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TO : Faculty Executive Committee
FROM : Jerome N. Sanes, Chair (2010-2011), Tenure, Promotion and Appointments Committee (TPAC)
DATE : 20 July 2011
RE : Report on TPAC activities, Academic Year 2010-2011

TPAC continued to fulfill its function as a peer-review body for faculty promotion, tenure and appointments across the University. In the 2010-2011 Academic Year, TPAC evaluated 104 cases ranging across promotions, reappointments, appointments and contract extensions.

During its deliberations, TPAC developed several recommendations for departments and programs; these are presented here, with their rationale appearing in the main narrative.

*TPAC recommends that departments and programs provide a **balanced and analytic** summary narrative of **teaching and mentorship** that includes both **numerical scores** and **representative student comments**. The narrative should include comparison rankings for department courses similar to those instructed by the candidate. TPAC recommends that departments and programs analyze the **strengths** and **weaknesses** of the teaching record and **develop plans**, as needed, to **ameliorate weaknesses** in the teaching record.*

*TPAC recommends that departments and programs provide a **balanced and analytic** summary narrative that **presents and weighs** the **strengths** and **weaknesses** of the **scholarship** record for each case.*

TPAC recommends that departments and programs reassess the scheduling of external appointments and internal promotions from Associate-to-Full Professor, moving many more of these to the Fall semester.

TPAC recommends that departments review their Standards and Criteria to reflect their actual procedures for appointments, promotions, and reappointments and that they conform to University rules.

During the Fall Semester, TPAC discussed general procedures and continued to develop procedures related to recusals and disclosures by TPAC members. Highlights of the decisions related to recusals and disclosures include the following:

- TPAC members were strongly encouraged to disclose any information about all cases that might pertain to potential recusal from considering a case. The Recusal Committee would then evaluate the disclosed information and determine whether it would require recusal from considering a case. TPAC typically errs on the side of caution regarding recusals; thus, if there's a potential appearance of a conflict of interest, recusal is in order.
- Aside from obvious cause for recusals, such as departmental affiliation or personal relationships with candidates, TPAC confirmed the decision from AY2009-10 that any member could recuse oneself without disclosing the rationale for the recusal.

- TPAC members were informed that once a voluntary recusal occurred, that this was a definitive action that could not become reversed nor rethought after TPAC began discussing a case.

TEACHING NARRATIVE IN DOSSIERS

TPAC continued to discuss how departments could better convey a candidate's teaching abilities, focussing mostly upon candidates already with Brown appointments. The Committee agreed that departments should continue to provide the numerical summary of the teaching evaluation forms. Furthermore, even though all the teaching evaluations for a candidate has availability for review, TPAC continued to express a strong interest in having departments provide representative individual students comments from evaluations for each course instructed by the candidate. Thus, TPAC wished to view student comments that reflected the range of scores provided by students. TPAC members recognized that providing selected comments does not necessarily provide a full accounting of a candidate's teaching ability and that the numerical scores do indeed provide an average accounting; however, TPAC members wished to have as part of the dossier a representative sampling of student opinions. Most importantly, TPAC strongly urges departments to provide a balanced and realistic analysis of a candidate's teaching capabilities. TPAC has sometimes found that departmental accounts of teaching do not reflect the numerical scores or the individual student comments. A memo written by the TPAC Chair was distributed to departments in January 2011 expressing these concerns.

SCHOLARSHIP NARRATIVE IN DOSSIERS

TPAC also expressed continued concern, sometimes to department representatives when they visited TPAC, about the absence of a balanced narrative concerning the scholarship record in some case narratives provided by departments. TPAC prefers that departments present an honest, insightful, balanced, and analytic narrative that highlights the strengths and weaknesses of each case as determined by the scholarly achievements of the candidate. Simple acceptance of referees comments, particularly the positive ones, in the face of less than stellar records by candidates, can engender difficult discussions when departments present cases to TPAC.

SCHEDULING OF CASES

TPAC also noted a continued asymmetry in the magnitude of the work load between the Fall and Spring semesters. Due to contractual matters, reappointments at the Assistant Professor rank typically occur in the Fall, while tenure cases typically occur in the Spring. While TPAC thoroughly reviews each case, dossiers for tenure, internal promotion from Associate-to-Full Professor, and external appointment cases (which are most often 'tenure' cases) typically have greater complexity than reappointment cases, often requiring significantly more time for TPAC members to review and to assess. This past year, few internal promotion cases, from Associate-to-Full Professor and external appointment cases, either to Associate or Full Professor were reviewed by TPAC in the Fall semester. Thus, a disproportionate number of cases requiring extensive review occurred in the Spring semester, placing a heavy work load burden on TPAC members.

STANDARDS AND CRITERIA

TPAC has identified a number of potential issues in departmental Standards and Criteria (S & C). First, departmental S & C's have wide variation, from sparse to comprehensive; the sparse S & C's typically do not provide guidance to candidates for appointment or promotion. Second, some departmental S & C's have not been revised recently, with some S & C's more than 20 years old. Third, TPAC has occasionally noticed that some departments do not always adhere to the regulations and procedures as detailed in their S & C. Thus, TPAC urges that departments and programs undertake

a self-review of their S & C. In the upcoming academic year, TPAC will likely exercise its authority governing departmental S & C's.

OTHER MATTERS

TPAC also continued to refine its process to assess tenure cases, particularly those for promotion from Assistant to Associate Professor, with tenure granted. For internal cases concerning promotion to Associate Professor, with tenure granted, TPAC continued to employ a two-stage evaluation process. In the first meeting, TPAC focused on identifying dossier items for departments and centers to provide written clarification, without discussing the merits of the case. Upon receiving clarifications, TPAC then hosted departmental representatives to fully address the merits of the tenure-case, and then voted on each case. TPAC withheld immediate notification to departments preferring to release decisions for cases grouped within major University divisions, that is, humanities, life sciences, physical and applied sciences and social sciences.

TPAC exercised its privilege to seek additional information on several cases during the academic year.

Summary of Cases

As noted above, TPAC evaluated 104 cases during the 2010-2011 Academic Year; as of 1 July 2011, the Provost has made decisions for all of these cases. A tabular summary of the cases that TPAC assessed appears at the end of this document.

Reappointments of tenure-track faculty. TPAC reviewed 21 recommendations for reappointments at the rank of assistant professor; 18 for a four-year reappointment and three for a two-year reappointment. TPAC approved a four-year reappointment recommendation for 16/18 cases and recommended only a two-year reappointment in 2/18 cases. The Provost concurred with 17 of these decisions, overturning one of the decisions to recommend only a two-year reappointment, thus agreeing with the department on a four-year reappointment. TPAC and the Provost approved departmental recommendations of two-year reappointments in 2/3 cases. TPAC recommended contractual termination in one case having a two-year departmental recommendation, though the Provost overturned TPAC's decision, agreeing with the department for a two-year reappointment. In subsequent discussion of this last case, TPAC members wished to have recorded their displeasure with the Provost's decision. TPAC based its unanimous decision to terminate the contract based on an exceedingly poor teaching record and apparent disconnection from University life by the candidate; the candidate seemed unresponsive to department concerns on these two matters; thus, TPAC saw no reason to recommend continued employment.

Reappointments of non-tenure-track faculty. TPAC considered two cases of reappointment of Senior Lecturers, each to a new six-year term. TPAC and the Provost concurred on both cases for reappointment of six-years for these two individuals.

Contract Extensions, tenure-track Assistant Professors. TPAC reviewed requests to extend the probationary period by one year for eight tenure-track Assistant Professors, approving all departmental recommendations.

Promotion from Assistant Professor to Associate Professor with tenure. TPAC considered 22 cases for promotion from Assistant to Associate Professor with tenure granted. One individual withdrew from the evaluation process after a negative departmental decision, and this case is not included in the total tally of 22 tenure cases. For this case, TPAC asked the Office of the Dean of the Faculty to confirm that the faculty member indeed had withdrawn from the evaluation process, and this fact was confirmed. TPAC then deliberated whether to assess the case, deciding to honor the wishes of the faculty member who withdrew from further consideration. TPAC and the Provost concurred with the

single departmental recommendation not to grant tenure. TPAC agreed with a departmental recommendation for promotion from Assistant to Associate Professor with tenure granted in 17/21 cases, while recommending tenure denial in three cases and having a tied vote in one case. For the 13/17 cases approved by TPAC, the Provost concurred in all but one case, thus, denying tenure in this one case. The Provost approved tenure for the case in which TPAC had a tie vote. The Provost agreed with TPAC's recommendation to deny tenure in three cases.

Promotion from Associate Professor to Professor with tenure previously granted. TPAC received 16 recommendations that Associate Professors, previously granted tenure, be promoted to Full Professor. TPAC approved 13 of these cases with the Provost concurring in all 13. The Provost reversed one negative decision by TPAC regarding promotion to Full Professor. While the entire membership of TPAC has not yet learned of this decision since it occurred after TPAC ended its meetings for the academic year ended, the unanimous decision of TPAC to deny promotion had its basis in a consistently poor teaching record by the candidate.

Promotion from Lecturer to Senior Lecturer, term appointments. TPAC received one departmental recommendation for promotion from Lecturer to Senior Lecturer with a six-year term. TPAC approved the departmental recommendation in this case, with the Provost concurring.

New appointments at Full and Associate Professor.

TPAC considered a variety of new appointments at the rank of Full Professor. TPAC and the Provost approved one five-year term appointment at the rank of Full Professor, without tenure. TPAC approved 27/27 requested appointments at the rank of Full Professor, with tenure granted; the Provost concurred in all 27 cases.

TPAC considered five cases for a new appointment at the rank of Associate Professor. TPAC and the Provost concurred to approve four cases for appointment at the rank of Associate Professor, with tenure granted. TPAC and the Provost did not concur with the department to appoint an individual at the Associate Professor rank, with tenure granted, for one case.

Faculty members of TPAC, 2010-2011.

Jerome Sanes, Neuroscience (Chair), rotating off TPAC
Kenny Breuer, Engineering (Vice-Chair)
Maggie Bickford, History of Art and Architecture, rotating off TPAC
Jeffrey Brock, Mathematics
Gregory Elliott, Sociology (Spring Term), rotating off TPAC
Lina Fruzzetti, Anthropology (Spring Term)
Philip Gould, English
Peter Howitt, Economics (Fall Term)
Joachim Krueger, Cognitive, Linguistic and Psychological Sciences
Dore Levy, Comparative Literature
John Marshall, Molecular Pharmacology, Physiology and Biotechnology
William Simmons, Anthropology (Fall Term)
Richard Stratton, Chemistry, rotating off TPAC

Summary of TPAC / Provost Decisions

Academic Year 2010-2011

| Reappointments | | | | |
|--|-----------------|----------------------------|---|-----------------------------------|
| Action | Number of Cases | Departmental Decision (yr) | TPAC Decision (yr) | Provost Decision (yr) |
| As Assistant Professor (tenure-track) | 16 | 4 | 4 | 4 |
| | 1 | 4 | 2 | 4 |
| | 1 | 4 | 2 | 2 |
| | 2 | 2 | 2 | 2 |
| | 1 | 2 | 0 | 2 |
| As Senior Lecturer (term appointment) | 2 | 6 | 6 | 6 |
| Extensions | | | | |
| Action | Number of Cases | Departmental Decision | TPAC Decision (re: Department) | Provost Decision (re: Department) |
| Extend Probationary Period | 8 | Recommended | Approved | Approved |
| Promotions (Internal) | | | | |
| Action | Number of Cases | Departmental Decision | TPAC Decision (re: Department) | Provost Decision (re: Department) |
| To Associate Professor with Tenure granted | 16 | Recommended | Approved | Approved |
| | 1 | Recommended | Approved | Not Approved |
| | 3 | Recommended | Not Approved | Not Approved |
| | 1 | Recommended | Tied vote | Approved |
| | 1 | Not Recommended | Approved | Approved |
| | 1 | Not Recommended | Candidate withdrew: Case not considered | |
| To Full Professor with Tenure previously granted | 13 | Recommended | Approved | Approved |
| | 2 | Recommended | Not Approved | Not Approved |
| | 1 | Recommended | Not Approved | Approved |
| To Senior Lecturer (6 yr term) | 1 | Recommended | Approved | Approved |
| Appointments (External) | | | | |
| Action | Number of Cases | Departmental Decision | TPAC Decision (re: Department) | Provost Decision (re: Department) |
| as Full Professor, without Tenure | 1 (5 yr) | Recommended | Approved | Approved |
| as Full Professor, with Tenure | 27 | Recommended | Approved | Approved |
| as Associate Professor, with Tenure | 4 | Recommended | Approved | Approved |
| | 1 | Recommended | Not Approved | Not Approved |