REGULAR MEETING OF THE UNIVERSITY FACULTY SENATE

October 2, 1972

MINUTES

The regular meeting of the University Faculty Senate was called to order at 4:05 PM. Senators not in attendance were:

C. V. Bieber	W. E <mark>. Mc</mark> Daniel	Р. Н	. Sammelwitz
E. W. Comings	T. D. Myers	R. E	. Sheridan
R. V. Exline	G. Nocito	R. W	. Stegner
R. Hogenson	R. Norman	J. E	. Taylor
A. L. Lippert	J. H. Olson	E. A	. Trabant
C. D. Marler	A. I. Rasmussen		

The agenda was approved by general consent. The minutes of the regular meeting of September 11, 1972, were corrected by Mr. Crawford by deleting paragraphs five and six on page two: "The proposed B.S. Degree Program in Physical Therapy was discussed....failed 21 to 24." These two paragraphs were replaced with:

"Mr. Schweizer began the discussion of the proposed B.S. Degree Program in Physical Therapy. He pointed out that the Coordinating Committee on Education had not examined the financial support for the program as charged by the Senate in May, and moved that the proposal be recommitted. Mr. Marler seconded the motion; after debate, interrupted by one motion for the previous question (failing 24 to 16), and terminated by a second (passing 32 to 10) the motion to recommit was defeated, 21 aye, 24 nay."

The minutes were approved as corrected.

Mr. Smith announced that Mr. J. Pikulski is replacing Ms. A. Eyman as chairman of the Committee on Undergraduate Studies, and Ms. Louise Jones is the representative from the College of Arts and Science on the Committee on Committees.

Mr. Smith read a memorandum from Mr. Dilley, Associate Provost, stating that Provost Campbell is replacing the Associate Provost on the Coordinating Committee on Education, and that Mr. B. Morstain will replace Dean Mary Carl on the Committee on Educational Innovation and Planning.

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The committee appointed by President Trabant to improve the functioning capabilities of the Senate consists of: Provost Campbell, Dr. J. Worthen, Dean Carl, Dean Lippert (Chairman), Professors Baxter, Smith, McDonough and Crawford. The problems discussed seem soluble and Mr. Smith hopes to have a report on these deliberations at the general faculty meeting this month.

Mr. Smith urged all members of the Senate to attend the general faculty meeting on Monday, October 16, at 4 PM in Mitchell Hall Auditorium. The last three attempts have failed to raise a quorum. There is a need for a quorum. Because of wording of the Constitution, students from the new organ of student government have been prevented from voting. They await a Constitutional change which would recognize that they represent the student body in the Faculty Senate. The item will be on the agenda.

The Executive Committee nominated G. R. Bonner, M. Sasser, and G. F. Somers as the three faculty members-at-large of the Committee on Committees. Mr. E. Rosenberry nominated Mr. Richard A. Davison. By call for a written ballot, it was agreed by the Senate that the three receiving highest votes would win the election. Messrs. Bonner, Sasser, and Somers won the election in that order. Mr. Bonner was chosen by general consent as Chairman of the Committee on Committees.

The motion on the floor at the time of adjournment of the regular meeting of September 11, 1972, was adoption of Section II, paragraph 3, as amended: "That the results of the procedures in each case, including the reasons or justifications for the decision, be fully disclosed to the candidate in writing, and be signed by all members of the group which reviewed the application for promotion." Paragraph 3 as amended was approved.

Paragraphs 4 and 5 were approved.

Mr. Crawford made a motion to delete in paragraph 6, "should be made known" and replace with "shall be written and distributed by each department or division as provided for in paragraph 1, above." Amended paragraph 6 was approved.

Mr. Neale suggested that the report be approved by sections rather than by paragraphs. There was no objection from the Senate.

Mr. Hutchinson, ex-chairman of the Committee on Promotions and Tenure, made an editorial change to paragraph 8 to read as follows:

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"...of all faculty members considered by them for promotion together with the record of actions taken by the department or division committee, the Dean or Director, the College committee, and the University Senate Committee on Promotions and Tenure."

Dean Keesey made a motion to delete item 6, page 8, and motion was seconded. Following discussion, Mr. Crawford called for question to delete paragraph 6 of Section III. Motion failed.

Mr. Bonner made a motion to replace III-6 with:

"In the event of negative recommendations, candidates for promotion shall be informed promptly of the action taken by the College Dean and by the College Promotion and Tenure Committee and of the reasons for their actions."

After discussion of this motion, Mr. Schweizer called for question and was seconded. The motion failed.

Mr. Schweizer called for question on Section III. Section III as editorially changed was approved. Section IV was approved. With entire report approved, Mr.-Hutchinson called attention to the Committee on Promotion and Tenure's recommendation of revising the Faculty Appraisal form. (Copy of report attached.)

Mr. Kramer discussed the resolution he had presented concerning the July 25, 1972 memorandum on "Solicitation of Employees" from the Vice President for Employee Relations. Mr. Kramer's resolution was adopted, with Mr. Nielsen casting a vote against. (Memorandum and resolution attached.)

The meeting adjourned at 5:30 PM.

Respectfully submitted

John S. Crawford, Secretary

JSC/dpe Attachments

REPORT TO THE UNIVERSITY FACULTY SENATE ON PROMOTION PROCEDURES BY THE UNIVERSITY FACULTY SENATE COMMITTEE ON PROMOTION AND TENURE

:

INTRODUCTION

This report is composed of four sections and two appendices. Section I recommends a method by which the potential conflict between departmental autonomy and interdepartmental equity in promotion standards may be resolved. Section II lists this Committee's conception of the characteristics necessary for an "ideal" departmental promotion policy and then compared existing departmental promotion procedures at the University of Delaware with the recommended characteristics. Section III makes recommendations aimed at improving the justice and consistency of promotion procedures at the college level. Section IV recommends a time schedule for completion of the various phases of the promotion process.

Appendix A contains a list of suggestions for improving the documentation offered in a promotion candidate's dossier. Appendix B includes a sample of a "Faculty Appraisal" form, modified to improve the form's usefulness, and copies of two survey letters sent to department chairmen by this Committee.

SECTION I - PRESERVING DEPARTMENTAL AUTONOMY AND UNIVERSITY-WIDE STANDARDS IN THE PROMOTION PROCESS

Perhaps the most fundamental problem which must be solved in establishing promotion standards at a university of considerable size and complexity is the inevitable conflict between departmental autonomy and consistent, equitable university-wide standards.

It is the unanimous conviction of this Committee that the individual academic departments must be granted a very large degree of autonomy in setting promotion criteria within their disciplines and in evaluating the professional accomplishments of their departmental colleagues.

Such autonomy is essential for two major reasons. First, the prime objectives of the various departments throughout the University vary widely. This diversity, we believe, is entirely appropriate. But it inevitably makes University-wide promotion standards difficult to apply. If, for example, one department has chosen to concentrate its efforts on development of a top quality Ph.D. program while another has chosen to work equally hard on improving the quality of its undergraduate offerings, it would not be surprising if the former would give relatively more credit for scholarly accomplishment, and the latter relatively more for teaching competence. In addition there are some departments, colleges and divisions in which, as a direct consequence of their primary mission, more emphasis is placed on service than in others.

Secondly, this Committee firmly believes that evaluation of a faculty member's professional competence for purposes of promotion can be done only by those competent in his discipline. That is, a University has no real alternative to relying on the evaluation of professional competence and achievement by a candidate's professional colleagues.

For both the above reasons, we feel that a large degree of departmental autonomy in the promotion process is essential. On the other hand, however, this Committee recognizes that complete departmental autonomy in promotion would be unworkable. Again, we see two reasons for this.

First, some degree of University-wide comparability in promotion standards is needed to assure equity between departments and colleges. It would be manifestly unjust to allow one department to set very low performance standards while another insisted on high performance standards for promotion to the same rank. Second, some University-wide formulation of promotion standards seems a necessity to ensure the high standards needed to improve the overall excellence of the institution.

While recognizing the great difficulties involved in the above dilemma, this Committee recommends the following procedure as a solution.

- 1. Each department shall establish its own promotion procedures and shall state, as specifically as possible, the criteria required for promotion to each rank.
- 2. These departmental promotion documents shall then be submitted to the University Committee on Promotions and Tenure which will be charged to study them carefully, compare them with those established by other departments throughout the University and, where appropriate, certify them as satisfying the necessary requirement of "rough comparability" with the rest of the University.
- Once a department has submitted an accepted promotion document, the University Promotion and Tenure Committee's role in the promotion process would be to compare the evidence submitted in a candidate's dossier with the department's own criteria to see that they are fulfilled.

SECTION II - PROMOTION PROCEDURES AND POLICIES

AT THE DEPARTMENTAL LEVEL

The foregoing introduction has stated the basic problem facing a University Senate Committee on Promotion and Tenure: how to encourage departmental autonomy in personnel policy and procedures and at the same time maintain a measure of comparability among departments so that standards do not vary too widely among departments. The solution proposed is that the Committee develop very general guidelines and, if these are acceptable to the Senate, monitor the adherence of departments to these guidelines.

To this end the Committee proposes that the following standards be applied by all University departments and divisions in the establishment of promotion procedures and policies:

- 1. That these policies and procedures be formalized in a written statement and distributed to all members of the department or division and filed with the University Committee on Promotion and Tenure which may make it available for inspection, on request, to any members of the University community;
- 2. That the procedures be <u>democratic</u>; (While the nature and extent of democracy in personnel procedures will certainly vary among departments, a department or division will be regarded as failing to meet this standard if the Chairman or Director alone makes promotion decisions, or if they are made by a committee appointed by him, or if the recommendations of a faculty committee are not forwarded to the Dean (or next higher official) when they are at variance with the Chairman's or Director's recommendations.)
- 3. That the results of the procedures in each case, including the reasons or justifications for the decision, be fully disclosed in writing to the candidate and be signed by all members of the group which reviewed the application for promotion.

- 4. That the <u>criteria</u> on which recommendations are based be <u>publicly</u>

 <u>stated</u> and included in the formal statement of policies and procedures mentioned above: This test is failed if a department or division has not informed candidates for promotion and tenure and the University Committee on Promotion and Tenure (and through it the whole University Community) as to the qualities, characteristics, attainments, and behaviors it takes into consideration when making personnel decisions.
- 5. That the <u>weighting</u> of criteria also be publicly stated as provided above; (That is, the department or division should make it clear that if outstanding performance in, say, teaching is required for promotion and a lesser performance is accepted in research or service, this differential weighting should be made known.

 Similarly, if all areas of performance are equally weighted this fact, too, should be stated as policy.)
- 6. That the kinds of evidence by which the attainment of stated criteria is judged (student evaluations of teaching, outside evaluations of published research, etc.) shall be written and distributed by each department or division as provided for in paragraph 1 above.

The Committee on Promotion and Tenure has made repeated efforts during the past year to get the departments and divisions of the University to submit statements setting forth their policies and procedures for making personnel decisions. Copies of the survey instruments used in these efforts are included in the Appendix to this report.

Of the 39 such units, 31 have replied in one form or another, the replies ranging from statements that the procedures are quite informal and the Chairman makes all decisions to formal and lengthy descriptions of policy and procedure. While no department or division can be judged as meeting all of the standards set forth in the foregoing, fourteen come

close enough so that only minor revision or clarification would be needed for their personnel policies to meet these standards. These fourteen are: Anthropology, Art History, Business Administration, Chemical Engineering, Civil Engineering, Dramatic Arts, Education, Electrical Engineering, Geology, Home Economics, Marine Studies, Mathematics, Nursing, and Sociology. It is possible that there are other departments with policies and procedures that meet the standards proposed but their communications with the Committee on Promotion and Tenure leave the judgment uncertain.

SECTION III - PROMOTION PROCEDURES AT THE COLLEGE LEVEL

In order to assure due process in promotion procedures and to assure roughly comparable treatment to candidates for promotion in all colleges and divisions, we recommend the following:

- 1. That a Promotion and Tenure Committee be selected by an elected faculty group or by the faculty of the college or division as a whole, to review and make recommendations on all faculty members nominated for promotion by their departmental Promotion and Tenure Committees, by the department chairman, and/or by the faculty member himself.
- 2. That in cases where the College Promotion and Tenure Committee recommends promotion and the College Dean does not recommend promotion, the candidate's dossier, the vote of the College Promotions and Tenure Committee, and the reasons for disapproval by the Dean shall all be forwarded for consideration by the University Promotion and Tenure Committee.
- 3. That in cases where the College Dean recommends promotion, and the College Promotion and Tenure Committee votes not to recommend, the candidate's dossier, the College Dean's statement and the College Promotion and Tenure Committee vote, and reasons for disapproval be forwarded for consideration by the University Promotion and Tenure Committee.
- 4. That in cases where both the College Dean and the College Promotion and Tenure Committee recommend against promotion, the candidate be advised of the reasons for disapproval and be given the option to decide whether to withdraw his dossier at this point, or have it submitted for consideration by the University Promotion and Tenure Committee.

- 5. That in cases where both the College Dean and the College Promotion and Tenure Committee recommend promotion, the candidate's dossier, the College Dean's statement and the College Promotion and Tenure Committee vote be forwarded for consideration by the University Promotion and Tenure Committee.
- 6. That all candidates for promotion be informed promptly of the action taken by the College Dean and by the College Promotion and Tenure Committee and of the reasons for any negative action.
- 7. That the role of the University Promotion and Tenure Committee be:
 - (a) to determine that approved and published criteria and procedures have been adhered to
 - (b) to attempt to resolve conflicts between departmental recommendations and those of the Dean or Director where College or Division committees have been unable to reach agreement.
- 8. That the University Senate Committee on Promotion and Tenure forward to the Provost the names of all faculty members considered by them for promotion together with the record of actions taken by the department or division committee, the Dean or Director, the College committee, and the University Senate Committee on Promotions and Tenure.
- 9. That when the Provost rejects recommendations made by the University Senate Committee on Promotion and Tenure, it will be expected that he will report the reasons for his rejection to that Committee.

SECTION IV - A RECOMMENDED TIME SCHEDULE

FOR THE PROMOTION PROCEDURE

This Committee unanimously feels that final promotion recommendations (subject to Board of Trustee action) should be made earlier than has been the custom in the past. Further, we believe that elementary justice to the involved faculty member requires that he be informed of the status of his promotion request promptly at every step in the proceeding.

We recommend that the following time schedule be adhered to in future years:

- 1. Department recommendations to Dean No later than December 1.
- Dean's recommendation to Provost and University Promotions and Tenure
 Committee No later than January 15.
- 3. University Promotion and Tenure Committee and Provost's recommendations No later than March 1.

APPENDIX A - RECOMMENDATIONS FOR IMPROVING THE DOCUMENTATION FOR A CANDIDATE FOR PROMOTION

The dossier of a candidate for promotion, under current practice, normally includes: (1) a completed "Faculty Appraisal" form; (2) a completed "Recommendation for Promotion" form; and (3) supportive material providing evidence on the candidate's achievements and qualifications.

On the basis of this year's experience serving as an advisory group to the Provost in the promotion process, the Committee suggests the following changes in the composition of candidates' dossiers:

Revise the "Faculty Appraisal" form.

The present form requires departmental chairmen to rate faculty members on a 1 to 10 basis on 22 different performance criteria. When used to compare candidates for promotion to the same rank, the current form is virtually useless since chairmen are provided no guide as to the absolute level of performance required to merit a high score.

The Committee feels that the numerical ratings on the "Faculty

Appraisal" form would be more meaningful if the form were altered to require

the following information:

- (a) The number of faculty in the department.
- (b) The average score in the department for each performance criterion.
- (c) The number of faculty members in the department at the same rank as the candidate for promotion.
- (d) The average score of departmental faculty members at the same rank as the candidate for each performance criterion.

A copy of the present "Faculty Appraisal" form and one revised in accordance with the above recommendations is included in the Appendix to this report.

Although the Committee does feel that the aforementioned charges would make this "Faculty Appraisal" form more meaningful than it now is, it strongly urges that an appropriate faculty body be assigned the task totally revamping the entire form as soon as possible.

- 2. Include copies of the candidate's "Faculty Appraisal" form for the preceding three years, if possible.
- 3. Supportive materials, intended to demonstrate the candidate's qualifications should include:
 - (a) Evidence on Teaching Competence

General statements from chairmen to the effect that the candidate is an "excellent" teacher do not constitute evidence. The Committee suggests that the results from student course evaluations administered by the SGA and/or the department or college itself be submitted for every course the candidate has taught in the preceding three years. In addition, it might be helpful to include evidence on performance of the candidate's students on standardized examinations, statements from other faculty members regarding performance of the candidate's students in more advanced courses, and other evidence relating later success of the candidate's students to his teaching. This is, however, in no sense intended as an exhaustive list.

(b) Evidence on scholarly achievement

A list of publications, while necessary, has relatively little meaning to members of review committees outside the candidate's own discipline. Consequently, the Committee suggests that each dossier include:

i) A statement from the candidate's department evaluating the quality of the journals in which his publications appear. It would be helpful if such statements included information as to

whether the journal is refereed or not and whether it is of local, regional, national or international repute.

- ii) An evaluative statement from the departmental Promotion andTenure Committee regarding the quality of the candidate's research.iii) Where possible, evaluations of the candidate's research and
- scholarly publication by qualified experts in his discipline from outside the University.
- iv) Information on outside financial support awarded the candidate in his research.
- v) Wherever publication in refereed journals is not the natural or customary outcome of scholarly/creative activity in the candidate's discipline, outside evaluation of the quality of his work is especially strongly urged.

Once again, this list is intended as suggestive only and is by no means, an exhaustive one.

(c) Evidence on Service

In addition to lists of service activities, letters from committee chairmen, administrators, or other faculty members attesting to the quality and quantity of the candidate's service can be most helpful.

- (d) The vote of the candidate's departmental Promotion and Tenure Committee on his candidacy for promotion should be included in the dossier.
- (e) If the terminal degree in the candidate's discipline is not the doctoral degree, a statement explaining this fact should be included.
- (f) If the candidate clearly fails to fulfill one or more of the criteria established by his department for promotion to that rank, a statement explaining why the departmental Promotion and Tenure Committee chose to overlook it in this particular case should be included.

APPENDIX B

- Copy of recommended revision in "Faculty Appraisal" form.
- Copy of survey letter sent to departments on May 12,
 1971.
- Copy of survey letter sent to departments on January 3, 1972.

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INSTRUCTIONS: This report is to be completed by the appropriate department chairman. It will be reviewed by the dean. It is suggested that this evaluation be discussed with the faculty member to help him identify his strengths and weaknesses. For each item place a checkmark (1) in the appropriate block. Make sure there is a checkmark for every item (1

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^{2.} If this faculty member has strengths or weaknesses, or is a help or hindrance to the department, college or university in ways not covered by the ratings, please describe.

UNIVERSITY OF DELAWARE

NEWARK, DELAWARE

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UNIVERSITY FACULTY SENATE 303 HULLIHEN HALL PHONE 302-738-2829

May 12, 1971

MEMORANDUM

TO:

Chairmen of Departments

FROM:

H. D. Hutchinson, Chairman # 154/t2

Faculty Committee on Promotions and Tenure

The University Committee on Promotions and Tenure has been charged by the University Faculty Senate with responsibility to "recommend to the Senate criteria and procedures relating to promotions and tenure and (to) . . . advise the faculties of the Colleges and departments and the officers of the University on the formulation of these policies."

To enable us to carry out our responsibilities under this charge, the Committee respectfully requests the following information, if at all possible, by June 1, regarding promotion practices currently being followed in your department. Please send your replies to H. D. Hutchinson, Department of Economics.

- 1. What are the procedures through which promotion recommendations (or the decision not to recommend) are arrived at in your department? (For your guidance here, we are concerned with such matters as the following:
 - (a) What persons or committee participates in promotion decisions?
 - (b) What person or committee makes the final decision on recommendations?
 - (c) What are the procedures under which the decision makers operate?
 - (d) Are these procedures made clear to faculty members?
 - (e) What is the method used to inform the affected faculty member of the decision?
 - Is there a means by which a faculty member can appeal an unfavorable departmental decision?)

(Over)