Faculty Development:
Role of Annual Review

A Joint Research Initiative of UC’s Faculty Senate and the Provost’s Office
Spring 2007

Background

- Ad Hoc Faculty Development Committee
  Chair: Kimberly Burleigh, DAAP
  Members:
  John Bryan, CAS
  Ellan Crub, CAHS
  Andrea Dixon, COB
  Stephen Knepper, CECH
  Mingmei Liu, Engineering
  Eugene Rutz, Engineering
  Donna Shambley-Ebron, Nursing
  Jane Thompson, Library
  Tina Whalen, CAHS
- Committee charged with investigating
  - Role of Annual Review in faculty development
  - Role of Post-Tenure Review in faculty development
  - Opportunity for website resources

Focus of this Report

- Deans, Department/ Academic Unit Heads, and Faculty perceptions:
  - What is faculty development?
  - Who are the responsible parties?
  - What role can/should the Annual Review process play in faculty development?

Methodology

- Bounded context due to time constraints
  - West Campus only
- In-depth interviews:
  - 8 Deans, 3 Assoc. Deans (10 colleges)
- Interview length: 30 – 75 minutes
- Detailed notes
- Candid discussions
Methodology

- Bounded context due to time constraints
  - Tenure-track faculty
- Focus group interviews:
  - 27 Dept. or Academic Unit heads (every college represented)
  - 17 Faculty (A&S, CAS, CECH, CoB, Law, Social Work)
  - 5 Assistant Professors
  - 4 Associate Professors
  - 8 Full Professors
- Discussions: 90 minutes
- Moderator/real-time transcriptionist
- By-product of research process:
  - Peer-to-peer learning among participants

View From the Dean’s Office

What is faculty development?
Who are the responsible parties?
What role can/should the Annual Review process play in faculty development?

What is Faculty Development?

- Simplistic to Sophisticated
  - Money
    - Money for young people and anything that improves the college or improves the classroom
  - Career stages and development plans
    - I go down my list of faculty and think, “What does each person need?” I identify valued activities for different career stages.
    - We need to get at the heart of the person’s role in the organization. Needs to be connected to the unit or college. To the strategic plan and the priorities of the University.

Programs vs. Personal Ownership

- Mentoring, Wayne Hall, CET&L
  - We support faculty development in teaching at the University level. CET&L…things Wayne Hall’s group is doing… I remember talking with a person who had some money and programs to help with faculty teaching. I don’t remember her name or programs but I know it’s there…
- “My” actions
  - I call the faculty on the carpet. “You need to make this a successful place.” I need to engage my people in a discussion of what it means to be a scholar… My job is to help the DH balance the strengths in the department. Look at faculty in a holistic way…align the culture.
What is Faculty Development?

- Reactive vs. Proactive
  - Reactive
    - If I had a faculty member that needed help, it’s nice to know there’s somewhere to go for assistance.
  - Proactive
    - We must resist the temptation to do faculty development as the last endeavor

Daily View from the Dean’s Office

Responsible Parties

- Faculty
  - Take initiative
  - Get involved in professional associations
  - Link Senior to Junior faculty
  - Engage in self assessment; seek critical advice
  - Plan own development path
  - Increase own knowledge
  - Write, write, write (grants, papers, proposals)

- Department or Academic Unit Head
  - Assess opportunities; advocate for growth
  - Reinforce right behaviors
  - Encourage
  - Mentor (especially junior faculty)
  - Provide courageous feedback
  - Make connections
  - Be accessible

- Dean’s Role
  - Know individual faculty members
  - Identify global faculty needs and connect to programs/resources
  - Locate financial resources to support faculty plans
  - Reengage the faculty member in a rut
  - Build social capital/networks for faculty
  - Articulate a culture of faculty development via systematic programming & accountability (RPT, AR)
  - Leverage publicity as faculty development
  - Get and train the right DHs/AUHs
Responsible Parties

- Provost’s Role
  - Provide a career stages model for development
  - Offer programs to support career stages model
  - Ensure funding to support key interventions (conference travel; classroom technology; incentives for development)
  - Serve as connector to support systems/people
  - Develop context for sharing best practices among Deans and DH/AUHs
  - Be trustworthy

Role of Annual Review Process

- Bureaucrat to Visionary
  - Limited view of AR
    - The AR process is completely worthless, it is pro forma, it has no teeth. Contract says make sure it gets done.
  - AR as strategic process
    - We believe that money is important to support faculty development. However, it's not just about money. It's what do you want to do? How good do you want to be? We try to use the AR and RPT processes to create a culture of continuous improvement at the individual level.
    - I require my faculty to develop a five-year strategic plan. We need to link AR to the strategic plan. As Dean, I have read through all of faculty’s strategic plans. Metrics for the strategic plan will differ by faculty member because they are linked to very specific, individualized goals.

What is Faculty Development?

- Themes
  - Information/ training for faculty
  - Funding for Faculty Development
  - Time for development
  - Connections
  - Faculty-Driven and University-Driven
  - Structured approach with accountability
  - Desire for training and direction
  - Need for packaged information
What is Faculty Development?

- Information/training for faculty
  September Institute is good because issues in teaching and issues in technology are constantly changing.
  Our system of workshops is fragmented. There is no big picture so you cannot plan the whole year. Notification is too last-minute.
  I have no idea who the best teachers are in other colleges. It would be nice to allow junior faculty to attend the lectures of leading faculty in other colleges. Is there an institutional way to have faculty be exposed to outstanding teachers?
  Perhaps someone has knowledge of an experimental design technique so I don’t have to go off campus to learn.
  Ohio Link and e-journal access have been highly promotive of FD.
  Institute for Policy Research helps with statistical analysis (not well promoted)
  Some faculty are completely uninformed about how to get involved.

- Funding for Faculty Development
  Grant-writing workshops
  Need to ensure that faculty have a certain amount of funding available annually to do whatever they need to build their scholarship.
  URC grants – we have taken very serious advantage of this.
  Honors Special Topics program enables faculty because department gets travel money.
  We have very little funding for travel.
  We have been quite successful in getting faculty development awards, but they cannot be used for course development.
  Taft fund helps with some resources.
  Faculty development grants get mixed reviews (no DH input a concern)
  Lack of a reward system – salary compression is a real issue.
  No resources for interdisciplinary research though UC says it’s an important strategy.

- Time for development
  Choosing teaching assignments for untenured faculty that are not too onerous.
  If I have a need in a particular teaching area, I’ll assign the new area to a more senior faculty member rather than a junior faculty member.
  Sometimes providing human assistance.
  We are pretty lean with sabbaticals (others every 6 years).
  UC doesn’t provide a lot of support or guidance in structuring sabbaticals – make sabbaticals more available and accountable.
  Single largest barrier to FD is faculty are very overworked.
  We are so maxed out that we cannot afford to take sabbaticals.
  Part of development is having the ability to reflect.
  Need release time for FD; depts have to be resources to backfill for faculty on leave.

- Connections
  Mentoring process for new faculty is very useful.
  Mentoring program – though uneven – is a positive.
  Mentors are not trained to be mentors.
  Travel; conferences, memberships in professional associations.
  Spreading the word of what you’ve done at conferences.
  Opportunities to meet with colleagues in ways you cannot in your job.
  We bring top speakers here.
  Brown bags, promoting a level of collegiality in the department.
  Just bringing faculty together at CETL programs is helpful.
  Faculty dining is a critical outage – lacking needed socialization.
  We are missing physical space for informal get-togethers.
What is Faculty Development?

• Faculty-Driven
  What we need to do or can do to keep our faculty on the cutting edge of their area so they can continue to grow and make contributions.

• University-Driven
  Full professors...there’s a lot of energy and people power there that UC is not taking advantage of. How can we help you do that XYZ?
  Where do you see that fit into the university? Our challenge is to find a way to involve them in bettering the university.
  We need to help people grow as members of the university community—there’s a complete lack of understanding of what’s going on outside their department. We need to get more faculty involved in what’s going on in the university.

View from the DHs/AUHs

• Structured approach with accountability
  Not always done in a very structured way. Philosophy is there but infrastructure to support it is not.
  If someone doesn’t want to keep up with development or learn something new, you can’t make them.
  Wish there was some way that Degan could target her emails—support heavily focused on the sciences
  Workshop schedule is not predictable. Seem to be backlogged and offered on an uneven basis. Research orientations ARE offered at a regular time period.
  Faaborg’s program on RPT—good, why weren’t materials or videostream available for those who couldn’t attend?
  Have a whole catalog of topics to download
  Need a recruiting-to-retirement approach that helps support and advance faculty as individuals and as a whole
  It seems to me there’s no clear plan that says, “this is what all assistants should have.”

View from the DHs/AUHs

• Structured approach with accountability
  When I became DH, I formed a FD committee and I put an emeritus faculty member in charge of it. (1) reviews faculty sabbatical requests, (2) honors and awards, and (3) faculty scholarship. #3 includes proposals to DH and Dean where we can invest in scholarship and research. RPT committee is separate but the chair of the RPT committee sits on the FD committee.

View from the DHs/AUHs

• Desire for training and direction
  DHs—no training, no development, not even a handbook
  We don’t know what the priorities are. No one tells us what is the priority for emphasizing
  [After describing poor performer]: I need guidance on how to operate in this area
  Administrative mentoring is completely lacking. No training. Very little help from our predecessors. Nice if there were workshops for new heads.
  I am not prepared to use the AR process for faculty development. I don’t recall any training that I received. I think I made up the questionnaires.

View from the DHs/AUHs
What is Faculty Development?

- Need packaged information
  - Have packets available every few years stating all the FD resources
  - No directory or handbook of resources that are available for faculty
  - Too many emails to UCFacultyListserv
  - We need a better way of learning about things - either don’t hear or it’s sent out en masse
  - When I start to see a flurry of emails, I just shut down. Navigating this all is a challenge
  - Need delivery system so we can prioritize what they are doing
  - Need a news serve to gather and synthesize information for DH

Responsible Parties

- **Faculty Members**
  - Identify needs/initiative development/seize opportunities
  - Develop expertise
  - Know the rules/be informed/understand RPT guidelines
  - Create networks/seek and engage in mentoring
  - Engage in and access peer review of teaching
  - Convey standards/strategies for achieving standards (sr. faculty)
  - Have a 5-year game plan

- **Department Heads**
  - Provide information and encouragement for FD
  - Advocate for your faculty
  - Set, educate and remind of expectations
  - Quiet nudging: How’s this paper coming? What are you working on next?
  - Find resources to support their needs
  - Schedule teaching assignments to facilitate FD
  - Nominate faculty for awards
  - Serve as a sounding board
  - Use the AR and RPT toward FD
  - Build network of contacts (socially, professionally)
  - Mentor junior faculty
  - Shrink, dictator, mediator, juggler, terminator, promoter, friend

- **Deans**
  - Communicate vision, goals, priorities
  - Set tone/framework/expectations for FD
  - Frame priorities in RPT pertaining to FD
  - Resources; fill funding gaps
  - Prioritize requests
  - Recognize professional achievements
  - Know what’s going on
  - Push at all levels
  - Draw on resources and make matches across the university (interdisciplinary)
  - Provide training opportunities for future faculty leadership
  - Connect faculty to others (inside/outside UC)
Responsible Parties

- Provost Office
  - Provide metrics and set priorities for Deans
  - Signal and institutionalize what is valued
  - What is “good teaching”? What is “good scholarship”?
  - Provide policies, bridge messages, and uncover inconsistencies
  - How do RPT and UC21 connect?
  - Provide financial resources
  - Provide incentives for FD (review and revise bonus system)
  - Centralize and facilitate FD programming so it is scalable
  - Create cross-college opportunities for FD
  - Set statistical policies and accountability procedures
  - Guidance for FD through RPT process and letters
  - Leverage Article 15s to retain good faculty
  - Provide centralized development opportunity for DHs/AUHs

View from the DHs/AUHs

Role of Annual Review Process

- How AR is Used for FD
  - Goal of AR meeting unclear for some
  - Clear bias toward using for untenured
  - “Broken” for tenured
  - Need more than “three levels”
  - Tailored to individual faculty member to prompt FD
  - Balance research productivity, teaching load, university contribution
  - Create a template for defining expectations and measuring extent to which they have been achieved
  - When compiled at Dept. level, AR used for collective accolades and FD

View from the DHs/AUHs

Role of Annual Review Process

- Key Areas to Cover in AR to aid FD
  - Accomplishments (encourage and reward good behavior)
  - Issues and needs
    - Link needs to FD opportunities
    - Specific feedback
    - Self-assessment and goal setting
      - How good do you want to be? How do you want to be known nationally and internationally?
      - Are you a good teacher? Can you share your expertise with others?
    - What are your hopes and aspirations?
  - Work environment
  - Progress toward promotion
  - Convey priorities set by the Dean

View from the DHs/AUHs

Role of Annual Review Process

- Comments on the Template
  - Questions and dialogue (script) more important than template and check-box approach
  - I don’t think we need this
  - Check-box concerns
  - “Quality of activity” more important than “boxes”

View from the DHs/AUHs
General feedback on AR Process
- AR is a highly desirable contract feature, coupled with well elaborated RPT process that starts six months in advance of any reappointment review
- Need to link AR paperwork to important Department, College, and University metrics
- Sense of fear with cuts that if you lose a faculty member, you lose a line. There’s disincentive to lose someone even if s/he is ineffective.
- Developing self is not a required part of AR; can be toothless for those really needing development

View From the Faculty
What is faculty development?
Who are the responsible parties?
What role can/should the Annual Review process play in faculty development?

What is Faculty Development?
- Four Themes
  - Mentoring
  - Scholarship
  - Teaching
  - Resources

View from the DHs/AUHs
What is Faculty Development?

**Scholarship**
To me FD is mostly research. We need help to jump start the research. (Assistant)
FD is any opportunity to increase my skills: conferences and associations, research workshop, and opportunity to build networks. (Associate)
Get to a conference and present. Stay on top of your field, subscribe to journals, attend conferences. My concern at this stage is what is motivating me to continue FD other than professional pride or desire to maintain portability. The importance of making significant contributions to one’s area. How can I become a leader and how can the university support that? (Full)

**Teaching**
FD must include training on how to deliver a good lecture. FD influences my teaching, especially at the beginning, opportunity to interact with faculty at other ranks and situations in the university. (Assistant)
FD will include getting to a workshop for teaching. We need a method to exploit the capability of the faculty. I went to teaching sessions when I was a junior faculty member at another university. (Associate)
We need to stay on top of our field and employ what we learn in the classroom. (Full)

**Resources**
We need FD grants...to spend on our classes, funding for research. Wayne Hall's FD and the September Institutes. Nice though I don't have time right now. I've used my FD mentoring money to purchase books on how to set up a lab. WISE program helps beginning faculty by providing student funds who provide services. I don't like the internal review process, I received a one-line feedback on the proposal, it's a waste of time. Discretionary funding is in extremely short supply. There is a cost of doing business that they are trying not to spend. I understand the financial situation but the administration is stealing from the business. (Assistant)
FD grant has been a success for me, I was able to go to a case workshop and used the remaining money to buy resource books. They do a great job with the grant writing workshop. I have not applied for a grant since I attended, but I plan to. Typically our department has funding so I don’t have to go out for it. In a perfect world there would be more resources, more travel funds. (Associate)

(Laughter erupts) Some funds are set aside through the contract but the bad part is that they are controlling it centrally and not through the departments. At the central level we have CET&L and the September institute. I attended the institute for the last four years. That propelled the college forward. The FD grant from FDC is also positive. I have gotten the grant 5-6 times in 11 yrs. I am really glad they didn’t distinguish levels. That allowed us to employ the learning in our labs. I was also funded for retooling myself on sabbaticals. Some of the centralization is good, but there should be funding at the unit level. There used to be funding for travel. Research funding is always targeted at younger faculty. Funding is disappearing. We have had a budget cut every year of my 23 years. FD money is the first thing to dry up. (Full)
Responsible Parties: View from Assistant Professors

- **Faculty Members**

- **Department Head**
  - DH must be behind you and recognize the importance of FD, back it up with funding. Promote an atmosphere of positive mentors. Protect and remind for balance. Have regular meetings. Tell me when I’m not asking enough.

- **Dean**
  - Select a good DH. Don’t send someone in who can’t do the job. Connect folks to interdisciplinary activities. Find excellent teachers in other colleges teaching large sections. Help build my social capital.

- **Provost Office**
  - Provide funds and monitor appropriate application. Set the tone. Provide detailed information instead of generic guidelines.

- **Life Span**
  - Keep moving people along. Eliminate a sense of retirement after 7 years. Adapt to changing technology. More difficult to get money as you move up.

Responsible Parties: View from Associate Professors

- **Faculty Members**

- **Department Head**
  - Be a coach and an advocate to develop skills. Link the person to opportunities. Set clear and specific expectations and guidelines.

- **Dean**
  - Look for what is good for the college. Set vision and make resources available to motivate. Link FD with college goals. Bridge community and faculty.

- **Provost Office**
  - Give credit for the mentoring program. Continue this kind of attention through the various career stages. You have tenure, now what? Communicate with the Deans and DH. Facilitate an interdisciplinary approach across the colleges.

- **Life Span**
  - Picture the whole race, not just the sprint. Create opps to explore new methods and research areas. What will motivate you throughout your life? Appreciate different kinds of FD.

Role of AR Process: View from Assistant Professors

- **How AR is Used for FD**
  - Opportunity for honest feedback. Pushes you in different areas. Discussion of expectations. Process not used to guide. We talked about teaching for 30 minutes. My experience has been positive. Simply retrospective, nothing about the future. An opportunity for the DH to lead in teaching areas. The DH encourages me.

- **Key Areas DH Covers in AR to aid FD**
  - Teaching – find out how to help. Research – encourage. Service – avoid too much. DH is willing to listen.

- **Key Areas DH Should Cover in AR to aid FD**
  - Be a mentor. Address workload guidelines. Move you through RPT. Come with clear expectations. Complete a true review, evaluate.

- **Comments on the Template**
  - I am not clear about my research requirements. Blackboard may be too specific – maybe educational technology. Include expectations for best of class teaching. Needs to be tailored to each college.
Role of AR Process

View from Associate Professors

- **How AR is Used for FD**
  
  We shoot the breeze for 30 minutes. I can go in proactively; but he is passive. It is helpful when the DH asks if there are any concerns. Coach me on when to go for tenure. It is a rubber stamp process.

- **Key Areas DH Covers in AR to aid FD**
  
  When a faculty member has a problem DH is very soft. DH warns you about changes afoot, shields from trouble. Discusses my interests in teaching.

- **Key Areas DH Should Cover in AR to aid FD**
  
  Needs to be more proactive. Get faculty together once a year to discuss what they are doing. Do an annual retreat. Give a state of the college: who are we and where are we going.

- **Comments on the Template**
  
  Not all items are relevant. Maybe includes something about independent studies. Talk about technology more broadly. How can elements of teaching be increased in terms of efficiency and effectiveness. Add good teaching – continually improve what you teach.

View from the Faculty

- **Assistant Professor**
  
  Cause peer feedback to happen. Don’t just say, “Hi, it is nice to talk, give critical feedback.” We have a teaching effectiveness committee. We are critiqued once a year. The program is formalized. There is a letter we can include in our RPT packet or not.

- **Associate Professor**
  
  Would be nice to have more input than just a self report. Perhaps peer feedback. Right now, it is just what you generate. Give people a more rounded perspective on what they do well and what they see as opportunities for development.

- **Full Professor**
  
  Tie it in with resource allocation and the RPT process. Formalize the AR and have a formal document that the Dean reviews. I have a meaningful discussion with my DH but his report goes into a file, not FD. We need something that gives a how to.

View from the Dean’s Office


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View from Full Professors

- **How AR is Used for FD**
  
  Laughter erupts. It is not used that way. We had one DH that didn’t do it for 8 years. Current DH is doing it. I am asked what I have done in the past year. Where is your scholarship? What impact will it have on the field? It is a joke. It is a five minutes meeting. Dean never sees the forms. Our document is fairly comprehensive and is used to promote the college internally and externally. This goes back to the need for training. Training is needed for the DH to do these right.

- **Key Areas DH Should Cover in AR to aid FD**
  
  The person is not really looked at in terms of what the potential might possible. Once you hit tenure there doesn’t seem to be a focus on what are your FD needs on an ongoing basis. Training could help this. What is your plan one year from now, five years from now, ten years from now?

- **Comments on the Template**
  
  Why Blackboard? Coin more broadly. Some areas don’t fit (commercialization). Everything seems equal when it is not. Individualize per college. Not a lot of utility in a standard template. Where does working with PhD students fit, service or teaching?

View from the Provost Office and Faculty Senate

- **Implications for**
  
  Provost Office and Faculty Senate
**Programmatic Issues**

- Create career stages model for FD:
  - Recruitment to retirement
- Develop holistic FD message and delivery strategy
- Ensure UC programs are linked to career stages model
- Require UC programming to have appropriate cycle time, promotional time, and shelf-life
- Identify and communicate investment in FD
  - Create inventory of programming, funding (all funding for faculty, not split by source/use of funds)
- Create annual training/sharing on AR process
- Huge gap exists in implementation and thinking about AR
- Develop a mechanism to streamline/tailor resources and communications to Deans, DHs, AUHs, and faculty
- Review policies to ensure “right messages” are cascaded

**Target: Deans**

- “Train” toward career stages model and individual plan
  - FD not solely remediation
  - FD: mindset and money, not just money
- Develop context for sharing best practices among Deans

**Target: DHs/AUHs**

- “Train” toward career stages model and individual planning (annually)
- Share multi-dimension definition of FD and link to AR process
- Encourage DHs/AUHs to create structured FD approach at the Department level
- Ensure that DHs'/AUHs’ ARs “go somewhere” besides a file drawer
Target: Faculty

- Orientation Programs
- RPT Documentation and Provost letter
- Website of resources
- Annual training on UC’s FD philosophy and programming: recruitment to retirement model and links explained
- Five-year plan

Thank you!

Steve Kroeger
Andrea Dixon