

MEMORANDUM

DATE August 31, 2017
TO University Senate Executive Committee
FROM Campus APT Committees and
John Bertot, Associate Provost for Faculty Affairs
SUBJECT 2016-2017 APT Committee Annual Report



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CASES HANDLED BY THE CAMPUS APT COMMITTEES 2016-2017

	Promotion w/ Tenure		Promotion to Professor / Principal Agent	New Appointment / Associate	New Appointment / Professor	Total
YES	49		39	2	4	94
NO	1		1			2
TOTAL	50		40	2	4	96

Table 1. Cases Considered by the Campus APT Committee (2016-2017).

Comments on the APT Results

There were a total of 96 promotion, tenure, and new tenured appointment cases that the Campus APT Committees considered during the 2016-2017 cycle. An additional 7 cases were withdrawn by candidates prior to consideration by the Campus APT Committee, and one case for tenure remains pending.¹ **Based on the number of cases considered by the APT Committees, denials in 2016-2017 at the level of promotion with tenure are at 2%,** 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 2.5% this year,** down from 3% last year (see Figure 2).

¹ This case is not included in any calculations for 2016-2017.

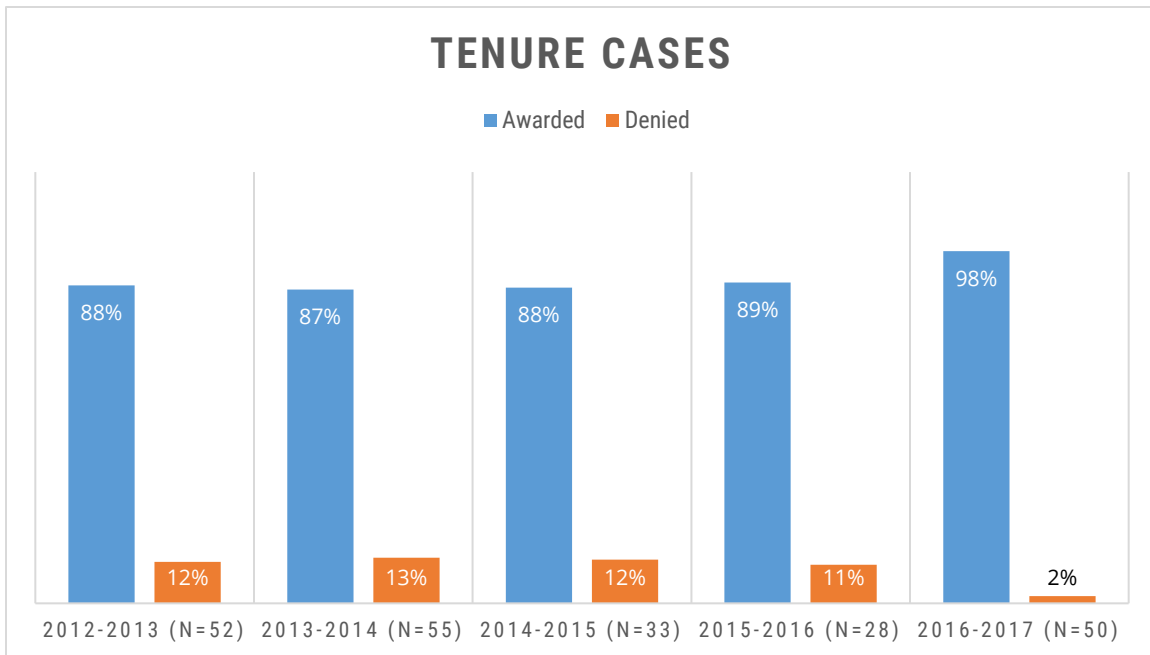


Figure 1. 2012-2017 Promotion with Tenure Case Results for Cases Considered by the Campus APT Committee (percentages rounded to nearest whole number).

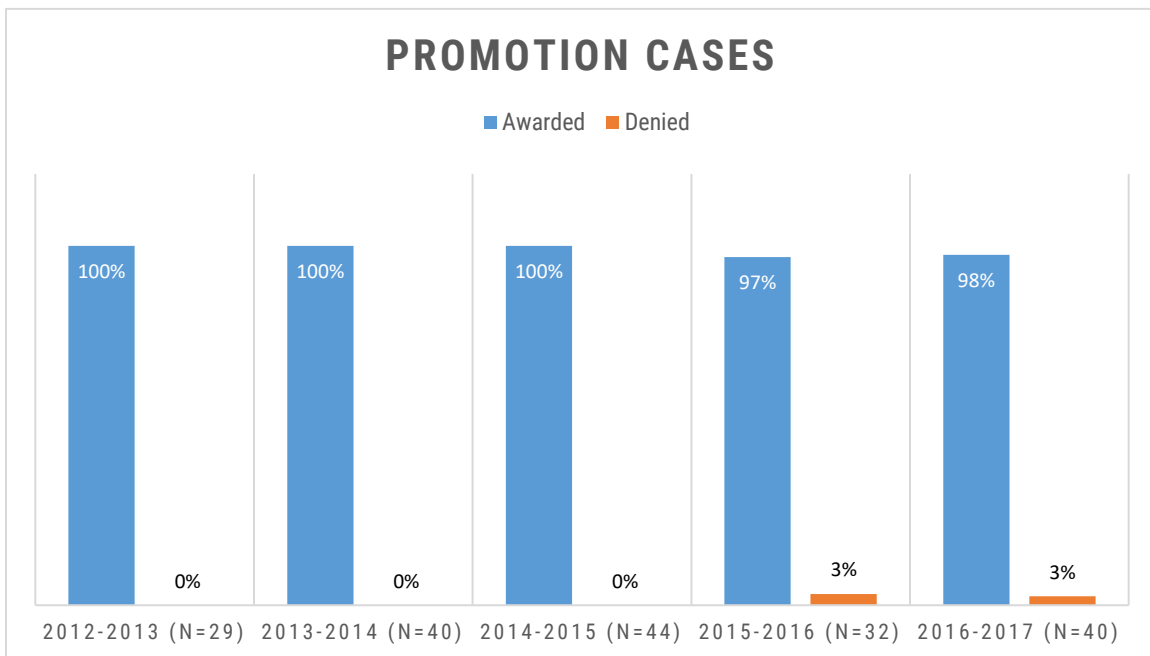


Figure 2. 2012-2017 Promotion Case Results for Cases Considered by the Campus APT Committee (percentages rounded to nearest whole number).

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.² For 2016-2017, withdrawals are at 6% of all cases³ (N=3) originally submitted for promotion to Associate Professor (as compared to 24% (N=9) in 2015-2016, 23% (N=10) in 2014- 2015, 13% (N=8) in 2013-2014, and 19% (N=12) in 2012-2013 – combined average of 17%) and at 11% (N=5) for Professors/Principal Agents (in comparison, in 2015-2016, withdrawals were at 11% (N=4) at this higher level, 17% (N=9) in 2014-2015, 13% (N=6) in 2013-2014, and 19% (N=7) in 2012-2013 – combined average of 14%).

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

APT POLICY GUIDANCE

Since the APT policy changes in 2015, the Office of Faculty Affairs has worked to ensure a campus transition to the new requirements through revised guidelines,⁴ APT workshops,⁵ and partnering with the Teaching and Learning Transformation Center (TLTC) regarding guidance on the preparation of teaching portfolios.

AEP POLICY IMPLEMENTATION

2016-2017 marked the first year of implementation (as per guidelines⁶) of a campus level review for professional track faculty seeking promotion above the Associate or Senior level ranks as part of the Appointment, Evaluation, and Promotion (AEP) process.⁷ In all, there were a total of 106 campus professional track faculty promotion cases. Of those, 90 were managed at the College level and 18 were reviewed by the Campus AEP Committee. All 18 cases reviewed by the Campus AEP Committee were approved while four cases (3.7%) were denied at the College level.

In addition, the Office of Faculty affairs continued its support of campus policies (summarized at https://faculty.umd.edu/policies/ptk_changes.html) affecting PTK faculty, in particular working with the Senate and Colleges regarding College AEP plans.

FACULTY REPORTING & ACHIEVEMENT DATA (LYTERATI)

The Office of Faculty Affairs relaunched the campus's faculty achievement data system implementation effort through a year-long needs assessment and procurement process seeing a new vended solution to improve how the campus records and manages data

² The Office of Faculty Affairs developed and tested an approach to capture systematically data related to reasons for candidate withdrawals this year. Moving forward, the Office of Faculty Affairs will report more accurate candidate withdrawal data.

³ Tenure approvals + tenure denials + withdrawals.

⁴ <http://faculty.umd.edu/policies/documents/APTManual.pdf>

⁵ These include workshops for assistant professors/agents pre-third year review, assistant professors/agents post-third year review, associate professors/agents seeking promotion, APT administrators (targeted at unit and college administrators and APT chairs), and staff.

⁶ http://faculty.umd.edu/policies/documents/UM_Guidelines_for_PTK_Appointments.pdf

⁷ The review committee consists of six tenured full professors and three professional track faculty members in the highest ranks.

related to faculty activity and accomplishments, enhance the campus's ability to integrate faculty achievement data into other related processes (i.e., awards and recognition), and in part facilitate the APT and AEP processes. The Office of the Provost (with the Office of Faculty Affairs acting on its behalf) and the Division of Information Technology formed a partnership to for this effort, with input and participation from key stakeholders across campus (e.g., faculty, chairs, deans, directors, IRPA, VPR, PHR, the Libraries). Updates regarding the effort are available at <http://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. 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 launched several productivity groups, intended to support assistant and associate professors with their research productivity. These efforts continue and have been expanded for the upcoming Academic Year. Also, the Office of Faculty Affairs in conjunction with the Graduate School and through the jointly run Office of Postdoctoral Affairs, has been developing mentoring and support efforts for postdocs – including for the newly implemented President's Postdoctoral Fellowship Program (PPFP - <http://faculty.umd.edu/presidentspostdoc/>).

The Office of Faculty Affairs has also 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 series of five two-hour workshops 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.

Future plans include the development of workshops on mentoring for mentors and chairs and significantly strengthening mentoring of associate professors.

Concluding Remarks

The 2016-17 APT cycle brought campus closer to more typical numbers of APT cases, after a dip last year largely attributed to earlier hiring freezes. This year also saw the initiation of the formal campus AEP review process, which required a number of procedural activities to implement. Lessons learned from this first year of campus AEP reviews will be folded into next year's process. OFA also formed or strengthened partnerships designed to support faculty advancement through workshops, mentoring, development, and productivity activities. These efforts are designed to create and promote a transparent, rigorous, and fair APT process – which is key to maintaining the university as an institution of inclusive and integrative excellence.

Finally, 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, however, the percentage of women seeking tenure fell. Analysis conducted by OFA shows that this decline is primarily due to tenure delays. The data regarding faculty of color also show improvement, with all (100%) faculty of color having earned tenure and promotion. The number of faculty of color seeking promotion and tenure, particularly underrepresented minorities, however, remains small – thus reinforcing campus efforts to recruit an inclusive and diverse faculty.

Appendix: Demographic Data

The demographics within this Appendix are about promotion and tenure from within the ranks at UMD and not new 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 (2016-2017)*

	ALL CASES**		CASES CONSIDERED BY APT COMMITTEE					
			CAMPUS APT CASES***		DENIED CASES ⁸		APPROVED CASES	
	Total	%	Total	%	Total	%	Total	%
Total	52		50		1	2%	49	98%
Female	17	33%	16	32%			16	100%
Male	35	67%	34	68%	1	3%	33	97%
Asian	10	19%	9	18%			9	100%
Black	4	8%	4	8%			4	100%
Latino	2	4%	2	4%			2	100%
White	30	58%	30	60%	1	3%	29	97%
Not Reported	6	12%	5	10%			5	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, 32% were women (down from 46% in 2015-2016 and 48% in 2012-2013; see Figure 3. OFA's analysis indicates that this decline is largely attributable to tenure delays). 60% were white (as compared to 43% in 2015-2016 and 60% in 2012-2013; see Figure 4), 18% were Asian (as compared to 36% in 2015-2016 and 19% in 2012-2013; see Figure 4), 8% were Black or African American (as compared to 4% in 2015-2016 and 10% in 2012-2013; see Figure 4), 4% were Latino (as compared to 4% in 2015-2016 and 6% in 2012-2013; see Figure 4), and 10% did not report their race (as compared to 14% in 2015-2016 and 6% in 2012-2013; see Figure 4). Setting aside the percentage of those cases without race reported, non-white faculty (Asian, Black or African American, Latino) represent 32% of the 2016-2017 tenure cases considered by the APT Committee, compared to 44% in 2015-2016 and 35% in 2012-2013. Asian faculty (20%)

⁸ 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.

account for most of this, while Black or African American and Latino faculty remain in the single digits (8% and 4%, respectively) (see Figure 4).

This year only presented one tenure denial (male) and two withdrawals (one male, one female). As such, withdrawal and denial data are presented here, but readers are cautioned that this year only presented one denial and two withdrawals. In terms of race, one withdrawal did not report race, and one is white.

WITHDRAWN CASES (2016-2017)

	WITHDRAWN CASES	
	Total	%
Total	2	4%
Female	1	50%
Male	1	50%
Asian		
Black		
Latino		
White	1	50%
Not Reported	1	50%

Given the lower percentage of women participating in the tenure and promotion process due to tenure delays, trend data for this year's promotion and tenure cycle should be viewed with caution when reviewing gender data. That said, and 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. This year, the University launched three efforts to address this issue: the President's Postdoctoral Fellowship Program (<http://faculty.umd.edu/presidentspostdoc/>) designed to attract more faculty of color into the professoriate; the Senior Targeted Hire program (faculty.umd.edu/hiring) designed to increase the diversity of tenured faculty; and the Inclusive Hiring Pilot program (<https://advance.umd.edu/inclusive-faculty-hiring>) designed to assist faculty searches through best practices in diverse hiring.

SELECTED DEMOGRAPHIC DATA: FIGURES

Percentages rounded to the nearest whole number

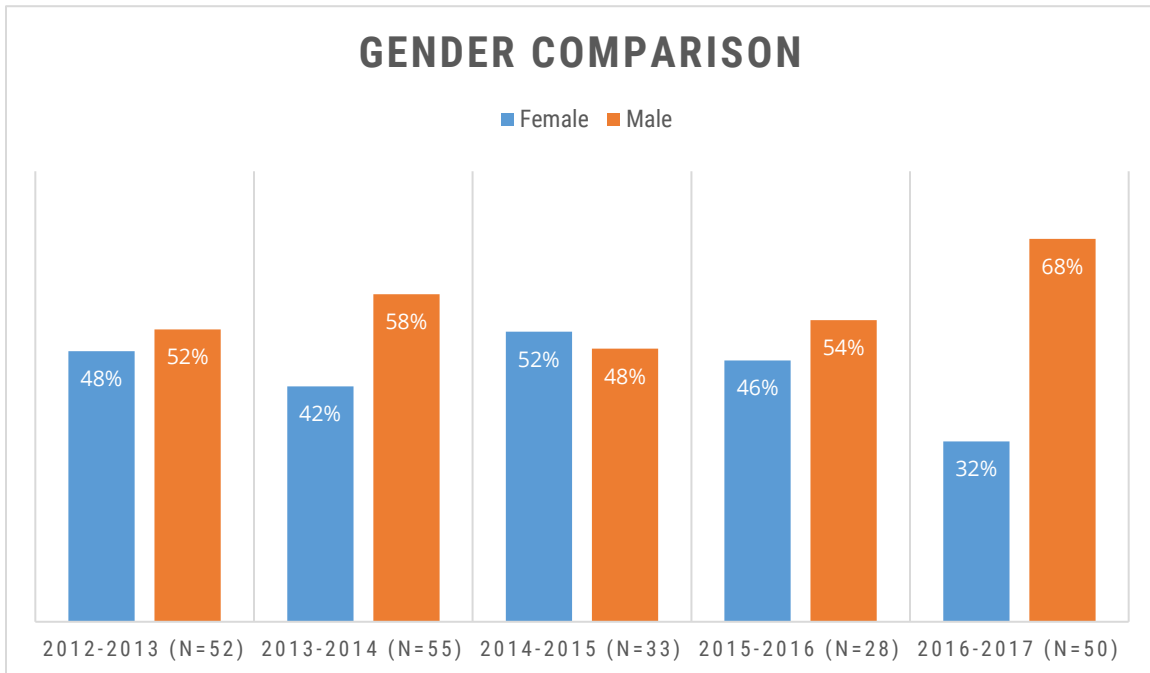


Figure 3. Tenure Cases by Gender Over Five Years.

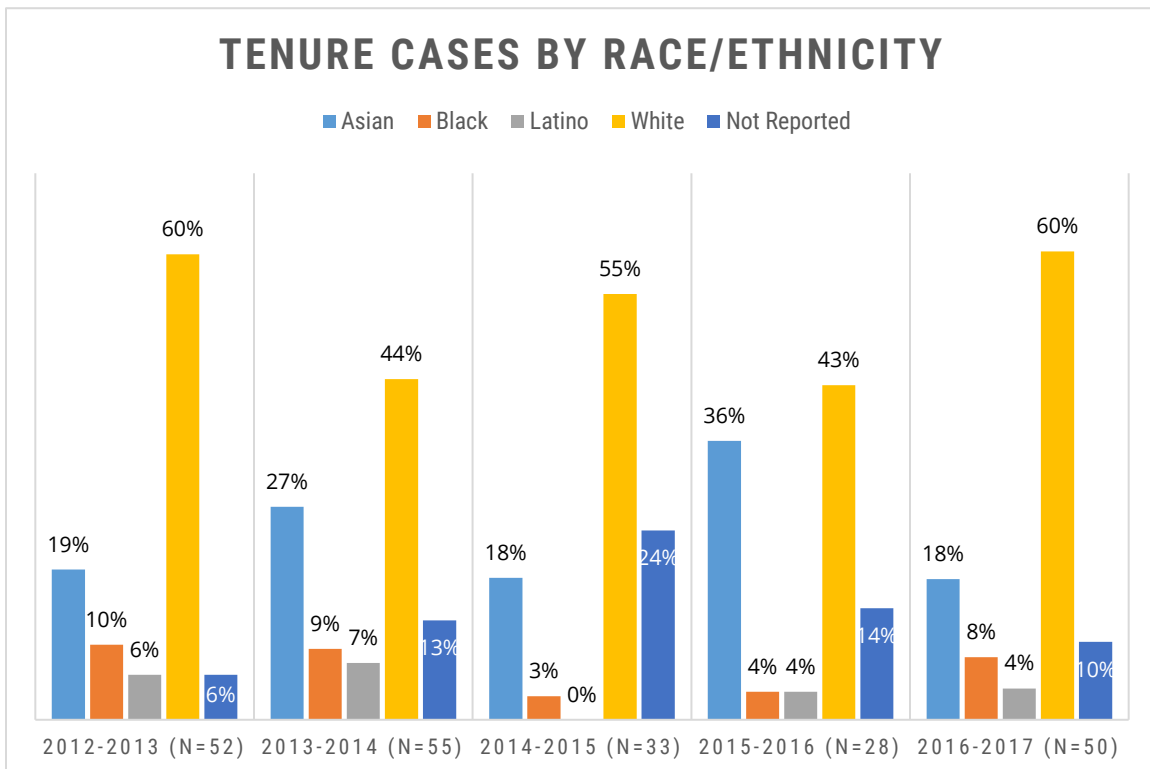


Figure 4. Tenure Cases by Race / Ethnicity Over Five Years.

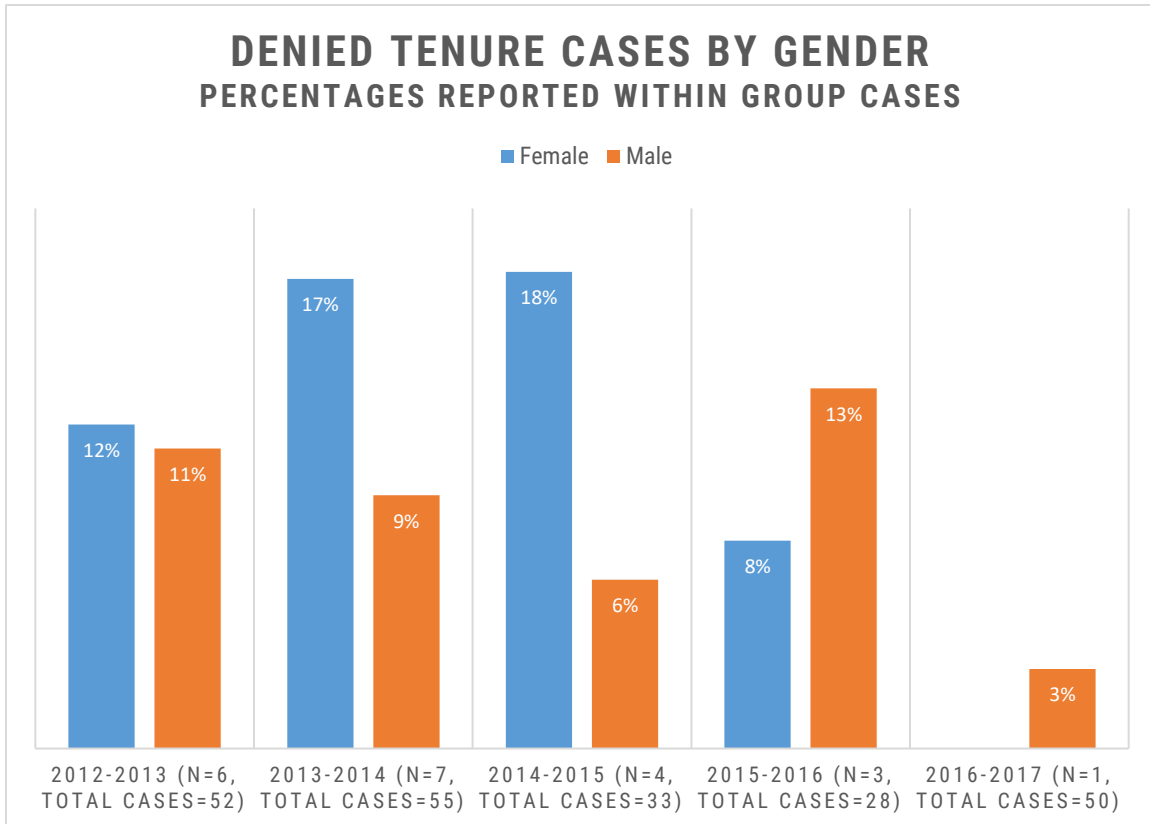


Figure 5. Tenure Denials Over Five Years by Gender. Percentages are reported out of cases by gender.

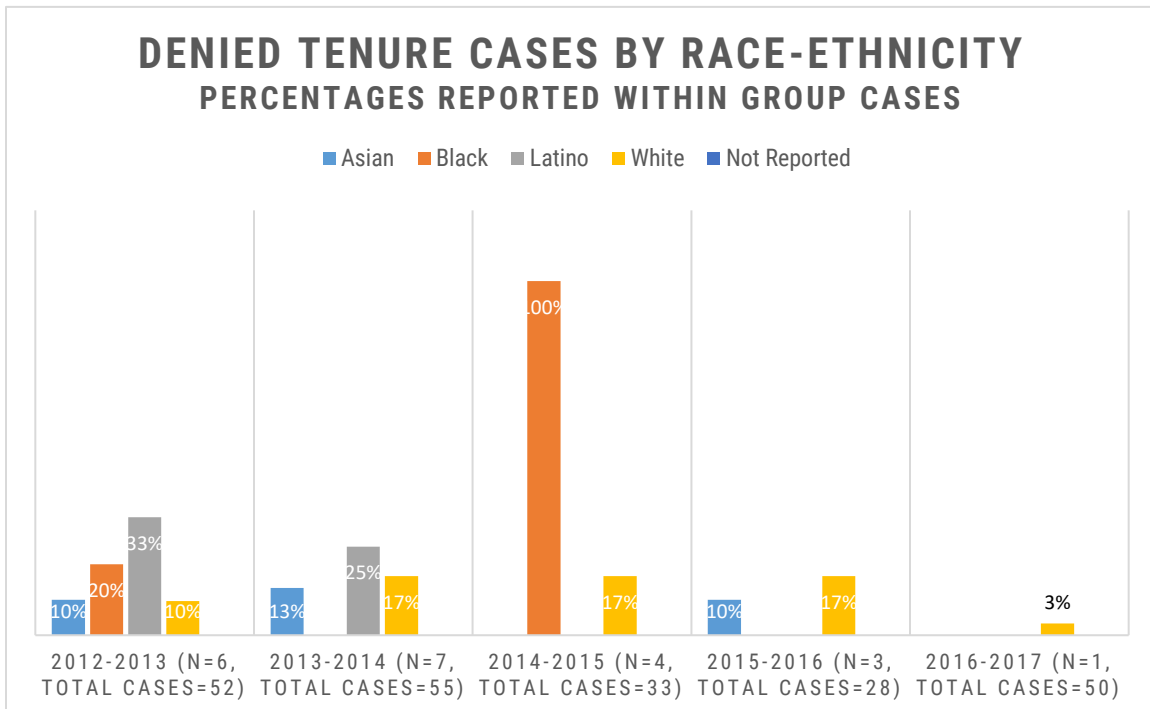


Figure 6. Tenure Denials Over Five Years by Race / Ethnicity. Percentages are reported out of race/ethnicity cases.