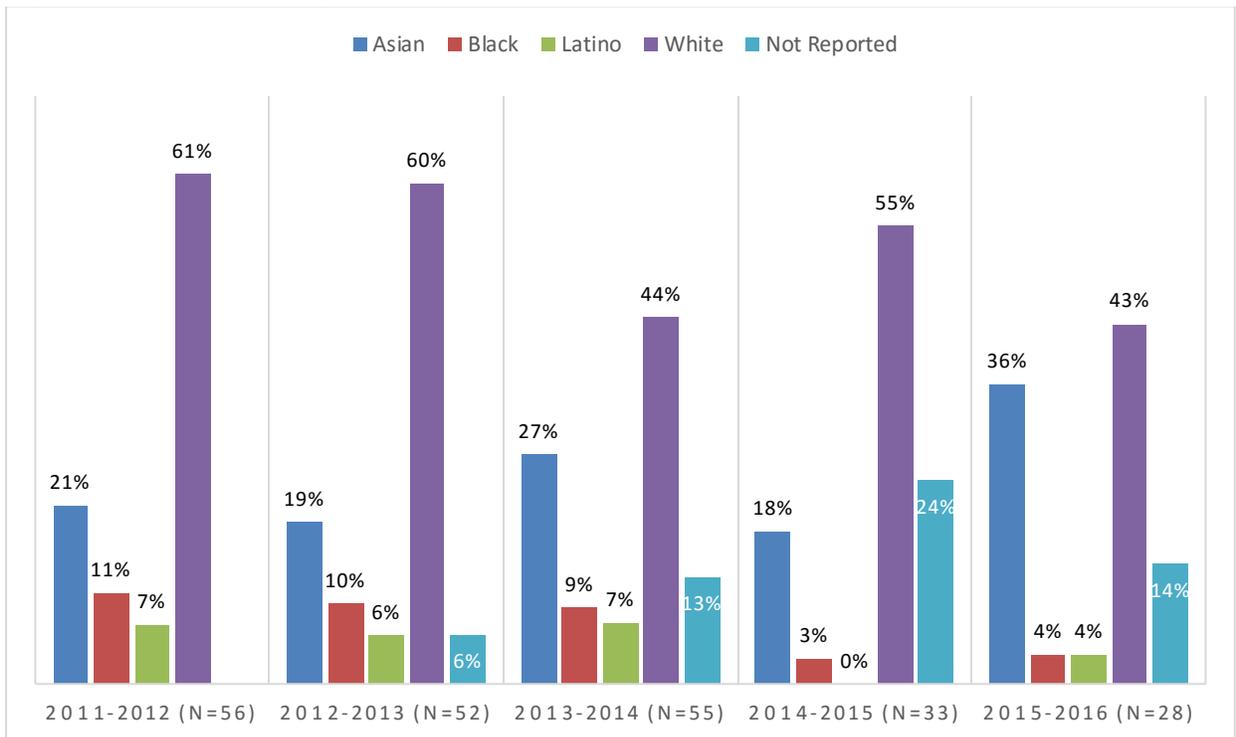


Figure 4. Tenure Cases by Race / Ethnicity Over Five Years.

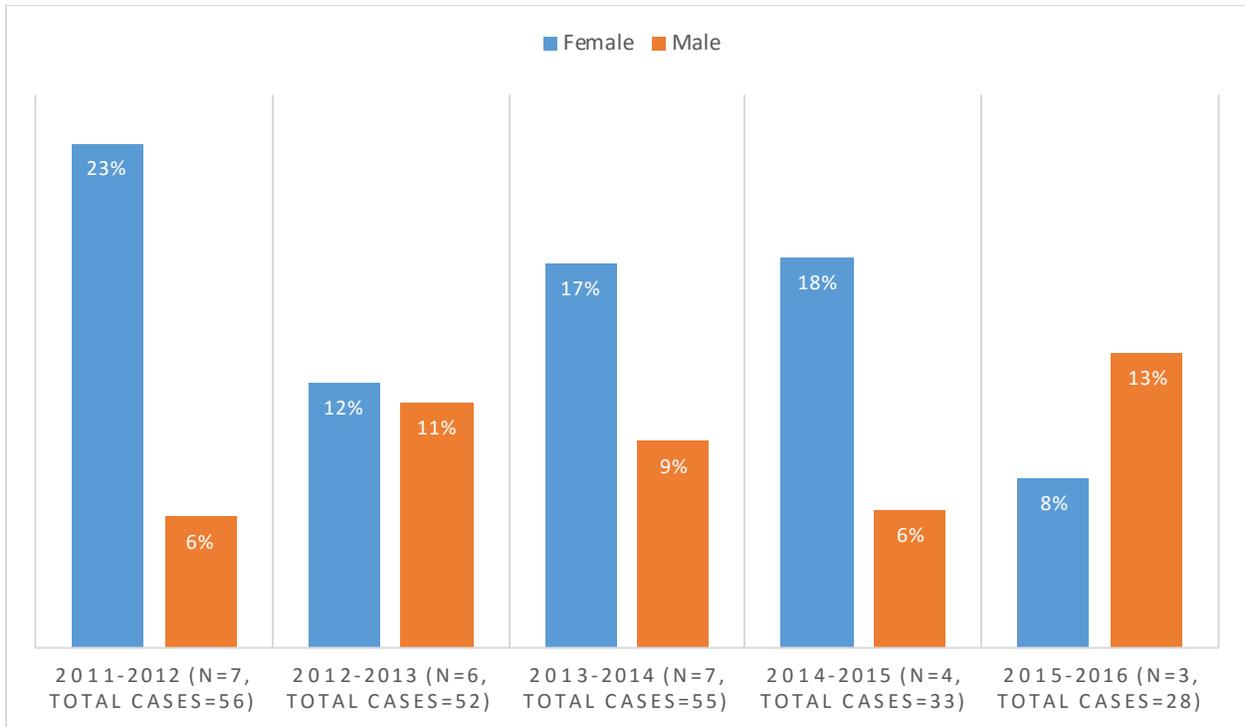


Figure 5. Tenure Denials Over Five Years by Gender. Percentages are reported out of cases by gender.

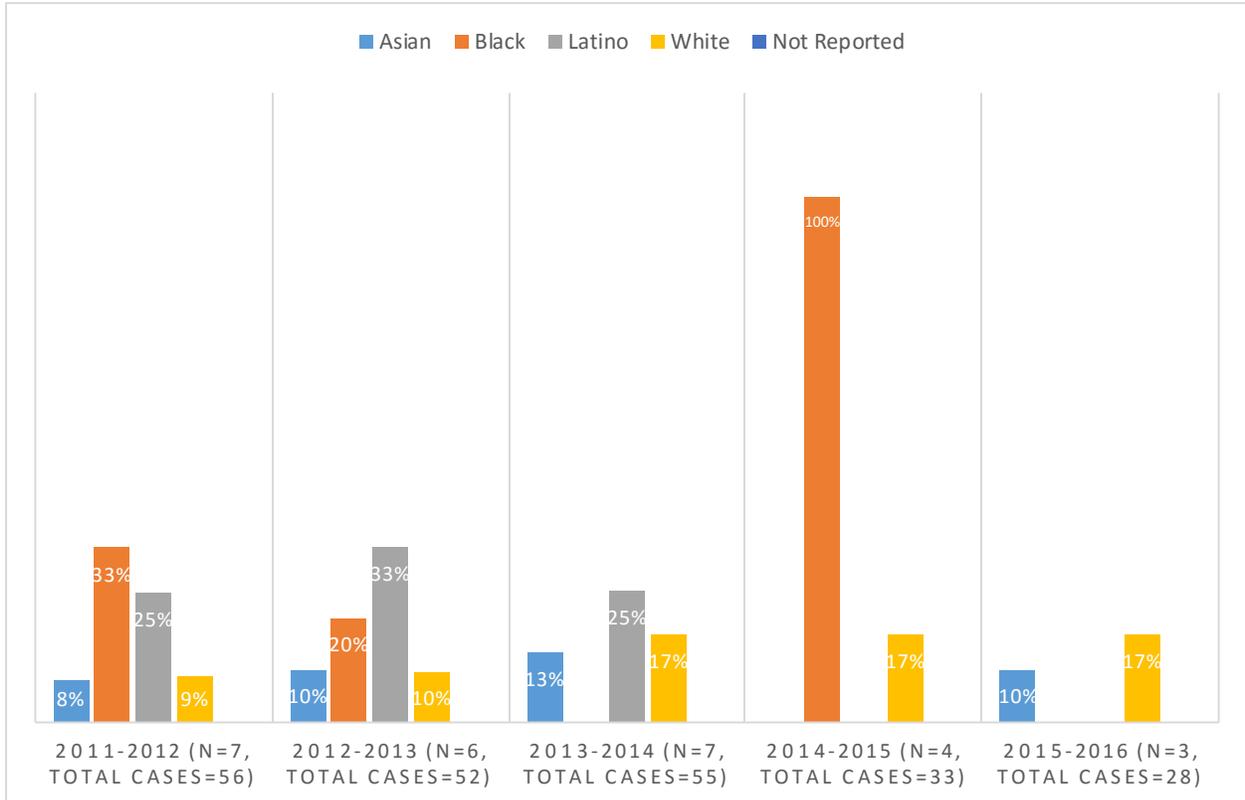


Figure 6. Tenure Denials Over Five Years by Race / Ethnicity. Percentages are reported out of race/ethnicity cases.