

Annual Report on Academic Personnel Review, 2011-2012



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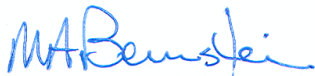
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Introduction

The 2011-12 Annual Report on Academic Personnel Review includes summary statistics for reviews conducted in the 2011-12 academic year, comments about some of the challenges encountered throughout the year, and brief discussion of issues to consider in future reviews. All colleagues are encouraged to read through the “Guidelines for Promotion and Tenure Review” (for the Uptown campus) and the “Guidelines for Personnel and Honors Review” (for the Health Sciences/Downtown campus), which are posted on the Academic Affairs website at <http://tulane.edu/provost/acadreview.cfm>.

We are extremely grateful to everyone who served (and serves) on the academic personnel review committees that are such a crucial part of the faculty appointment, promotion, and tenure processes at the University. The shared governance involving academic personnel review, grounded in the collaboration between faculty and senior academic leadership, is the foundation of the excellence that animates the research, scholarship, art-making, teaching, and community and professional service that define Tulane’s faculty as a whole. The quality of our faculty is the driving force behind Tulane’s continued classification by the Carnegie Foundation as a “Research University (Very High Research Activity)” <http://www.carnegiefoundation.org/classifications/index.asp> -- a singular distinction of which we are all very proud. It cannot be emphasized enough that the appointment and promotion standards set by the faculty – in a shared responsibility with the University leadership – are the essential ingredients of our success as a university of superb capability, influence, and standing.

Reported statistics on “approval rates” for reviews tend to be biased upwards insofar as some colleagues, in anticipation of a negative review outcome, may choose to leave Tulane or request a change to a different professorial track beforehand. In other cases, some colleagues may be actively mentored to do so. Either way, it is very important to keep this in mind when surveying the data below.



Michael A. Bernstein
Professor of History and Economics
Senior Vice President for Academic Affairs and Provost

Uptown Campus Statistics

The Office of Academic Affairs reviewed eighty faculty files for reappointment, third-year review, promotion and/or tenure for the Uptown campus Schools during the 2011-2012 academic year. The majority of the cases were in the School of Liberal Arts (thirty two) and in the School of Science and Engineering (twenty six) (see Table 1).

Table 1: Uptown Campus Academic Personnel Review Statistics, 2011-2012

Uptown Campus	Total #	Number Approvals	Number Denied	Approval Rate
TENURE TRACK				
Third Year Review	14	13	1	93%
Appeal Neg. Third Year Review	3	1	2	33%
Promotion & Tenure (P&T)	17	15	2	88%
Appeal Neg. P&T Review	2	0	2	N/A
Promotion To Full Rank	3	3	0	100%
New Hire With Tenure	3	3	0	100%
New Hire Full Professor	4	4	0	100%
Subtotal	46	39	7	85%
NON-TENURE TRACK				
Reappointment	22	21	1	95%
Reappoint. with Promotion	12	12	0	100%
Subtotal	34	33	1	97%
GRAND TOTAL	80	72	8	90%
N/A: Not Applicable				

Health Sciences/Downtown Campus Statistics

School of Medicine

In the School of Medicine, during the 2011-2012 academic year, twenty one faculty files were reviewed by the Office of Academic Affairs in the following categories (see Table 2): thirteen in the tenure track, one in the research track, and seven in the clinical track. 96% of the reviews were positive. Overall, the average turnaround time was 15 days. This report does not reflect appointment or track-change data for Assistant Professors in the School of Medicine.

Table 2: School of Medicine Academic Personnel Review Statistics, 2011-2012

	Total #	Number Approvals	Number Denied	Approval Rate
School of Medicine				
TENURE TRACK				
Appointment	2	2	0	100%
Promotion & Tenure (P&T)	4	3	1	75%
Endowed Appointment	0	0	0	N/A
Track Change	0	0	0	N/A
Third Year Review	7	6	1	86%
Subtotal	13	11	2	85%
RESEARCH TRACK				
Appointment	1	1	0	100%
Promotion	0	0	0	N/A
Promotion & Track Change	0	0	0	N/A
Track Change	0	0	0	N/A
Subtotal	1	1	0	100%
CLINICAL TRACK				
Appointment	3	3	0	100%
Promotion	4	4	0	100%
Track Change	0	0	0	N/A
Subtotal	7	7	0	100%
GRAND TOTAL	21	19	2	96%
Track Changes are tabulated by track of original appointment N/A: Not Applicable				

School of Public Health and Tropical Medicine

In the School of Public Health and Tropical Medicine, during the 2011-2012 academic year, eight faculty files were reviewed by the Office of Academic Affairs (see Table 3), all in the tenure track.

Overall, the average turnaround time in Academic Affairs was 14 days, and 100% of the reviews were positive. This report does not reflect appointment or track-change data for Assistant Professors in the School of Public Health and Tropical Medicine.

Table 3: School of Public Health and Tropical Medicine Academic Personnel Review Statistics, 2011-2012

	Total #	Number Approvals	Number Denied	Approval Rate
SPHTM				
TENURE TRACK				
Appointment	1	1	0	100%
Promotion & Tenure (P&T)	3	3	0	100%
Third Year Review	4	4	0	100%
Endowed Appointment	0	0	0	N/A
Track Change	0	0	0	N/A
Subtotal	8	8	0	100%
RESEARCH TRACK				
Appointment	0	0	0	N/A
Promotion	0	0	0	N/A
Track Change	0	0	0	N/A
Subtotal	0	0	0	N/A
CLINICAL TRACK				
Appointment	0	0	0	N/A
Promotion	0	0	0	N/A
Track Change	0	0	0	N/A
Subtotal	0	0	0	N/A
GRAND TOTAL	8	8	0	100%
Track Changes are tabulated by track of original appointment N/A: Not Applicable				

Challenges in Academic Review Processes

In the course of our review work this past academic year, we noted continued improvement in the construction of academic files. We briefly note here certain challenges that were identified in the review process. It is our hope that these observations will be useful to academic units and Schools in the preparation of review files that are clearly argued, well documented, and persuasive.

New in 2011-12

- **External Referees:** If units/departments/schools/appointment, promotion and tenure committees have difficulty securing external referees, they should request assistance from their Dean, the Provost, and/or the Office of Academic Affairs. Consideration should be given to notifying external referees regarding the outcome of the review for which they have provided an evaluation.
- **Outcomes of Reviews:** The appointment, promotion and tenure committees are encouraged to talk with their respective Dean about approaches to notifying the successful candidates about the outcome of reviews. Candidates should be notified about the final decision (i.e., "campus reviewers concluded that XXX"). However, under no circumstance should the candidate be notified of the outcome of the different levels of review (e.g., the candidate should NOT be informed that the appointment, promotion and tenure committee approved the review and the Dean overturned the decision).
- **Reconsideration:** If a candidate who has not had a successful promotion/tenure review requests reconsideration, a new group of external referees are to be selected to conduct an evaluation of the cases. The letters to the new external referees requesting evaluation of the file should not signal a failed prior review. The file that is forwarded for reconsideration, however, should include all information (including the first set of letters from external referees).
- **Early Tenure Reviews:** Candidates should not be encouraged to go up for promotion and tenure review early. Only in rare cases -- to address retention issues or when a candidate has a truly extraordinary record of achievement -- are early tenure reviews appropriate.

Ongoing from prior Annual Reports

- **Promotion and tenure committees** should include tenured and full rank faculty. Inclusion of non-tenured, non-full rank faculty on these committees should be avoided.
- **External Referees:** The utilization of the commentary of independent, capable, and prominent external referees is an exceedingly important part of robust academic personnel review. It is very important that academic units and Schools make clear why particular external referees are chosen for faculty file review in the tenure track. Review files should contain an explanation of the extent to which each referee has the appropriate expertise, visibility, stature, and reputation to serve as a credible commentator on a case. It is normally expected that consideration will be given to selecting external referees from member schools of the Association of American Universities (AAU) (see <http://www.aau.edu/about/article.aspx?id=5476> for an AAU membership list).
- **Call Letters to External Referees:** It is important the call letters to external referees clearly outline the kind of critical assessments that we expect from them, including comparisons with peers in the field. Call letters should never include nor gesture toward the presumption of a particular review outcome.
- **Research:** For tenure-track and research intensive faculty, commentary on the significance of the candidate's research or creative activity, the independence of his/her contributions to their field, the likelihood that the research or creative activity will have an impact on the field and move it forward, the prospects for the continued vitality and productivity of the candidate's research or creative activity, the anticipated visibility of his/her on-

going research or creative trajectory, and the synergies of the work with the mission and strategic goals of the candidate's academic unit and/or School should be provided.

- Votes: Split votes at either the academic unit and/or School review committee-level should be explained in the dossier -- preferably in the cover letter provided by the Dean and/or the review committee chair. Both sides of split votes should be thoroughly explained.
- Promotion and Tenure Votes: It is important to unify votes in promotion and tenure; there is no need to have separate votes. This means that if there is an external appointment of a full professor, associate professors would not vote on the matter of tenure (the unit could allow them to vote on the question of the appointment itself, if so desired).
- Recusal: School review committees should consider ending the recusal of departmental and/or speciality area colleagues in consideration of promotion and tenure cases from their home departments. Not allowing such colleagues to vote in these cases is quite understandable, but entirely quarantining them from the deliberative process may deprive the review committee of the opportunity to benefit from their disciplinary and professional expertise.
- Reporting Results: Both the school review committee letter and the Dean's letter should discuss the pros and cons of each case thoroughly, identifying strengths as well as weaknesses in the dossier.
- Multi-Author Publications: The dossier should explain the specific role of the candidate in any collaborative endeavors and/or multi-author publications.
- Publication/Performance/Exhibition Venues: The significance of the publication and/or performance/exhibition venues of a candidate's work and contributions should be explained when it is not immediately apparent. It is especially important that the quality and significance of foreign language publications be fully explained and documented (along with a clear indication of the extent to which they have been rigorously peer-reviewed).
- Mentoring: Assessment of third-year review files have highlighted many opportunities for mentoring and faculty development. Clear and consistent communication to review candidates (not to mention all colleagues) regarding the expectations for promotion and tenure should be provided as well as specific mentoring on how best to build a strong and compelling dossier for successful academic review.
- Institutional and Professional Service: We noted in some reviews a recurring concern about "protecting" junior colleagues from service assignments. Of course, we should not overburden junior faculty with excessive responsibilities. But the complete absence of appropriate service experience for junior colleagues is neither appropriate nor wise. To be sure, senior faculty and Deans should work with junior faculty to ensure that research or creative activity, teaching, and service are appropriately balanced. At the same time, it is vitally important for junior faculty to develop a sense of their obligations as members of the University community and to be represented in School and University committees and activities.

Prospective Issues for Consideration

We continue to invite comments, suggestions, and insights from all colleagues as well as from members of the academic leadership of all the academic units and Schools on prospective issues and practices in academic personnel review. Listed below are some of the major issues that have our on-going attention and concern in Academic Affairs.

New in 2011-2012:

- Annual Review of Faculty: Deans are encouraged in annual review meetings, to discuss anticipated timelines for promotion to full professor with all faculty at the rank of associate professor.

Ongoing Issues:

- Evolving publication/exhibition practices: The rapidly changing digital environment for publication, exhibition, and performance continues to be a challenge for academic review. The Office of Academic Affairs is always eager to assess the impact of new practices in this regard, and it welcomes the advice and suggestions of academic leadership and faculty in all the Schools.
- Feedback in the wake of review: Are review candidates receiving appropriate feedback after completing academic review? What mentoring initiatives are in place at the levels of the academic unit and/or School to ensure that such sharing of information is taking place? Would it be useful to provide candidates with redacted external referee letters – which would provide an array of detailed information concerning the candidate's progress in his/her career to date? One of Tulane's Schools is already engaged in this practice (the Law School). Should other Schools be encouraged to take up a similar protocol? Should other redacted materials be shared with candidates – such as the reports from the relevant academic units and/or the relevant promotion and tenure review committees?
- Length of the tenure clock: Is the current length of the tenure clock – a uniform seven years across all the disciplines of the University – appropriate and useful? In many disciplines, not solely but especially in the health sciences area, it has become a major challenge to meet the standards for promotion with regard to external grants and sponsored projects due to the current funding environment. In some other fields, long publication queues in journals and book series also interfere with traditional expectations regarding the tenure clock. Would an extension of the tenure clock (a University Senate decision) alleviate these problems? Should such an extension apply uniformly across all fields? How would expectations regarding the accomplishments expected for tenure change (if at all) if the tenure clock were lengthened?
- Evaluating teaching and service: Are we properly and adequately evaluating and valuing community and professional service, engaged learning, effective teaching, and other mentoring and program-building activities in our academic review processes?
- Consistency and transparency in academic review practices: Are we properly and appropriately consistent and transparent in our academic review practices across all Schools, especially given our increasingly interdisciplinary research endeavors? Would periodic joint meetings of all University academic review committees facilitate consistency and transparency of practices?
- Time in track for tenured associate professors: In some academic units, there are a relatively high percentage of associate professors with tenure who have been in rank for fairly long periods of time. What (if any) constraints, practices, presumptions, and expectations may be negatively impinging upon their timely advancement to full professorial rank?

Appendix: Academic Personnel Review Committees, 2012-2013

Architecture			
	Ammar Eloueini: Chair	eloueini@tulane.edu	
	Michael Crosby		
	Bruce Goodwin		
	Judith Kinnard		
	John Klingman		
Freeman (Business)			
	Paul Spindt: Chair	Finance	spindt@tulane.edu 865-5413
	Adrienne Colella	Management	
	Geoff Parker	Management Science	
	Mita Sujjan	Marketing	
	Sheri Tice	Finance	
Law			
	Martin Davies: Chair	mdavies@tulane.edu 862-8824	
	James Gordley		
	Marjorie Kornhauser		
Liberal Arts			
	Joel Devine: Chair	Sociology	devine@tulane.edu 862-3003
	Constance Balides	Communication	
	Jean-Godefroy Bidima	French & Italian	
	Michael Kuczynski	English	
	Michael Plante	Art	
	Marty Sachs	Theatre & Dance	
	Eduardo Silva	Political Science	
	Randy Sparks	History	

	Richard Velkley	Philosophy	
Medicine			
	Kevin Krane: Chair	Nephrology	kkrane@tulane.edu 988-6191
	Ramesh Ayyala	Ophthalmology	
	Vecihi Batuman	Medicine/Nephrology	
	Barbara Beckman	Pharmacology	
	Neil Boris	Psychiatry	
	Matthew Burow	Medicine	
	Yan Dong	Structural & Cellular Biology	
	Robert Garry	Microbiology/Immunology	
	Philip Kadowitz	Structural & Cellular Biology	
	Cindy Morris	Microbiology/Immunology	
	Oliver Sartor	Medicine	
	Ihor Yosypiv	Pediatrics	
Public Health & Tropical Medicine			
	Larry Webber: Chair	Biostatistics and Bioinformatics	lwebber@tulane.edu 988-7322
	Patty Kissinger	Epidemiology	
	Don Krogstad	Tropical Medicine	
	Carolyn Johnson	Global Community Health & Behavioral Sciences	
	Roy Rando	Global Environmental Health Sci.	
	Diego Rose	Global Community Health & Behavioral Sciences	
	Mark VanLandingham	Global Health Systems & Dev.	
Science and Engineering			
	Robert Pascal: Chair	Chemistry	rpascal@tulane.edu 862-3547
	Oscar Barbarin	Psychology	
	Hank Bart	Ecology & Evolutionary Biology	
	Lisa Fauci	Mathematics	

	Don Gaver	Biomedical Engineering	
	Karen Johannesson	Earth & Environmental Science	
	Frank Jones	Cell & Molecular Biology	
	Lev Kaplan	Physics & Engineering Physics	
	Lawrence Pratt	Chemical & Biomolecular Eng.	
Social Work			
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	Qingwen Xu: Co-Chair	qxu2@tulane.edu 862-3477	
	Richard Ager		
	Frederick Buttell		
	Judith Lewis		
	Marva Lewis		
	Lynn Pearlmutter		