Contact: Rachel Boon

2020-2021 FACULTY TENURE REPORT

Action Requested: Receive the annual report on faculty tenure for 2020-21.

Executive Summary: The Board of Regents Policy Manual §3.14 requires that an annual report on tenure status be presented to the Board for discussion.

- Tenure is an employment status under which faculty members can receive heightened aspects of job security in order to create and maintain an atmosphere for the free exchange of ideas and inquiry necessary for educating lowa's students and advancing knowledge in democracy. Termination may occur when the tenured faculty member does not meet employment obligations, or in cases of program termination or financial exigency for the institution. A full range of disciplinary actions can be applied, as appropriate to issues of performance or policy violation.
- Faculty members hired in tenure-track positions serve a probationary period that generally lasts six years. Candidates undergo ongoing comprehensive reviews throughout the probationary period. The awarding of tenure requires an affirmative recommendation based on this years-long, rigorous process. The process includes reviews by expert peers outside the institution and at the internal departmental, college and university levels.
- This report includes additional information on institutional policies and procedures for tenure, post-tenure review and evaluation of non-tenure-track faculty at each institution to ensure excellence, accountability and professional development.

TOTAL FACULTY AT THE REGENT UNIVERSITIES BY TENURE STATUS 2018-2019 to 2020-2021

	TENURED	TENURE-TRACK	NON-TENTRK.	TOTAL
2018-2019				
SUI	1,172 (35%)	324 (10%)	1,836 (55%)	3,332
ISU	986 (51%)	369 (19%)	578 (30%)	1,933
UNI	390 (53%)	115 (16%)	235 (32%)	740
TOTAL	2,548 (42%)	808 (13%)	2,649 (44%)	6,005
2019-2020				
SUI	1,156 (34%)	329 (10%)	1,936 (57%)	3,421
ISU	966 (51%)	343 (18%)	601 (31%)	1,910
UNI	373 (54%)	110 (16%)	214 (31%)	697
TOTAL	2,495 (41%)	782 (13%)	2,751 (46%)	6,028
2020-2021				
SUI	1,138 (34%)	325 (10%)	1,853 (56%)	3,316
ISU	981 (53%)	298 (16%)	579 (31%)	1,858
UNI	363 (57%)	96 (15%)	182 (29%)	641
TOTAL	2,482 (43%)	719 (12%)	2,614 (45%)	5,815

IOWA STATE UNIVERSITY

As part of the University's efforts to deliver an excellent educational experience for students, we continually invest in the success of all faculty through a standard process of regular review and continuous feedback. Key elements of this process are highlighted below.

Position Responsibility Statement

All faculty (tenure-eligible, tenured, term) have in place a Position Responsibility Statement (PRS) that describes the range of responsibilities undertaken by a faculty member (*Faculty Handbook* §3.4). The PRS is written and approved by both the faculty member and the department chair. Because responsibilities and duties change throughout faculty careers, the PRS is reviewed annually and updated as needed. The PRS allows for a flexible and individualized system of faculty review. The PRS description is general and includes only the significant responsibilities of the faculty member that are important in formal evaluations.

Annual Evaluation of Faculty

All faculty (tenure-eligible, tenured, term) are reviewed annually to evaluate performance with respect to position responsibilities and are grounded in the expectations outlined in the faculty member's PRS (*Faculty Handbook* §5.1.1.2). These reviews inform progress towards career advancement and identify areas of excellence and concern. The criteria by which faculty are evaluated are stated as part of each department's governance document.

Annual evaluations are carried out by the department chair and include evidence of teaching performance as well as evidence of productivity in research/creative activities; extension, clinical, or professional practice; and institutional service, as reflected in the individual's PRS. Evidence of teaching performance must include student ratings of teaching (both statistical and discursive) for all courses taught, as well as evidence of peer assessment of teaching. Faculty performance is evaluated as either satisfactory or unsatisfactory overall.

Faculty Handbook policy (§5.1.1.2.1) stipulates development and implementation of an action plan as a consequence for unsatisfactory faculty performance. The action plan guides improved performance in accordance with the faculty member's PRS. The action plan must include a list of action items to be accomplished that are detailed, clear and aligned with a timeline; a specified date for a mid-term evaluation; and a description of consequences if the action items are not completed by the designated timeline. If performance is deemed unsatisfactory for two consecutive years, a required peer-review process is implemented (post-tenure review for tenured faculty, peer review for other faculty).

Preliminary Review of Tenure-Eligible Faculty

All tenure-eligible faculty undergo a preliminary peer-review in the third year of their seven-year probationary period (*Faculty Handbook* §5.1.1.3). This peer review is an important aspect of lowa State's evaluation of early-career faculty and their advancement toward promotion and tenure. This internal process includes presentation of a faculty portfolio that includes evidence of performance and productivity in all areas of the individual's PRS. Evidence of teaching performance must include student ratings of teaching as well as peer assessment of teaching. The preliminary review by the department informs the decision to reappoint the faculty member during the probationary period or to issue notice of non-renewal.

Tenure Review

All tenure-eligible faculty undergo a mandatory tenure and promotion review in the sixth year of their seven-year probationary period (*Faculty Handbook* §7.2). This review entails both internal and external peer review of all aspects of the faculty member's PRS. The criteria by which pretenure faculty are evaluated for promotion and tenure are consistent with a commitment to excellence in scholarship. Student ratings of teaching (statistical and discursive) are a required component of the faculty member's tenure portfolio.

Post-Tenure Review

The Post-Tenure Review (PTR) policy (*Faculty Handbook* §5.3.4) provides all tenured faculty with a formative peer evaluation of their accomplishments in accordance with their PRS. This peer review recognizes accomplishments and offers feedback on improving performance where needed. The policy delineates timeline, specific outcomes, and the roles of administrators in the peer review process. The PTR must occur at least every seven years and is also triggered following two consecutive unsatisfactory annual reviews. The PTR assessment is documented as being either "meeting expectations" or "below expectations".

For any aspect of performance deemed "below expectations," the department chair (with input from the peer review committee) must develop an action plan for improved performance. The policy requires a clear improvement plan, a timeline for evaluating acceptable progress, a description of consequences for not meeting expectations, and consequences of non-action. If a triggered PTR is "below expectations," a charge of "unacceptable performance of duty" may be filed (Faculty Handbook §7.2.2.6.1).

Conduct Policy

The University takes seriously the trust placed in its faculty and will take action to prevent misconduct and to hold accountable those it finds responsible. The Faculty Conduct Policy (Faculty Handbook §7.2) addresses faculty behavior that compromises the integrity of the University. In general, cause for sanction of a faculty member includes but is not limited to: professional dishonesty in teaching, research, extension or administrative activity; demonstrated incompetence; substantial and manifest neglect of duty, or serious misconduct prohibited by law, Board of Regents policies, or official university policies.

Programming to Support Faculty Success

The Office of the Senior Vice President and Provost supports faculty development through the faculty career cycle. The following list highlights some of the major programming:

- New Faculty Orientation is held annually in mid-August and in January to provide all new faculty with an introduction to university programs, policies, resources with a strong emphasis on teaching and scholarship.
- An individualized mentoring program is coordinated by the Provost's Office for all first-year tenure-eligible faculty. College-level peer mentors provide another level of disciplinespecific mentoring support for all early-career faculty.
- A series of monthly Faculty Development Workshops includes presentations on, for example, Effective Mentoring, Working with Graduate Students, Public Classroom, Advancing Your Career, Managing Classroom Disruptions, etc.
- Individual academic colleges offer career development workshops on advancing through to promotion and tenure for both tenure-eligible and mid-career faculty.

- The ADVANCE Program offers regular workshops on department climate and career advancement for all faculty.
- The Office of the Vice President for Research (VPR) offers numerous workshops and programs each year on topics such as successful grant writing, getting to know federal granting agencies, collaborating with industry, and interdisciplinary research.

Center for Excellence in Learning and Teaching

ISU's Center for Excellence in Learning and Teaching (CELT) is a vibrant hub of innovation and support that partners with faculty to continually advance student-centered learning. With a focus on teaching excellence, CELT offers targeted programming for faculty on a broad range of teaching strategies such as online course design, flipped classrooms, team-based learning, and online engagement. In addition, CELT continues to offer a Course Design Institute during the semester breaks which allows faculty focused time to design (or redesign) a more effective online or hybrid course. Each August, CELT leads an Effective Teaching Symposium for all new faculty to assist with their transition to ISU.

UNIVERSITY OF NORTHERN IOWA

A central goal of the University of Northern Iowa is that all students be afforded a high-quality learning environment for the development of the knowledge and skills necessary for professional careers and productive citizenship. Tenured faculty members have an especially important role to play in sustaining and enhancing an academic environment in which free and rigorous inquiry can be pursued. Given their central role in serving our students and the wider community, it is critically important for the tenured faculty to be provided a mechanism for periodic assessment and reflection. UNI implements a comprehensive system of faculty evaluation to ensure ongoing productivity and accountability, and mandates tenured faculty be assessed annually and longitudinally over the entire span of their careers.

1. Tenure Review Policy/Process

At the University of Northern Iowa, general evaluation procedures, as well as Tenure policies and procedures, are defined in Chapter Three of the Faculty Handbook (see 1 2020 - june 30 2021.pdf. Tenure acquisition requires that candidates have a documented record of accomplishment in teaching, scholarship, and professional service. Evaluation for tenure and promotion is required during the sixth year of probationary service.

2. Accountability Measures

In 2019 faculty and administrators updated the university's comprehensive system of evaluation, developing university guiding standards, departmental standards and criteria, and post-tenure reviews, which has greatly enhanced the overall process for the evaluation of all faculty in all ranks and work portfolios.

Currently, departments have processes and criteria in place for utilization in evaluating teaching, scholarship, and service. All aspects of faculty members' portfolios are thoroughly examined and reviewed by all evaluating bodies, as documented below, to ensure candidates have the ability to effectively apply the doctorate or other comparable terminal degree-level of training to teaching, scholarship and research work, and professional service before receiving tenure.

Annual Reviews

Chapter Three of the current <u>Faculty Handbook</u> provides specific procedures for evaluation of teaching, scholarship, and professional publications; artistic productivity; professional growth; participation in University activities; and contributions to the general welfare of the university, community, state, and nation.

Probationary faculty members on the tenure-track are evaluated annually by a departmental Professional Assessment Committee (PAC) of their peers and twice per year by their department head. The college deans and the provost review the evaluations of the PAC and department head, as well as extensive materials collected in a robust portfolio, in making their judgments about faculty performance. The evaluation of teaching includes a review of teaching artifacts, classroom observation results, and examinations of student assessments of teaching. At UNI, only after an affirmative judgment as to

documented teaching effectiveness has been made can serious consideration be given to an evaluation of scholarship and service. Teaching excellence is expected in the classroom by UNI professors.

Student Assessments

Student assessments of teaching are required in every course and are administered during the fall and spring of each academic year for all probationary, renewable term and temporary faculty (Chapter 3, Subparagraph 3.5d.1a). Tenured faculty members are required to conduct student assessments of teaching for all courses taught in the fall (Chapter 3, Subparagraph 3.5d.1b). The student assessment instrument includes both summative and formative response items to assist faculty in improving or reinforcing their teaching methods. The results of student assessments are analyzed and utilized during evaluation periods in addition to the required submission of materials, including annual goals and reflection, results from teaching observations, teaching philosophy, and syllabi. These overall criteria measure faculty performance in teaching.

Merit Reviews

In addition to annual and tenure and promotion reviews, every faculty member's teaching, scholarship, and service performance is evaluated at the end of each academic year for purposes of assessing overall performance, recognizing accomplishments or any deficiencies to be addressed in teaching, scholarship, or service, and consideration for merit. Faculty members are required to submit an extensive Faculty Activity Report detailing their annual work, including teaching, scholarly and service accomplishments documented in a SharePoint system for a comprehensive evaluative review by the administration.

Post-tenure Review

All evaluation reviews of faculty members' performance at the University of Northern Iowa are specified in the <u>Faculty Handbook</u>. Under the current evaluation provisions of Chapter Three of this handbook, there are three mechanisms for post-tenure review of faculty members. First, a tenured assistant or associate professor may apply for a review that may lead to a promotion to either associate or full professor. Second, all tenured faculty members are evaluated annually by their department head (Chapter 3, Section 3.13 Annual Evaluation). Student assessments are reviewed by each faculty member and their department head during these annual evaluations. Third, faculty are evaluated after receiving tenure through a comprehensive post-tenure review system, which affords the opportunity for the professional performance of each tenured faculty member to be assessed longitudinally every six years (Chapter 3, Section 3.16).

The Post-Tenure Review process includes a Summary Review for those meeting expectations during annual reviews and an extensive Comprehensive Review if a faculty member receives a Needs Improvement designation in one or more review areas during annual reviews. Deficient performance requires a Performance Improvement Plan, which contains specific actions and measures to address the deficiencies found in the review. Sanctions for deficient performance are currently being developed and will be considered for upcoming implementation. Section 12.5 of the Faculty Handbook allows for the dismissal of tenured faculty members.

Evaluation of Teaching for non-tenure track faculty members

The <u>Faculty Handbook</u> at UNI recognizes four types of non-tenure track appointments (Chapter 2) including those designated as temporary, term (1-4 years), renewable term, or clinical. A more expansive evaluation and promotion system, which was implemented in 2019, is currently utilized for all non-tenure track faculty appointments.

All non-tenure track faculty members are evaluated for possible appointment continuance, promotion or rehiring consideration according to their classifications as noted below:

- Temporary (Adjunct) appointments (Chapter 2, Section 2.2) are usually for one year
 or less. Temporary appointments automatically terminate at the end of the stipulated
 term with no expectation of renewal. Faculty members with these appointments are
 commonly referred to as adjunct professors and are expected to teach assigned
 courses only. These faculty members are assessed by department heads through
 direct classroom observations and reviews of student assessments.
- Term appointments (Chapter 2, Section 2.3) are full-time for a minimum of one and a maximum of four years. Faculty members on term appointments primarily engage in teaching activities, although many departments also have service expectations. Some term faculty also voluntarily engage in scholarly/creative activities as a means of enhancing their future prospects in the academic job market. These faculty members are evaluated by department heads through direct classroom observations and reviews of scholarly activities, or service, as well as a review of student assessments.
- Renewable term appointments (Chapter 2, Section 2.5) are only made at the instructor rank and carry an initial probationary term of two years. After that term, the instructor can be renewed on a year-to-year basis. Faculty members on renewable term appointments are expected to both teach and contribute to the service mission of the University. Their performance is assessed annually by a departmental PAC, department head, dean and the provost using the full evaluation procedures of Chapter Three of the Faculty Handbook. During the second year of their official appointment and onward, subsequent appointments follow a satisfactory performance evaluation by the Professional Assessment Committee and the University Administration for continuance. Upon a successful review future appointments are for one year at a time.
- Clinical Faculty hold faculty positions through which they contribute to the service, teaching, and/or outreach missions of the University, and they are not eligible for tenure. They may be part-time, term, or renewable term appointments and are evaluated according to the documented procedures as noted above.

Professional Development and Support

The University of Northern Iowa Center for Excellence in Teaching and Learning (CETL) seeks to engage, explore, and enhance the practice of teaching and the culture of learning for faculty. The CETL:

- offers opportunities for reflection and conversations on teaching and learning that cultivate and value the variety and diversity of teaching and learning taking place at UNI:
- promotes research-based pedagogies and practices that encourage student engagement and success;
- supports the professional and career development of the campus teaching community;

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- designs programming in collaboration with individuals, departments and programs on and off campus that is aligned with UNI's institutional mission and strategic goals;
- and acts as a campus-wide clearinghouse for opportunities to enhance teaching and learning, and to share campus resources and expertise

Programming is offered year-round and includes:

- Fall Faculty Workshop an interactive half-day event to launch the academic year
- New Faculty Orientation two days of programming introduce faculty to institutional services and support, and to open conversations on DEI issues and pedagogy
- New Faculty Colloquium a semester-long curriculum for new faculty members that addresses topics in learning about institutional functions, faculty development and faculty success
- Reading groups four new titles selected each semester
- Discussion circles created on demand to address common topical interests
- Individual consultations
- Departmental visits and presentations
- Monthly schedule of unique faculty development programming: presentations, panels, workshops
- Small Group Instructional Diagnosis (SGID) mid-term course evaluation that uses an outside facilitator to conduct a discussion with students and to provide feedback to an instructor
- Curation and creation of archived on-demand resources
- Students as consultants on teaching (SCOT) initiatives
- What Your Students Want You to Know (WYSWYTK) student panel series
- Annual course design academies

Expertise and support related to online learning is centered in Continuing and Distance Education (CDE), while a suite of supported technology tools and related pedagogy is offered by Educational Technology and Media Services (ETMS). The Rod Library faculty work directly with faculty to develop resources, assignments, instruction, and more.

All of these development opportunities enhanced faculty delivery of courses during the pandemic to ensure quality instruction continued for UNI students.

UNIVERSITY OF IOWA

The University of Iowa ensures the quality of its tenure-track/tenured faculty via the following policies and procedures.

1. TENURE REVIEW POLICY/PROCESS

The following policies can be found in the **Faculty** policy section of the UI Operations Manual (<u>III</u> <u>10</u>) and describe the process for the review of pre-tenure faculty members:

- Faculty Criteria for Promotion (III 10.2) states: "The criteria for promotions include teaching, research, and other professional contributions. Since teaching and research are the central functions of the faculty, other professional contributions are considered subsidiary to these fundamental tasks."
- Length of Probationary Status (III 10.5(b)): "For assistant professors, the normal time in rank is six years, unless the college has established a longer probationary period norm (III 10.1a(4)(c)), and for associate professors seven years (see paragraph a above)."
- Reappointment Review (III 10.1a(4)(b)): "Most initial probationary appointments at the University of Iowa are for 1) three years for colleges having a collegiate norm to make a tenure decision of not more than six years, or 2) four years for any college having a collegiate norm to make a tenure decision of more than six years, at the end of which time the candidate can be reappointed following a reappointment review. See paragraph (c) below. With the approval of the DEO, the dean of the college, and the Executive Vice President and Provost shorter initial appointments can be made."
- Time in Which to Make Tenure Decision (III 10.1a(4)(c)): "The norm for making the tenure decision shall be the sixth year of probationary service, except for the Colleges of Law, Medicine, and Dentistry. The norm for the College of Law shall be the fifth year. The Colleges of Dentistry and Medicine may establish a norm of no more than eight years for all tenure track faculty members with significant patient care responsibilities. Other faculty in these two colleges will be subject to the six year norm. A new collegiate norm of more than six years must be approved by a majority of the tenured faculty of the respective college, the dean of the respective college, and the Executive Vice President and Provost. The new norm becomes effective upon approval by the Executive Vice President and Provost. Other colleges may request that the Faculty Senate authorize consideration of changes in their own collegiate norms."
- Further information can be found in the **Review and Promotion Procedures** (III 10.5) and the Office of the Provost issues guidance in a <u>Procedures for Tenure and Promotion Decision-Making</u> document. This procedural document is used by all academic units of the University to help ensure that the decision to grant tenure is based on systematic evaluation and documentation of faculty members' teaching effectiveness, scholarship, and service contributions. University policy also states that each academic unit may develop a statement of policies and procedures to be used by that unit for faculty appointments, evaluations, and promotions that supplements the general University policies and procedures.
- Student Evaluation of Instructional Performance. Teaching is fundamental to the mission
 of the university and evaluation of teaching effectiveness is a critical part of the tenure
 decision. Methods for evaluating and supporting tenured faculty instructional performance,
 and supporting resources, include ACE (Assessing the Classroom Environment) Student
 Evaluations, Peer Review of Teaching, Office of Teaching, Learning & Technology Center for
 Teaching, and the Office of Assessment.

- A) ACE Online Course Evaluations: An ACE Evaluation Task Force was convened in Spring 2018 to review student response rates, formative assessment, peer review of teaching and training and policies for instructional effectiveness and improvement. The task force included co-chairs (Kenneth Brown, associate dean in Tippie College of Business and Annette Beck, director in the Office of Teaching, Learning & Technology), associate deans, faculty and students. The task force was sponsored by the Office of the Provost and preliminary recommendations were shared with campus in 2020. The overall goal is to improve instruction, using a three-tier approach that includes student, faculty and administrative perspectives. One change made was to reassess the types of questions asked to ensure assessment of content and delivery. Additional processes and structures around operational recommendations continue to be evaluated and implemented.
- B) Peer Review of Teaching: The <u>Procedural Guidelines for Tenure and Promotion Decision-Making</u> instructs colleges to develop processes for peer review of faculty teaching. Generally, colleges require senior faculty members in units to evaluate classroom teaching and review written and electronic course materials. College guidelines for peer review of teaching are tailored to the various types of teaching that occur in the units of that college (e.g., large classroom, small seminar or laboratory teaching, clinical teaching). Together, the student and peer evaluations provide substantial information to help faculty members assess and improve their teaching and assist senior faculty members and administrators when they make promotion and tenure decisions.
- C) The Office of Teaching, Learning & Technology's Center for Teaching is also a key resource for teaching assessment and development. The center offers workshops, classroom observations, Class Assessment by Student Interviews (CLASSI), and many other forms of professional development to support teaching excellence among faculty members, graduate teaching assistants, and others on campus.
- D) **Office of Assessment:** The Associate Provost for Undergraduate Education supports the <u>Office of Assessment</u>, which assists outcomes assessment in departments by:
 - Consulting on design and use of assessment strategies,
 - Facilitating access to institutional data that help address department assessment questions,
 - Providing department-specific reports of campus survey data, and
 - Compiling department summaries of lessons learned and actions taken based on their assessment efforts.

2. POST-TENURE REVIEW POLICIES

Per the **Review of Tenured Faculty Members** policy (<u>III 10.7</u>), all tenured faculty members shall receive an annual and five-year performance review.

A) Annual review of tenured faculty. An annual performance review of all tenured faculty members, through a process developed by the unit head (DEO, or equivalent) in consultation with the faculty of the department, or in non-departmental units with the faculty of the college, and approved by the dean and Provost, is conducted by the unit head as part of the salary-setting process. Review of tenured faculty shall include an evaluation of research/scholarship, teaching, and service. As part of this review, each faculty member must make available to the unit head materials specified in the statement of the department's review process (e.g., vitae, teaching evaluations, etc.).

- B) **Five-year peer review of tenured faculty.** All tenured faculty members will undergo a peer review once every five years subsequent to their most recent tenure or promotion review, with a few exceptions (e.g., they are being reviewed for promotion to a higher rank during the year of the scheduled review, they are within one year of announced retirement or are on phased retirement, or they serve as DEO, assistant dean, associate dean, or dean).
- C) Accountability. If during the review of a tenured faculty member there is the conclusion that deficiencies in teaching, scholarship or service are noted, the faculty member along with their unit head develops a process improvement plan that includes expectations and milestones for achievement. The plan is then reviewed on a regular basis. If expectations are not met the tenured faculty member may be subject to formal action under the faculty dispute procedures (III 29.8).

3. EVALUATION OF TEACHING FOR NON-TENURE TRACK

SUI has three regular, non-tenure-track faculty tracks: the Clinical Track, the Instructional Faculty Track, and the Research Track.

- A) Clinical Track (III 10.9): All clinical faculty must devote a significant portion of their time to providing or overseeing the delivery of professional services to individual patients or clients. In addition, teaching students, residents, or fellows of the University at the undergraduate, graduate, professional, or postgraduate level is an essential job function for all faculty (whether tenured, tenure track, or clinical). Thus, clinical faculty are expected to integrate the delivery of their professional services with their teaching. The Office of Consultation and Research in Medical Education (OCRME) in the Carver College of Medicine provides a broad range of services to support medical education and scholarship, including research and evaluation, curriculum design and multimedia, and teacher development for faculty and residents.
- B) Instructional Track (III 10.11): Instructional faculty shall devote a substantial amount of their time to providing or overseeing the delivery of instruction to University of lowa students in the classroom or in other settings appropriate to the discipline. Further, [a]II reviews of instructional faculty shall be conducted according to written standards of competence and performance defined by the relevant units and in compliance with applicable University policies. The college employing the largest number of Instructional Track Faculty, the UI College of Liberal Arts, requires an annual review of its Instructional Faculty with a rigorous assessment of teaching quality.
- C) Research Track (III 10.10): Research track faculty devote almost all of their time to performing externally supported research and are expected to submit or assist in the submission of research grant applications. Teaching is an essential function of all faculty, but in the case of the research-track faculty it would occur predominantly in the form of service on doctoral committees (including serving as a co-chair with a tenure-track faculty member) with the approval of the Graduate College. Research-track faculty cannot be assigned to teach courses, but they could provide auxiliary lectures on areas of knowledge relevant to their research or to engage in other teaching as may be required by the terms of their research grant or contract. Due to the limited teaching role of research faculty, their performance reviews focus primarily on research productivity, rather than teaching.