

Chairs and Associate Deans Leadership Workshop I
Wednesday, August 24, 2022
Waterman 427

- 8:00 AM Continental Breakfast
- 8:30 AM Welcome, Introductions, and Announcements
Jane Okech
Vice Provost for Faculty Affairs
Division of Faculty Affairs
Patricia Prelock
Provost and Senior Vice President
Office of the Provost
- 9:00 AM Compliance and Conflict of Interest Considerations
Tessa Lucey
Director of Compliance and Chief Privacy Officer
Office of Compliance and Privacy Services
- 9:30 AM Tracking Your Metrics with Catamount Data
Larry Granillo
Associate Director, Office of Institutional Research and Assessment
- 10:00 AM Diversity, Equity, and Inclusion at UVM: Inclusive Excellence
Amer Ahmed
Vice Provost for Diversity, Equity & Inclusion
Division of Diversity, Equity & Inclusion
Sherwood Smith
Senior Executive Director for Inclusive Excellence and Faculty Engagement
Division of Diversity, Equity & Inclusion
- 10:45 AM Break
- 11:00 AM Factors to Consider When Planning and Evaluating Sabbatical Proposals and RPT Dossiers
Carolyn Bonifield
Chair, Professional Standards Committee
Associate Professor, Grossman School of Business
- 11:45 AM Labor Relations and Human Resources:
Overview of Changes to the CBA and HR Guidance Relating to Assignments and Activities
-Lessons Learned and Recommendations
Megan Boucher
Labor and Employee Relations Manager, Human Resource Services
Peter Blackmer
Associate Chief Human Resources Officer, Human Resource Services
- 12:30 PM Important Information and Closing Remarks
Jane Okech
Vice Provost for Faculty Affairs
Division of Faculty Affairs
- 1:00 PM Adjourn

ANNOUNCEMENTS

8.30am Session

Presenters:

Jane E. Okech, Ph.D.
Vice Provost for Faculty Affairs

Patricia A. Prelock, Ph.D.
Provost and Senior Vice President



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Announcements 1/2

- 1. New Learning Management System: Fall 22 Piloting & Migration in Process**
- 2. Faculty Professional Development Events: 2022/2023AY**
- 3. Inkwell Writing Retreat: Summer 2023**
- 4. NEBHE-UVM: An Institutional Member of NEBHE's North Star Collective to Support BIPOC Faculty program -Focus on reparative justice and racial healing**
- 5. NCFDD-UVM: An Institutional Member of the National Center for Faculty Development & Diversity (NCFDD) dedicated to supporting faculty, particularly under-represented faculty, post-docs, and graduate students in making successful transitions throughout their careers.- See <https://www.uvm.edu/provost/national-center-faculty-development-diversity>**

Announcements -2/2

- 6. FORTHCOMING:** Schedule of Chair & Associate Dean Workshops for 2022/2023 AY ****Please send recommendations for topics to Jokech@uvm.edu*
- 7. SEARCH:** Academic Talent Acquisition and Retention Coordinator (ATARC), interviews scheduled during the week of August 29th.
- 8. NEW:** First Year Faculty Professional Development Program- **Pilot sessions for 2022/2023AY –Overview @12.30pm**
- 9. NEW:** Faculty Mentoring Program-University Level Mentor Assignments 7 Programs-Overview @12.30pm
- 10. Introduce Provost Prelock**

Conflicts of Interest, Conflicts of Commitment & Nepotism

Considerations for Chairs

PRESENTED BY:

Tessa Lucey, MHA, CHC, CHPC

Director of Compliance and Chief Privacy Officer

Office of Compliance & Privacy Services

Division of Safety and Compliance



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DISCLAIMER

This presentation addresses University Conflicts of Interest, Conflicts of Commitment and Nepotism. Federal and other funding requirements - most notably Public Health Service (PHS) and related components such as the National Institutes for Health (NIH), and the National Science Foundation (NSF) – have additional requirements which are addressed in the University's Financial Conflicts of Interest (FCOI) Policy.

If you participate in sponsored research, contact the Office of Research Administration & Integrity at conflict@uvm.edu with questions related to FCOI and FCOI processes at UVM.

Introduction

This is about “Conflicts” and “Nepotism”:
issues/arrangements/employment/consulting/relationships that
employees have outside of work that might impact how they do
their jobs at UVM.

Potential conflicts are common, so we are asking
everyone to “disclose” potential conflicts so that they be
discussed and, if/when needed, they can be
“managed”.

Introduction

By disclosing an activity, the University can assist in the response to allegations of impropriety and/or help defend against alleged violations to UVM policies and state/federal regulations.

Outside activities are encouraged and they help enrich UVM.

The point is not to prohibit these activities; rather it is to be transparent and to protect both the disclosing party and the University.

Introduction

It's not about saying "no", it's about "doing it right".

When an outside interest or affiliation **MIGHT** conflict with
UVM duties; or...

When an outside interest or affiliation **MIGHT** result in
personal gain or advancement at the expense of UVM...

DISCLOSE IT!!

Agenda

- **DESCRIBE:** What's changed?
- **DEFINE:** What do we mean by Conflict of Interest, Conflict of Commitment, and Nepotism?
- **IDENTIFY:** What do you need to know and where do most conflicts arise in higher education?
- **DISCLOSE:** How are conflicts reported?
- **REVIEW:** How are disclosures reviewed?
- **MANAGE:** How are potential conflicts managed?

DESCRIBE: What's Changed?

- **REVIEW RESPONSIBILITY** – was the responsibility of the Chair to review disclosures; now it is Deans, Vice Provosts, Vice Presidents, Chief Officers.
- **SYSTEM OF DISCLOSURE** – Officers, Faculty and Staff have always been required to disclose conflicts, but we now have a single, central mechanism to disclose. UVMClick.
- **ENFORCEMENT** by the federal government has increased. More aggressive prosecuting those engaged in conflicts especially related to foreign conflicts.
- **CHAIRS** are still overseeing management plans, assisting the reviewers* and providing feedback vital to the review.

** This remains an “acknowledgment” process not an “approval” process.*



We want to be able to answer the
question:

***What would a reasonable person think
about the arrangement?***

Conflict of Interest (COI)

When activities compromise, or appear to compromise, an employee's judgment in performing their University duties.

Conflict of Commitment (COC)

When external activities undertaken by a UVM employee will or reasonably can be expected to significantly interfere with their ability to perform obligations to University duties fully or effectively.

Nepotism

When favoritism is applied, without regard to merit, through authority or influence by someone in a position of power, toward Family Members or others for whom the employee is legally responsible. Favoritism is shown by giving preferential treatment in any employment action by Family Members as defined in this Policy.

Family Member

the spouse, domestic or civil union partner, anyone in a romantic relationship and, whether by blood, adoption, marriage or domestic partnership, the child*, parent*, grandparent*, sibling*, grandchild*, aunt or uncle, cousin, niece or nephew, or any person residing in the immediate household of the University employee, or his or her spouse or domestic partner, or person in a romantic relationship.

**Includes “step” and “in-law”*



DEFINITIONS: COI

There is the potential for a *conflict of interest* when:

- You/Family Personally Benefit
- Compromised Professional Judgment/ Objectivity
- Duty to UVM vs. Personal Interests
- Decisions/Transactions – UVM & Outside Entity Duty



DEFINITIONS: COC

There is a ***conflict of commitment*** when:

- Time
- Interference w/UVM Work
- Compensation Irrelevant



Conflict of Interest & Conflict of Commitment

Digging in more...

- Outside Interests vs. Conflict of Interest
- Self-Dealing Not Necessary
- Volunteering



DEFINITIONS: Nepotism

Concerns over *nepotism* arise when:

- Friends/Family Employment Decisions



Avoiding Nepotism

Digging in more...

- Family Member Employed vs. Making Employment Decisions

Prohibited vs. Managed Conflicts

The background of the slide is a dense crowd of stylized human figures. Most figures are in shades of brown and tan, with some in dark blue. They are all in a similar pose, walking or standing. In the center of the crowd, one figure is white and stands out, with its arms raised in a 'V' shape, suggesting a gesture of protest or celebration.

**Actual &
Appearance**

**Bring it in as
a sponsored activity**



Identify: What Do You
Need To Know?

Misconceptions:

- Senior Leaders/Researchers
- Affirmative Disclosures
- It's Not Nepotism
- New Position/Promotion & Nepotism



IDENTIFY Conflicts

Where do most conflicts arise in higher education?

- Academic decisions and actions
- Admissions and financial aid
- Governance and management decisions
- Hiring and employment decisions/actions
- Purchasing/Contracting
- Sponsored Research
- Time Commitment/Consulting

DISCLOSE: How Are Conflicts Disclosed?

UVMClick System

<https://www.uvm.edu/ovpr/uvmclick-fcoi>

All faculty and all exempt staff.

Annually or as circumstances change.

The screenshot displays the UVMClick - FCOI web application. At the top, the header reads "UVMClick - FCOI" and "Manage your FCOI Disclosures". Below this is a navigation menu with links for "News and Updates", "User Guides", "GET STARTED", and "USER GUIDES". The "USER GUIDES" section is expanded, showing a list of links: "How to Login", "My Inbox", "Navigation and Basics", "Certification Types", "Complete and Submit FCOI Certification", "Update Your FCOI Certification Disclosure", "Respond to a Clarification or Change Request", "Respond to a Management Plan", and "What Each Status Means". On the right side, there is a sidebar titled "RESEARCH ADMINISTRATION" containing a list of links: "UVMClick", "IRB", "IACUC", "IBC", "FCOI", "Grants", and "Agreements". At the bottom of the sidebar are two buttons: "UVMCLICK LOGIN" and "UVMCLICK TECHNICAL ASSISTANCE", both with right-pointing arrows.



CONFLICT OF INTEREST CONFLICT OF COMMITMENT



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DISCLOSE

FACULTY & STAFF

Covered employee
discloses interest

More information is needed
before rendering a decision

It looks like we need a
management plan in place

DEAN/CHIEF OFFICER/VP
OR DESIGNEE

No conflict exists
No further action needed

DECIDE

CONSULTATION
OGC/CCO/SVP

A prohibited conflict
cannot continue - needs
to be removed

CONSULTATION
OGC/CCO/SVP

The conflict may continue
with a management plan

RESPOND

DEANS/VPs/CHAIRS

Send back with
decision (rejected)

Disclosure cleared
WITH conditions

Disclosure cleared with
or without conditions

MANAGE: How Are Potential Conflicts Managed?

- Reviewed by Unit Reviewer (Dean/VP/Chief Officer)
- Chairs – More Info
- Management Plans:
 - Consult & Oversee
 - Investigate Violations
- Disallowance
 - Grievance Procedures

REVIEW: How are disclosures made and reviewed?



ALL FACULTY AND ALL EXEMPT
EMPLOYEES



ANNUALLY AND AS
CIRCUMSTANCES CHANGE

POLICY/PROCEDURE CONTACTS

1. What needs to be disclosed and to whom?

- Academic: Contact your Dean or Designee
- Administrative: Contact your Chief Officer, VP or Designee

As units come online, department reviewers will be listed [here](#).

2. I am a chair and I'm not sure if something disclosed poses a conflict?

- Office of General Counsel – General.Counsel@uvm.edu

3. I have a question about a FCOI related to research.

- Research Integrity – conflictofinterest@uvm.edu

4. I have questions about UVM Click.

- Research Integrity – uvmclick@uvm.edu

5. I have questions about UVM's Policy.

- Compliance Services – compliance@uvm.edu

PRESENTER CONTACT INFORMATION:

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Chief Compliance and Privacy Officer,
Office of Compliance & Privacy Services

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Tracking Your Metrics with Catamount Data

Larry Granillo
Associate Director,
Office of Institutional Research &
Assessment



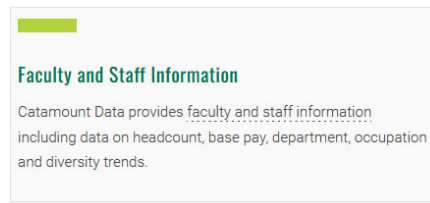
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Agenda

- Introduction
- The basics of Catamount Data
- Catamount Data walk-through
 - Including reports that allow for program-specific questions

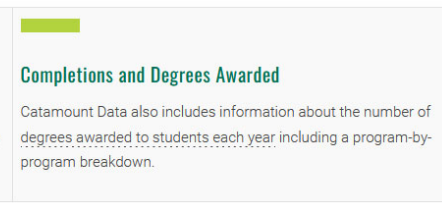
Catamount Data

- <https://www.uvm.edu/oir/catamount-data>
- A suite of interactive dashboards and other reports designed to quickly answer common questions and to empower users to use data like never before
- Topics include: enrollment, admissions, degrees awarded, faculty & staff, university & department planning



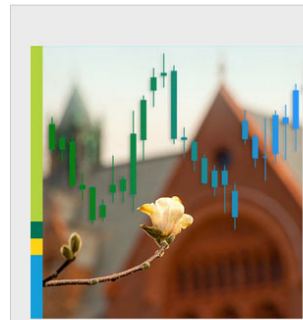
Faculty and Staff Information

Catamount Data provides faculty and staff information including data on headcount, base pay, department, occupation and diversity trends.



Completions and Degrees Awarded

Catamount Data also includes information about the number of degrees awarded to students each year including a program-by-program breakdown.



STUDENT ENROLLMENT & SUCCESS

Catamount Data provides student-focused data including student enrollments, completions, and retention/graduation rates.

STUDENT ENROLLMENT DASHBOARD

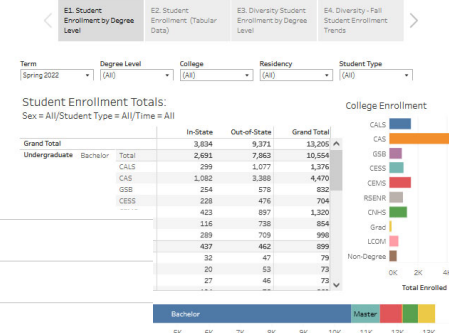


Navigating Catamount Data



- Yellow and blue boxes at the top will take you to different pages with different content focus
- Gray boxes in the dashboard will take you to different data visualizations
- Some reports are hidden in accordion menus to save space

Catamount Data - Student Enrollment



Class Size Analysis ▾

Delaware Cost Study Presentation ▾

Delaware Cost Study Dashboards ▾

Educational Stewardship Committee Data Monitoring Reports ▾

National Survey of Student Engagement (NSSE) ▾

Student Credit Hours & Matrix Dashboards ▾

Student Flow Dashboards ▾

- Three different dashboard types in Catamount Data based on the tool used
- Different strengths and weaknesses
- Can be a jarring or inconsistent experience if unprepared
- Helpful to know what they look like so you can trust it comes from OIRA



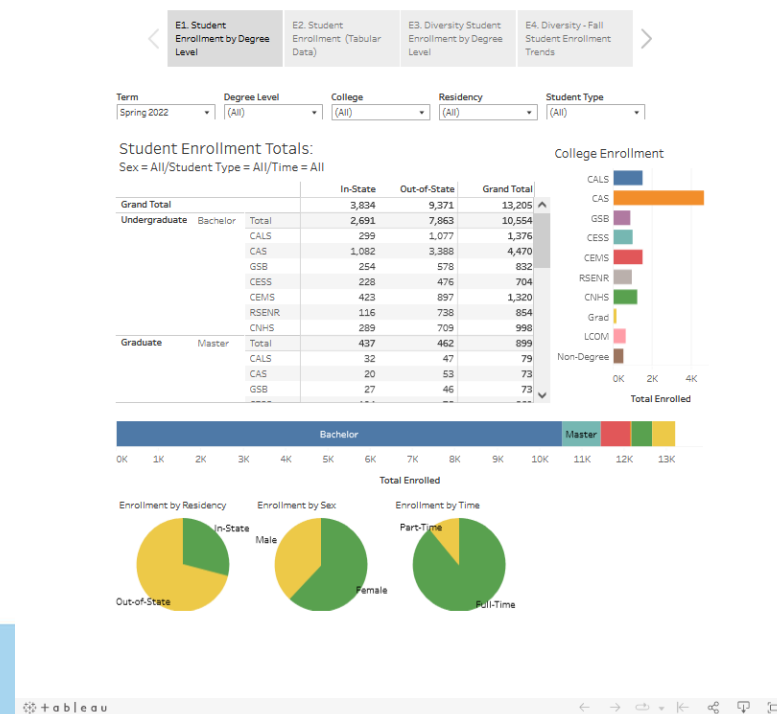
Different Dashboard Types in Catamount Data

Tableau Dashboards

- Open to the public
- Typically answer broad questions that we already report to external agencies
- Data are aggregated to a certain level to avoid releasing any private information
- Navigation is standardized (should be similar on all Tableau dashboards)
- Security (if any) uses UVM Single Sign-On (SSO)

Dashboard example: <https://www.uvm.edu/oir/enrollment>

Catamount Data - Student Enrollment



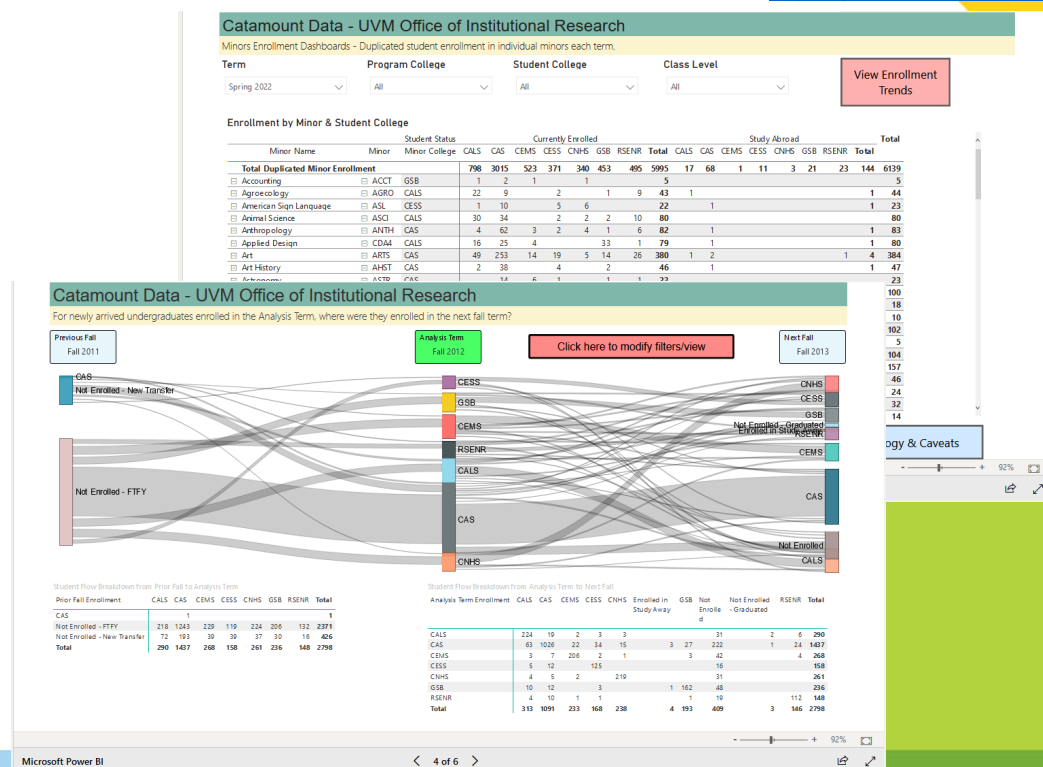
Different Dashboard Types in Catamount Data

Dashboard example:

<https://go.uvm.edu/minorsdash>

Microsoft PowerBI Dashboards

- Most new dashboards are built with this tool; older dashboards may be transitioned over
- Can be used to answer many question types; very flexible in display & visualizations
- Data are stored securely with UVM, so more detailed questions can be asked
- Navigation is not as standardized, due to the different dashboard designs
- Security uses UVM Single Sign-On (SSO)



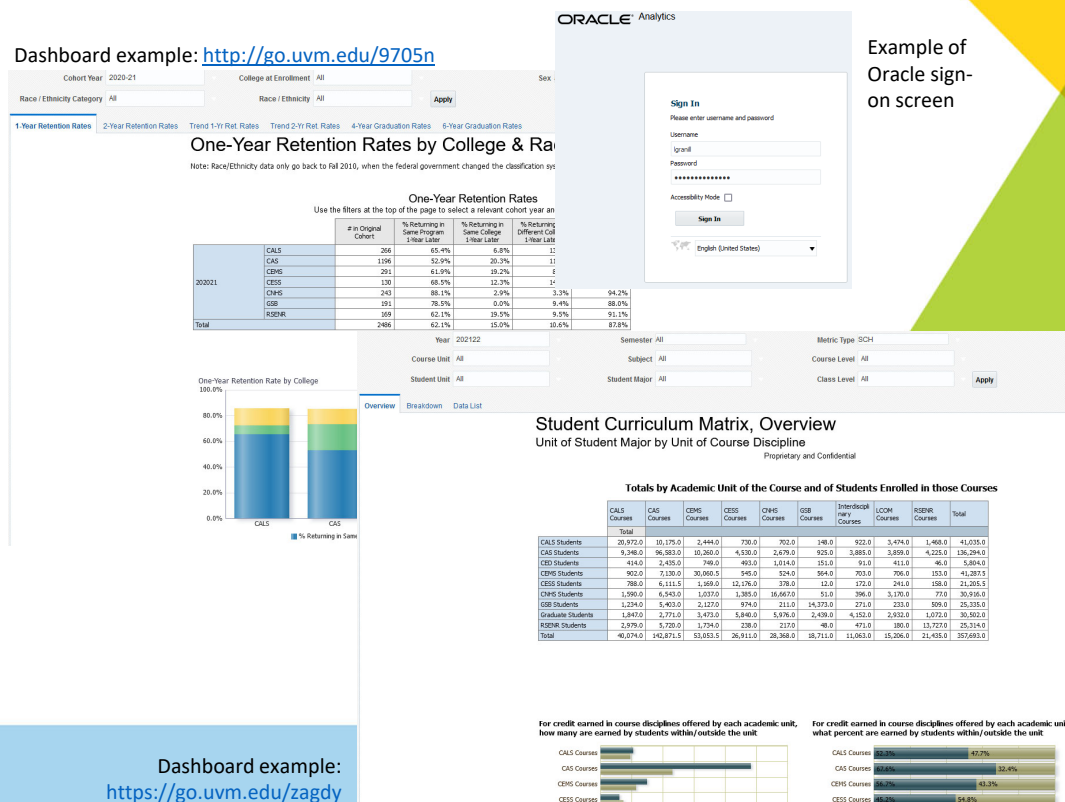
Dashboard example: <http://go.uvm.edu/sflowfall>

Different Dashboard Types in Catamount Data

Oracle BI Publisher Dashboards

- Older dashboard tool; few new dashboards are built with this tool
- Helps to answer some very deep/detailed question types
- Data are stored securely with UVM, so more detailed questions can be asked
- Navigation is standardized
- Security uses Oracle interface; netid & password still apply

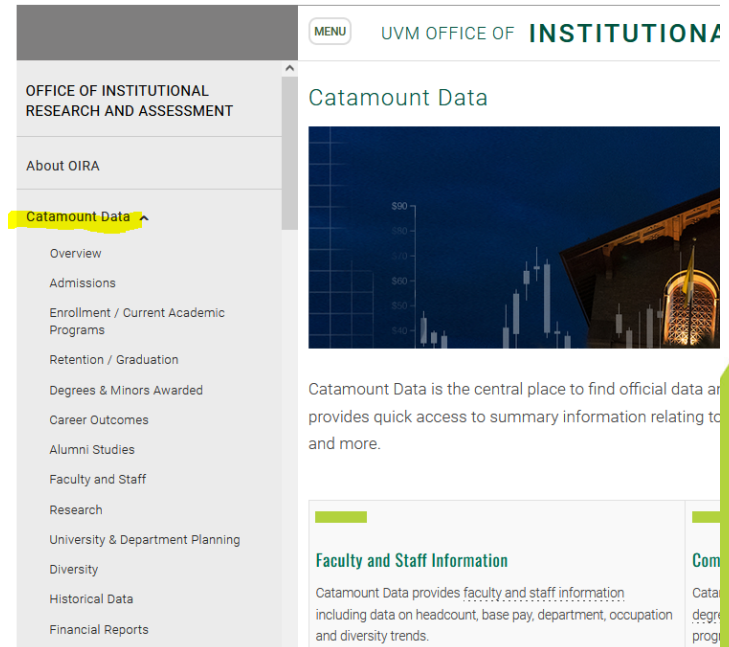
Dashboard example: <http://go.uvm.edu/9705n>



Dashboard example:
<https://go.uvm.edu/zagdy>

Content Overview

- Catamount Data is broken down into various categories that cover common OIRA requests
- Pages may have dashboards, PDF reports, or other resources
- Pages are ordered by student life cycle before going into other aspects of the university



The screenshot displays the UVM Office of Institutional Research and Assessment (OIRA) website. The header includes a 'MENU' button and the text 'UVM OFFICE OF INSTITUTIONAL RESEARCH AND ASSESSMENT'. The left sidebar lists various categories, with 'Catamount Data' highlighted in yellow. The main content area features a section titled 'Catamount Data' with a background image of a candlestick chart and a building at night. Below this, a paragraph states: 'Catamount Data is the central place to find official data and provides quick access to summary information relating to and more.' A section titled 'Faculty and Staff Information' is also visible, with a brief description: 'Catamount Data provides faculty and staff information including data on headcount, base pay, department, occupation and diversity trends.'

MENU UVM OFFICE OF INSTITUTIONAL RESEARCH AND ASSESSMENT

OFFICE OF INSTITUTIONAL RESEARCH AND ASSESSMENT

About OIRA

Catamount Data

Overview

Admissions

Enrollment / Current Academic Programs

Retention / Graduation

Degrees & Minors Awarded

Career Outcomes

Alumni Studies

Faculty and Staff

Research

University & Department Planning

Diversity

Historical Data

Financial Reports

Catamount Data

Catamount Data is the central place to find official data and provides quick access to summary information relating to and more.

Faculty and Staff Information

Catamount Data provides faculty and staff information including data on headcount, base pay, department, occupation and diversity trends.



Program-Specific Reports

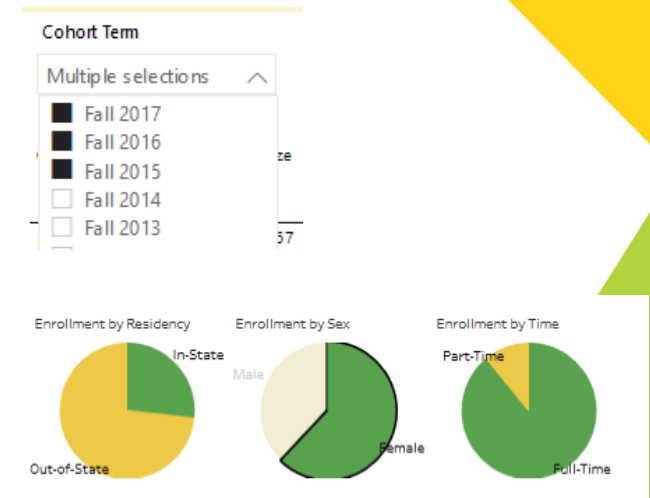
Here are some Catamount Data reports/dashboards that may be relevant to chairs & associate deans:

- Undergraduate Admissions Data & Trends <https://www.uvm.edu/oir/admissions>
 - Admissions data by college and major
- Program-Level Enrollment <https://www.uvm.edu/oir/program-level-minors-enrollment>
 - Student enrollment that includes second majors, AMP students and even students on study away
- Student Flow Dashboards <https://www.uvm.edu/oir/retention/graduation-planning>
 - How students move through UVM year-to-year & term-to-term
- Retention & Graduation by Adjusted Cohorts <https://www.uvm.edu/oir/retention/graduation-planning>
 - Student success metrics per college/major centered on third-year students (which accounts for student transiency in first two years)
- Degrees and Minors Awarded <https://www.uvm.edu/oir/degrees-minors-awarded>
 - Counts of degrees and minors awarded by major/minor
- Faculty & Staff Data <https://www.uvm.edu/oir/faculty-and-staff-data>
 - Counts of faculty & staff by department, tenure status & more
- Class Size Analysis <https://www.uvm.edu/oir/university-department-planning>
 - Average class size & counts of courses by course subject, number, General Ed.-type and more
- Student Credit Hours & Matrix Dashboards <https://www.uvm.edu/oir/university-department-planning>
 - Suite of dashboards looking at SCH at the student, instructor unit and course levels



Tips & Tricks

- On many dashboards, you can Ctrl+click to make multiple selections
- Visualizations will often act as filters on dashboards. In the Tableau dashboards, for example, these pie charts will filter all other tables/charts to the segment that you choose.
- Dashboards are updated based on OIRA snapshot dates (add/drop for enrollment, post-summer for degrees/graduation, November for faculty/staff)





Diversity, Equity & Inclusion: Chairs Session August 24, 2022



Land Recognition Statement

The University of Vermont is located on the lands and waters which has long served as a site of meeting and exchange among indigenous peoples for thousands of years and is home of the Western Abenaki People. UVM honors, recognizes and respects these peoples, especially the Abenaki, as the traditional stewards of the lands and waters on which we gather today. In that spirit, today we will begin by acknowledging that we are guests in this land. We need to respect and help protect the land and water within our use. In offering this land acknowledgement, UVM affirms Indigenous Peoples' sovereignty, history, and experiences. We note that a land acknowledge is only a beginning in a larger process of naming injustice and relationship building.



The Office of the Vice Provost uses a collaborative approach to lead university-wide strategic initiatives to build capacity and foster a culture of belonging. The Vice Provost oversees UVM's identity centers, chairs the University Diversity Council, and works with the President's Cabinet and the Provost's Leadership Team to enact change.



Amer F. Ahmed
Vice Provost for Diversity,
Equity & Inclusion
He/His



Sherwood Smith, Ed.D.
*Sr. Executive Director for
Inclusive Excellence & Faculty Engagement*
He/His



Examples of Agreements

- Confidentially
- Listen for understanding (not for responding)
- Use "I" statements
- Support all voices being heard
- Lean Into Challenges & New Paradigms



Dr. Amer F. Ahmed
*Vice Provost for Diversity,
Equity, and Inclusion*

University Diversity
Council

Sherwood Smith
*Sr. Executive Director for
Inclusive Excellence &
Faculty Engagement*

Paul Yoon
*Senior Advisor for
Inclusive Excellence*

Sandra Bermanzohn
Program Coordinator

Krista Walter
Executive Assistant

Masha Shelukha
Admin Assistant

Melissa Murray
*Women & Gender
Equity Center Director*

Kate Jerman
*Prism Center
Director*

Bev Belisle
*Mosaic Center for
Students of Color
Director*

Rev. Laura Engelken
*Director of Interfaith
Education &
Engagement*



High Impact Educational Practices:

Practices that are correlated with positive educational results for students from widely varying backgrounds.*



- Knowledge of Human Cultures and the Physical and Natural World
- Intellectual and Practical Skills
- Personal and Social Responsibility
- Integrative and Applied Learning

Source: Kuh (2008).
High Impact Educational Practices: What They Are, Who Has Access to Them, and Why They Matter
AAC&U. (follow-up to LEAP report).

* Based on data from the National Survey of Student Engagement

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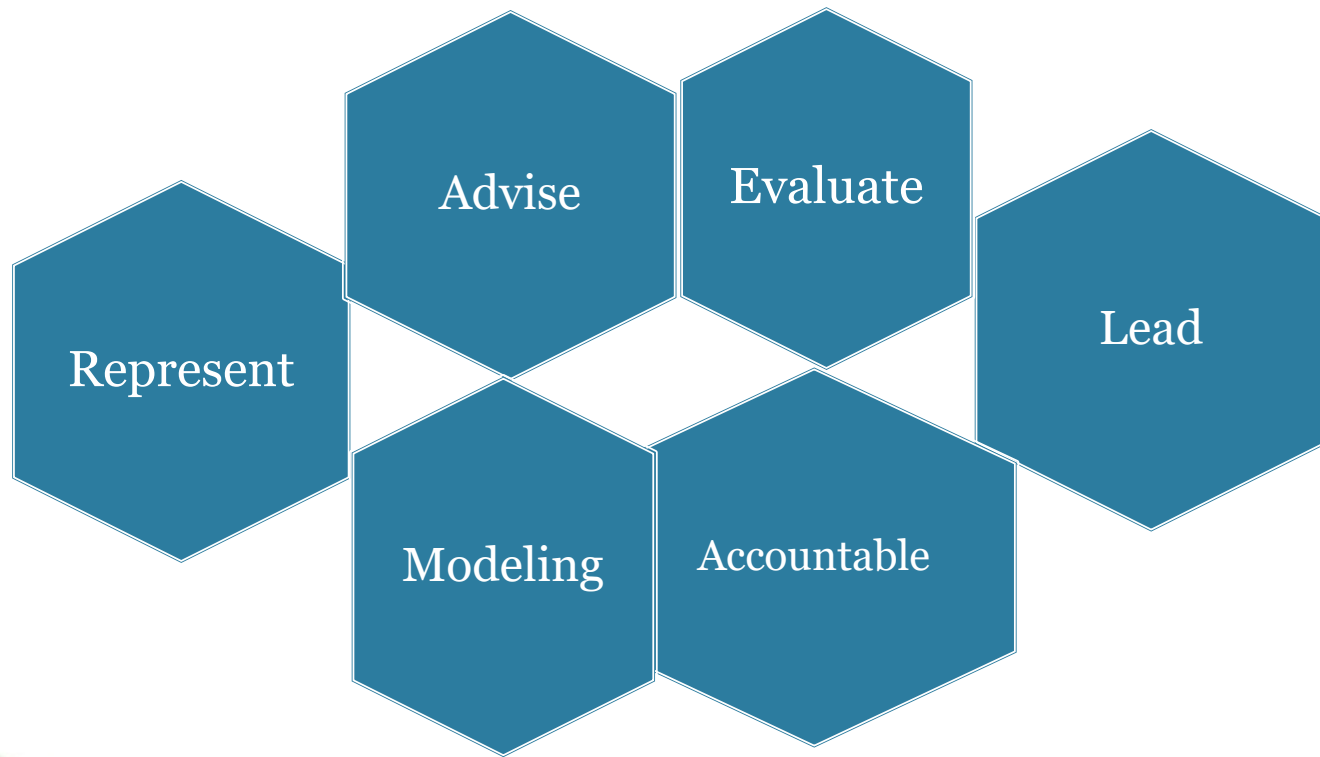


WHAT DRIVES YOUR STRATEGY?

- Tolerance Change – Quantitative financial driven, elitist, assimilation model, constrained merit factors drive openings.
- Valuing Diversity – Qualitative, ethically driven, idealistic, global engagement model, opens attitudes, minds and culture.
- Managing Diversity – Behavioral, strategically driven, pragmatic, synergy model, opens the system.



Chairs Role



What is Intercultural Competency?

One's ability to effectively navigate the complexity of human similarities and differences across various socio-cultural contexts accounting for privilege and marginalities as part of that negotiation.

-Amer F. Ahmed, Ed.D.

(Adapted from Dr. Milton J. Bennett)



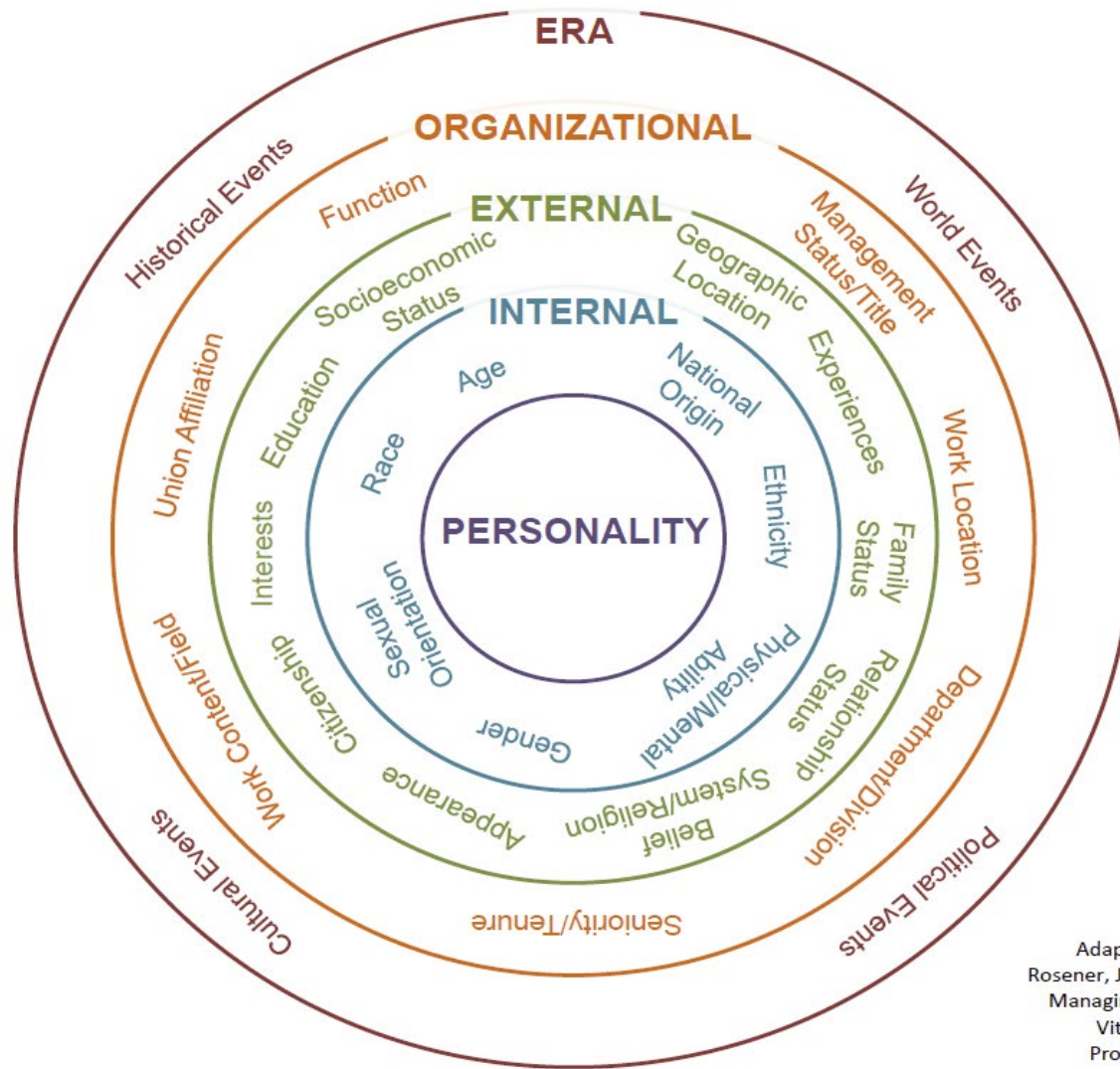
Pedagogy is not Culturally Universal

- “No learning situation is culturally neutral.”
- “reasoned” argumentation
- Impersonal objectivity
- Sports-like competition in testing and grading”

Source: Ginsberg & Wlodkowski, 2009, p.10



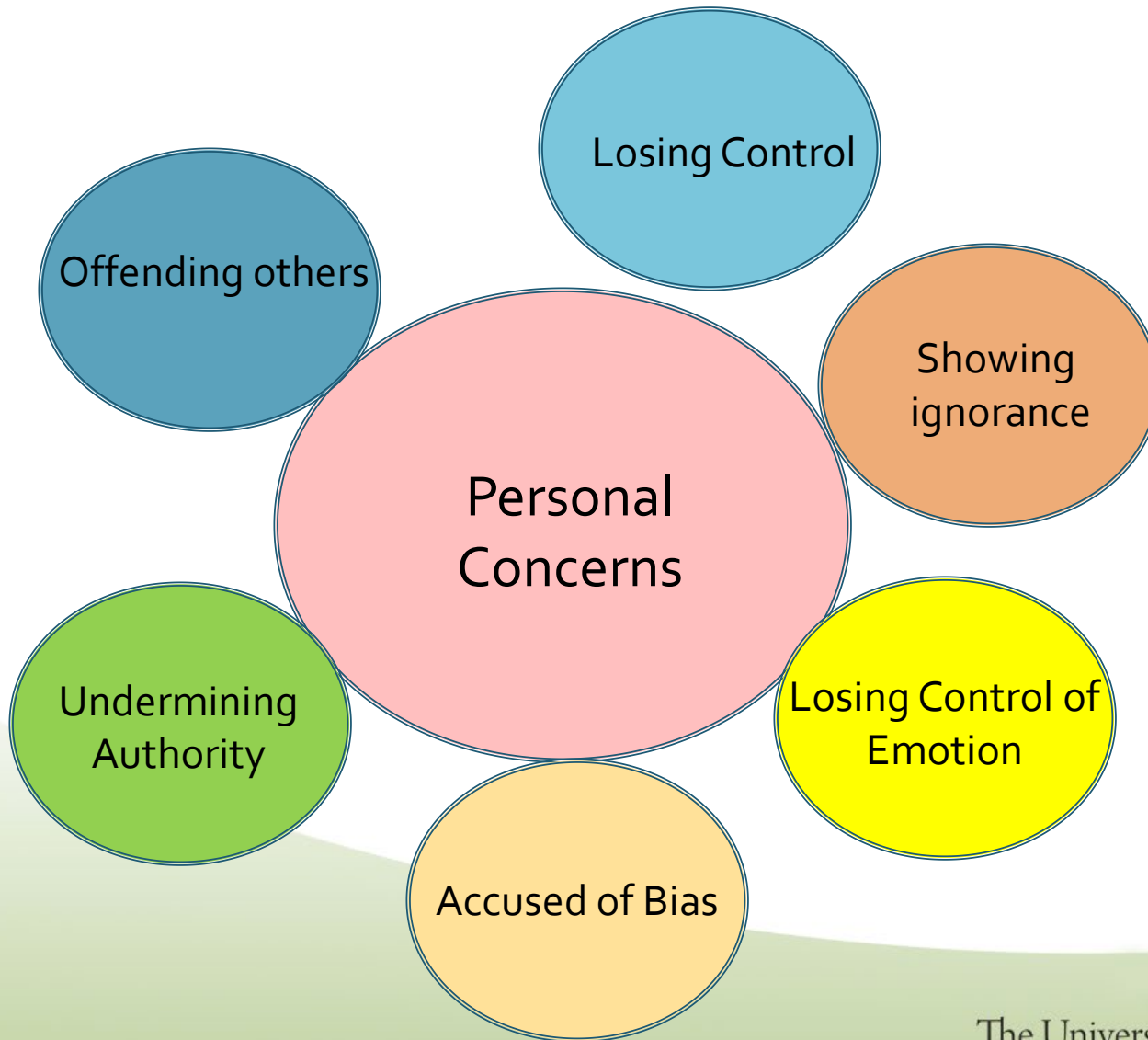
Levels & DEI Climate Factors



Adapted from: Loden, Marily & Rosener, Judy, "Workforce America! Managing Employee Diversity as a Vital Resource," McGraw-Hill Professional Publishing, 1990.



"Difficult:" Why? For whom?



Conversation

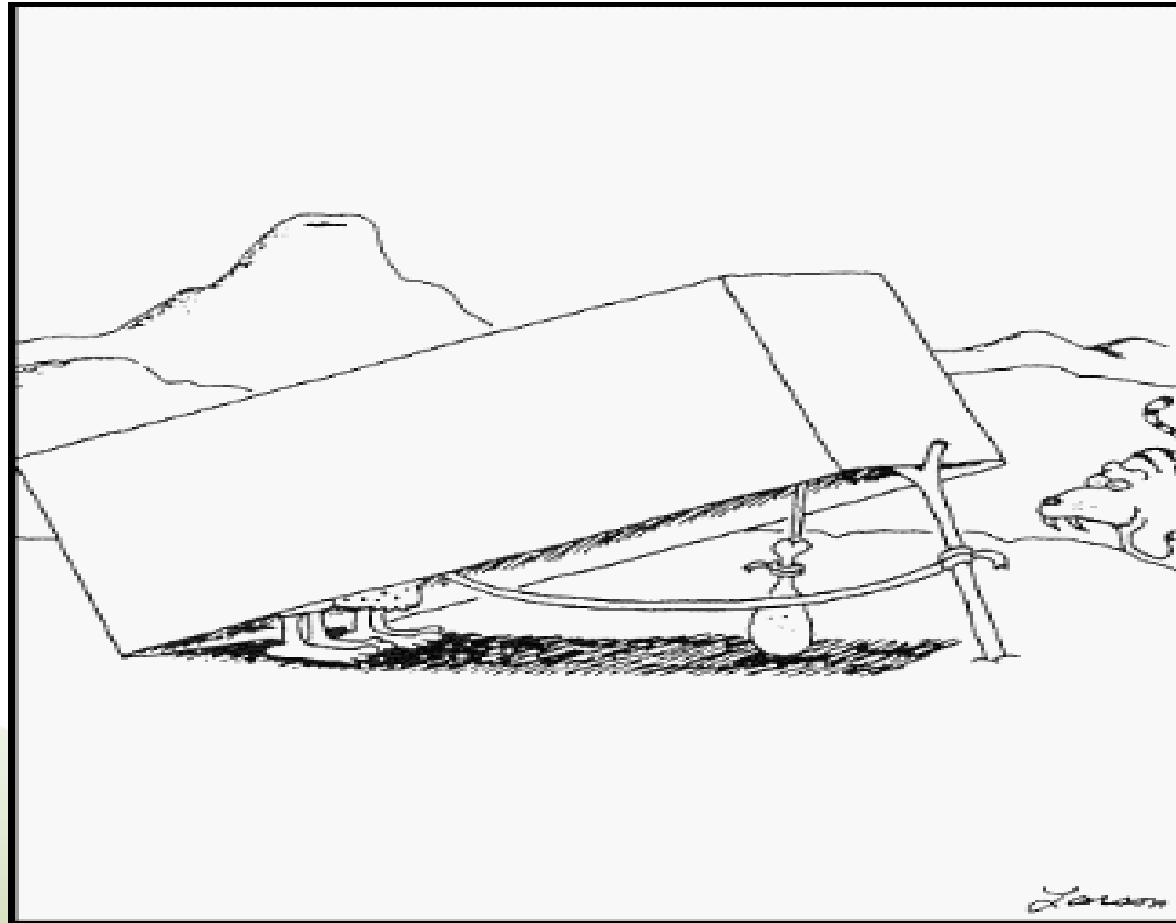


Types of Power

- Efficacy
- Ability to act or produce an effect
- Ability to get what you want
- Ability to change the future
- Power over
(coercion, influence)
- Power to
(capacity/expertise)
- Power with
(cooperation, collaboration)
- Formal/legitimate sources of power
- Informal/referent sources of power
- Expert sources of power
- Explicit & Implicit power



**...Knowing, *not* every perspective
will get us what we want**



"Shhhh, Zog! ... Here come one now!"

Levels of Complexity

Major issues of Culture, Context and Perceptions.

- **Cultural** differences: values & status
- Awareness of **Context**: time & structure
- Biases in one's **Perceptions**: power & privilege



CULTURAL ANALOGY OF A TREE: 3 PLACES FOR EFFORT

MORPHOLOGICAL = Branches

Art, Language/dialect, Sports, Food, Music Appearance & others (examples: hair, inflection, facial features....)

STRUCTURAL = Trunk

Legal & Health System

Government type, Educational system

Forms, Documents, Book & Media

Norms & Traditions (overt)

MYTHICAL / SPIRITUAL = Roots

Beliefs, Spirituality, Sanity, Wellness & Sexuality

Values & Ideals (covert)



Four Views of Conflict

Conflict View

Inevitable & Unavoidable

Natural & Solutions Exist

Useful & Process/Relationship

Direct v. Indirect

Outcome Goal

Withdrawal & Avoidance

Win-Lose & Bargaining

Mediation/Debate & Learning/Growth

Saves Face & Unifier



Our Response Always Matters

- When identity threat is not addressed, students
 - experience microinvalidation
 - experience negative emotions
 - are more likely to disengage
 - do not learn or perform as well
 - lose trust in us and the classroom community

Source: Ambrose, et al., 2010; Davies, et al., 2005; Sue, 2015



EQUITY & EQUALITY:

What's is the Difference?

Equality means each individual or group of people is given the same resources or opportunities. Equity recognizes that each person has different circumstances and allocates the exact resources and opportunities needed to reach an equal outcome.

<https://onlinepublichealth.gwu.edu/resources/equity-vs-equality/>



Impact Of Our Response

- When we, as leadership, do not respond to bias or identity threat, we often experience **regret**.
- When we, as leadership, responds effectively, we
 - Build trusting relationships with and across our team
 - Create a climate that enhances learning from multiple perspectives
 - **Feel good** about meeting goals (inclusion, equity, modeling behaviors for socially just climate)

Source: Ambrose, et al., 2010; Davies, et al., 2005; Sue, 2015



Utilizing Teachable Moments

- “Real time” facilitation
 - Perceive discussions as valuable rather than distracting
 - Resolve not to take the easy way out
 - Explicitly and intentionally guide students in difficult dialogue
 - Engage techniques for planned dialogues



Conversation



EXAMPLES: Handout

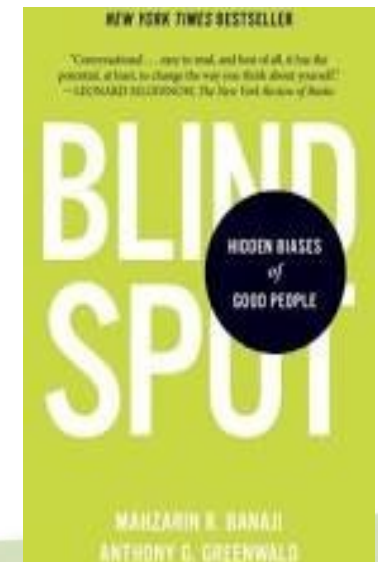
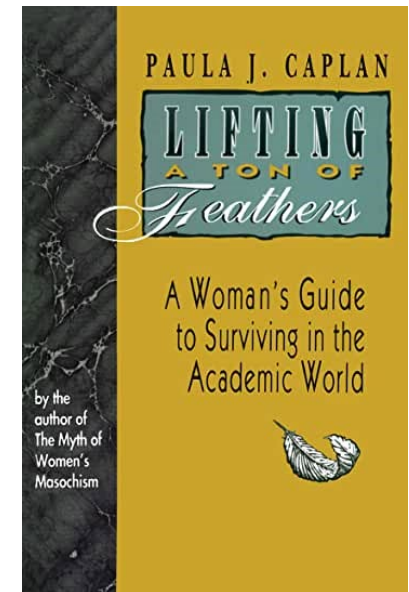
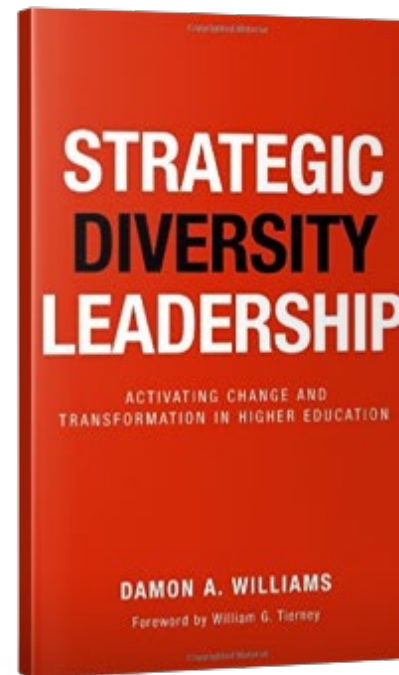
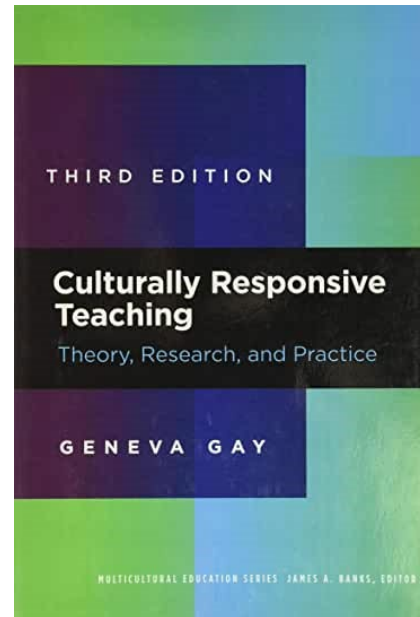
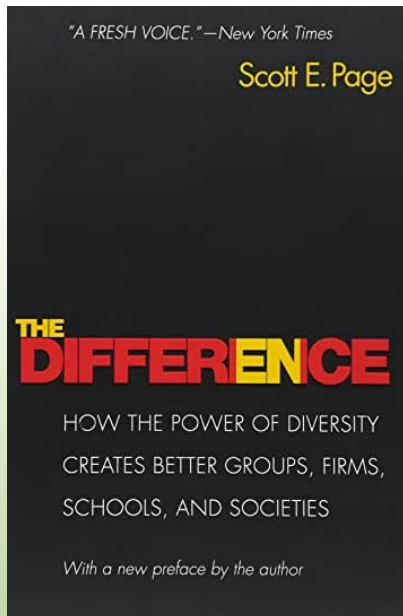
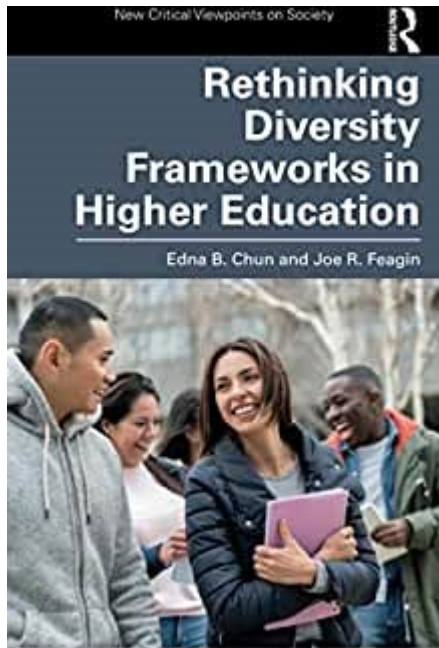
TABLE 6.1
Sample of Progress and Outcome Performance Measures

<i>Dimension</i>	<i>Progress Indicators</i>	<i>Outcome Indicators</i>
Definition	Formative data that appear during the planning and operation of an activity and help drive the desired outcomes, normally measuring some aspect of progress in terms of intermediate processes and activities	Measures that capture summative information and historic performance
Access and Equity Perspective	First-year retention rates	Six-year graduation rates
Learning and Diversity Perspective	Number of participants in a service learning program	Ability to take the perspective of the other (captured through survey data)
Multicultural and Inclusive Campus Climate Perspective	Number of participants in a diversity training workshop	Perceptual measures of the campus climate (captured through survey data)
Diversity Research and Scholarship Perspective	Number of diversity-themed research institutes and projects on campus	Number of diversity-themed articles, books, and publications produced annually
Leadership Commitment Perspective	Qualitative assessment of diversity efforts as a part of the annual review of faculty, administrators, and staff	Success across the other four diversity perspectives
Advantages	Progress measures allow the institution to make adjustments midprocess to drive new outcomes	Often easy to identify and capture
Challenges	May prove difficult to identify and capture; often new measures with no history or organization	Historical in nature and do not reflect predictive power

Source: Williams. D., 2013. Strategic Diversity Leadership: Activating Change and Transformation in Higher Education



Other Resources



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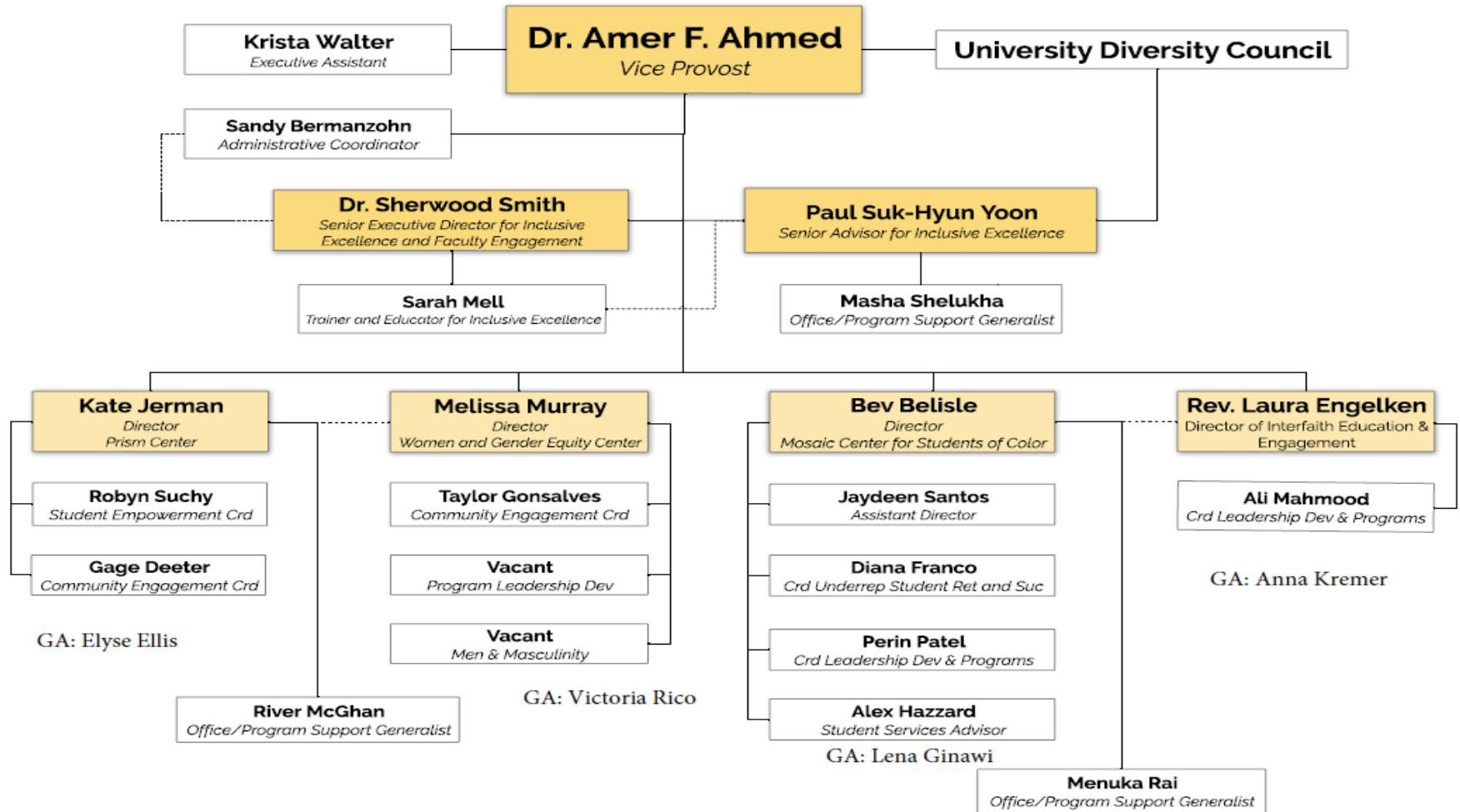
Sue, D. W. (2016). *Race talk and the conspiracy of silence: Understanding and facilitating difficult dialogues on race*. John Wiley & Sons.

University of Alaska Anchorage. *Start Talking Handbook: Difficult Dialogues*. Retrieved from <http://www.difficultdialoguesuaa.org/handbook>



Thank you





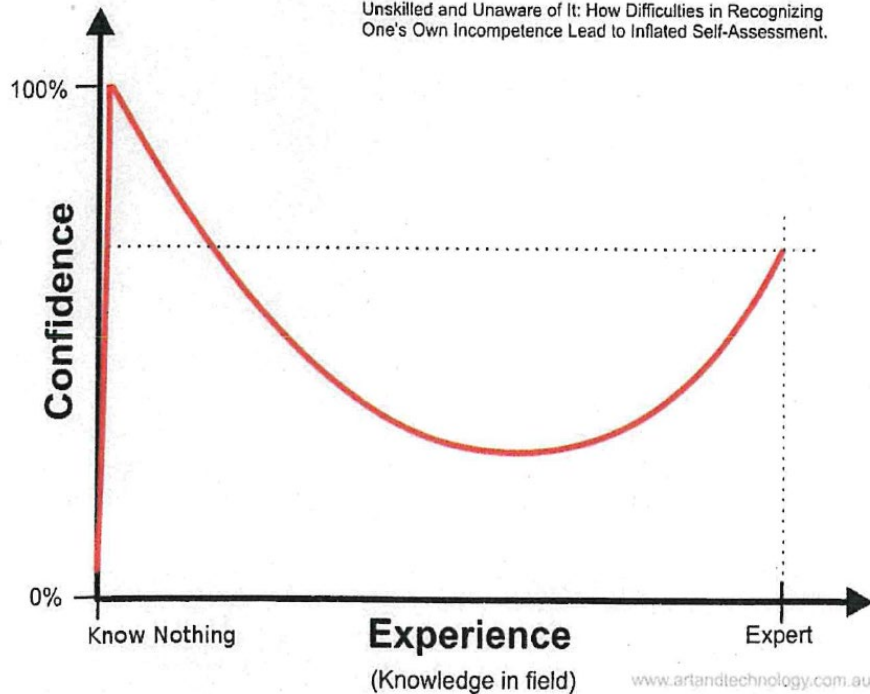
Updated: 07-2022



IMPACT OF AWARENESS

Dunning-Kruger Effect

Unskilled and Unaware of It: How Difficulties in Recognizing One's Own Incompetence Lead to Inflated Self-Assessment.



Personal Skill levels: Smith

Unconscious

Conscious

Incompetent

Competent

Preconscious competency

(thinking about one's blind spots and the possibility of error)



Factors to Consider When Planning and Evaluating Sabbatical Proposals and RPT Dossiers

Chairs and Associate
Deans Leadership
Workshop

August 24, 2022



The University of Vermont

Sabbatical applications and RPT submissions

- 2021-2022 academic term: 72 sabbatical applications and 90 RPT submissions
 - Numbers vary from year-to-year
 - PSC reviews sabbatical applications during the fall semester
 - PSC reviews RPT dossiers during the spring semester

Sabbatical Issues

1) Completeness of Submissions

- Double-check applications for completeness and accuracy.
 - Cover page, URL links, missing bookmarks, missing letters, missing votes, missing signatures, word count limits
- FSC and Dean letters – need to include dates
- Letters of invitation
- IRB approval – plan/date for submission
- Limit discipline-specific language and acronyms.

Sabbatical Issues

2) Specificity of Activities Beyond Standard Workload

- Include specific activities with projected timelines.
 - Work completed, proposed activities (e.g., archival research, literature review, data collection, chapter outlines) and the timeline
- State how sabbatical plan extends beyond standard workload.
 - How does the sabbatical provide the opportunity to engage in activities that their workload would not otherwise allow?

Sabbatical Issues

3) Relationship between Funding Cycles and Sabbatical Submissions

- State whether the work is dependent on external funding for sabbatical-related activities (e.g., travel).
- Not unusual for faculty members seeking external funding to not know status of potential funding when completing sabbatical application
- Plan A vs. Plan B

Sabbatical Issues

4) Mentoring

- Guidance and feedback when preparing sabbatical applications are important.
- Issues with sabbatical applications can often be avoided with earlier feedback, such as from the Chair.
- Given the September deadline for sabbatical submissions, sabbatical planning should be underway during the previous spring semester.

Reappointment, Promotion, Tenure (RTP) Issues

1) Overall Organization

- Order of materials, bookmarking of dossiers (e.g., all supporting materials after basic dossier entries; external reviewer CVS positioned after all external letters rather than after each letter; check all links to ensure they work)
- Do not include scanned documents.
- Once assembled, candidate's dossiers should be combined into one pdf with bookmarks, rather than separate pdf files.
- Adhere to word limits – make strongest case in a concise manner
- Limit excessive discipline-specific language and acronyms.

Reappointment, Promotion, Tenure (RTP) Issues

2) Common Definitions

- PSC encourages development of university-wide definitions for recording RPT voting (i.e., Yes, No, Absent, Recuse, Abstain). Common inconsistency with respect to the difference between 'Abstain' and 'Recuse.'
- At all voting levels (i.e., department, FSC, PSC): critical to provide rationale for votes recorded as No, Abstain, or Recuse.
 - Particularly true for 'No' votes

Reappointment, Promotion, Tenure (RTP) Issues

3) Workload Distribution by Chair

- Provide specific workload distribution
- Include information on number of courses taught with the estimates of workload percentages
 - How courses are counted varies (e.g., in some units, 40% of teaching equals five courses, and in others, it equals four courses).

Reappointment, Promotion, Tenure (RTP) Issues

4) External Letters

- Arm's length external letters for tenure and promotion
 - Both faculty members and their Chairs share responsibility.
- Credibility of external letters is enhanced when letters are from reviewers who:
 - are at a university at least comparable to UVM (R1, R2) or other relevant organization
 - have attained the same rank or a higher rank as the promotion being sought
 - have submitted a CV that reflects a substantial body of work that establishes them as an appropriate reviewer
 - have no real or perceived bias related to the applicant

Reappointment, Promotion, Tenure (RTP) Issues

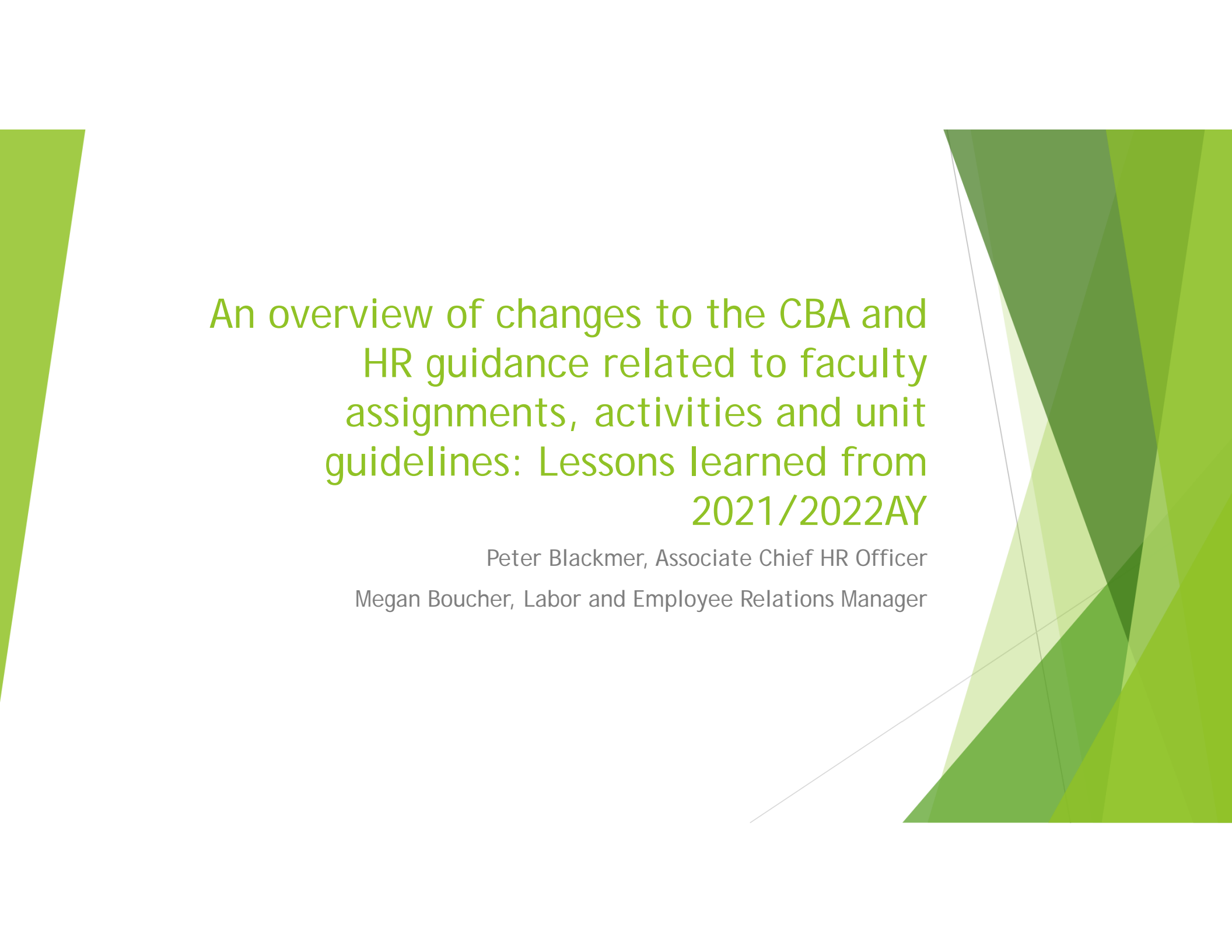
5) Nature of Contributions to Scholarship

- Helpful to know approximate nature and percentage of applicant's contribution to co-authored scholarship
- Colleges/Schools, Departments, and Chairs are encouraged to continue to clarify expectations for scholarship, depending on the percentage of workload allocated to scholarship and the pathway (e.g., the volume and type of acceptable scholarship might differ for a Clinical or Extension faculty member compared to a Research or Tenure track faculty member).

Reappointment, Promotion, Tenure (RTP) Issues

6) Tenure Review for Incoming Administrators with Faculty Appointments

- Expedited review is intended to be conducted pre-hire, when an individual has been identified as a finalist.
 - The review should be completed before a final decision is made to hire an individual – highly ranked candidates should be given advance notice that if they are selected as a finalist, they will need to undergo this process if they are seeking tenure with their appointment.
 - Concurrent tenure (only) review and voting by the proposed home department, corresponding college/school FSC, and the Faculty Senate PSC
 - Process does not follow the full 'green sheets' paperwork – instead, relies on: a) a memo written by the search Chair summarizing eligibility for an expedited review and credentials/qualifications for tenure, b) a candidate's CV, c) evidence of teaching effectiveness, and d) reference letters or Chair summary of information from referees pertaining to suitability for tenured position

The slide features abstract green geometric shapes in the background. On the left, a solid green trapezoid points upwards. On the right, a complex arrangement of overlapping translucent green triangles and polygons creates a dynamic, layered effect. The main text is centered in a green, sans-serif font.

An overview of changes to the CBA and HR guidance related to faculty assignments, activities and unit guidelines: Lessons learned from 2021/2022AY

Peter Blackmer, Associate Chief HR Officer

Megan Boucher, Labor and Employee Relations Manager

Managers & Supervisors: “Agents of Management”

- ▶ As an agent of the university, what you do and say reflects the intent of management.
- ▶ Being a supervisor or manager is dedicated work
 - ▶ Assign work to employees - Set priorities, deadlines
 - ▶ Evaluate the quality of that work
 - ▶ Provide feedback on performance
 - ▶ Hold employees accountable
- ▶ Administrative vs. Functional Supervision

Should I Say Something?

YES. As supervisors, it's your job to:

- ▶ Address misconduct/behavior that requires correction
- ▶ Resolve on-going, evolving employee issues
- ▶ Manage performance problems
- ▶ Help employees in need of assistance
- ▶ Clarify expectations
- ▶ Communicate policy, rules, and other requirements

HAVE THE CRUCIAL CONVERSATION

Crucial conversations are the ones that, if missed or avoided, result in a deteriorating situation or the weakening of a working relationship.

The Contexts of Feedback

- ▶ Know your direct reports
- ▶ Know their union statuses – Represented vs. Non-Represented
 - ▶ Feedback versus Discipline
- ▶ What are the guiding rules? Contract, State Statute, University Policy, Federal Law
- ▶ Know their individual workloads –
 - ▶ What are their specific duties?
 - ▶ What teams do they work with?

Feedback Best Practice: CEIJ

► Claim

- Name the performance or behavioral issue observed.

► Evidence

- Provide specific examples to support the observation.

► Impact/Interpretation

- Illustrate why it is important. Put the issue in context

► Judgement

- Describes how the performance relates to expectations

Framework for Difficult Feedback Conversation

- ▶ **Stay Engaged**
 - ▶ Use Active Listening
 - ▶ Make Eye Contact
- ▶ **Speak Your Truth**
 - ▶ Focus on Evidence (not hearsay)
 - ▶ Focus on Behavior (not personality traits)
- ▶ **Experience Discomfort**
 - ▶ Be Aware of Your Emotional Reactions
 - ▶ Be Aware of Body Language
 - ▶ Acknowledge Awkwardness If Necessary



Performance and Conduct

- ▶ Performance - How well an employee performs assigned duties within the scope of their position.
 - ▶ Can't Do
- ▶ Conduct - The behaviors an employee engages in while in the workplace. The behaviors may be in the course of performing their duties, or other behaviors
 - ▶ Won't Do

10 Common Mistakes in Giving Feedback



DOs



DON'Ts

1. The feedback judges individuals, not actions.
2. The feedback is too vague.
3. The feedback speaks for others.
4. Negative feedback gets sandwiched between positive messages.
5. The feedback is exaggerated with generalities.
6. The feedback psychoanalyzes the motives behind behavior.
7. The feedback goes on too long.
8. The feedback contains an implied threat.
9. The feedback uses inappropriate humor.
10. The feedback is a question, not a statement.

► Weitzel, S., Feedback That Works: How to Build and Deliver Your Message, Center for Creative Leadership, 2000

Faculty Supervising Staff

- ▶ The majority of staff are now represented by UVM Staff United (UVMSU).
- ▶ The inaugural collective bargaining agreement was ratified on May 20, 2022.
- ▶ If you are in receipt of a grievance, you must be in touch with your Dean's office ASAP.
- ▶ LER will work with the Dean's office and you through any process.
- ▶ For both represented faculty and staff, be mindful:
 - ▶ For any investigatory meeting that may lead to discipline, the employee must be notified of their right to a union representative.
 - ▶ For any disciplinary meetings, the employee has a right to union representative.
 - ▶ This does not apply to regular meetings where you may provide feedback.

CBA Changes and Reflections



Article 14.4

Departments and academic units with responsibility for making decisions regarding reappointment, promotion and tenure cases must have approved guidelines (criteria and procedures) for RPT on file in the Provost's Office. RPT and Annual Performance Review Guidelines shall be reviewed every five (5) years. Guidelines that undergo changes at the department, college or school level will be submitted for approval to the Provost's Office by January 1 of the following year. The most recently approved guidelines will remain in force until new guidelines are approved according to the process outlined above. A unit member who is required to seek promotion within a specified time frame (i.e. Assistant Professor), or who is required to be reviewed for tenure, may choose between the RPT guidelines in place when they were hired as a tenure-track faculty member or any relevant new RPT guidelines that may have been approved by the Provost prior to March 30 of the calendar year the candidate submits their dossier for promotion or tenure. The faculty member must communicate their choice in writing to the Dean and Department Chair no later than sixty (60) days after the Provost's Office approves any relevant new RPT guidelines. Absent such written communication from the faculty member the new RPT guidelines will apply.

All approved guidelines shall be distributed to all faculty to whom they apply and must be included in the dossier of every candidate for second reappointment of tenure-track faculty, promotion and/or tenure. One copy of all approved department and college or school guidelines will also be sent to the Union. Where external review is required, a copy of the guidelines shall also be sent to any external evaluators.

Article 14.5.e - Consider Diversity and Inclusion Efforts in the Evaluation of Faculty

e. Evaluation Criteria: Tenure-track and Tenured Faculty

Instructional faculty holding the ranks of Instructor, Assistant Professor and Associate Professor shall be evaluated for reappointment, promotion and/or tenure based upon the candidate's record of performance in the areas of teaching, advising, scholarship/research/ creative work and service.

Each candidate is expected to be engaged in a program of work that is sound and productive and that can be expected to continue to develop throughout their professional career, consistent with the needs and mission of the University, and incorporating a commitment to diversity and inclusion.

- evidence of an ability to stimulate students' intellectual interest and enthusiasm.
- evidence of consideration of and/or incorporation of diversity and inclusiveness in the classroom, advising, and/or mentoring, as appropriate.

(i) Serving as an advisor to student clubs or organizations that promote diversity and inclusion on campus.

(j) Attendance at workshops and/or other professional development events regarding inclusiveness

(k) Attendance at workshops on non-discrimination, sexual harassment and diversity.

Faculty may engage in service through effective committee or other activity relating to their department or program, college or school, the University, or the Union. Faculty may make contributions through effective participation in community, state, national or international outreach or other endeavors relevant to their professional discipline, such as through service on governmental boards, commissions or task forces; accreditation teams, editorial boards, or peer review panels; professional organization committees or boards; community partnerships; involvement in local, state or national organizations that promote diversity and inclusivity in society; and the like.

Annual Performance Reviews

- ▶ Does your annual performance review process include narrative feedback?
- ▶ Opportunity to address any behavioral concerns (misconduct)
- ▶ Highlight in detail any accomplishments
- ▶ Rationale behind any ratings
- ▶ Explain any discrepancies in rated assignments
 - ▶ e.g. no teaching assigned due to low enrollments and cancelling the course
- ▶ Document expectations

Article 14.1

No member of the bargaining unit at less than 1.0 FTE will be given a retroactive increase in **their** FTE or associated benefits that affects a prior pay period.

However, in cases when a faculty member takes on a new course assignment before the end of the add/drop period in the Fall semester the faculty member will receive a new appointment letter and the resultant change in FTE and associated benefits will be made.

In circumstances where a faculty member who has had their FTE involuntarily reduced from the previous academic year accepts an additional course assignment(s) after the end of the add/drop period in the Fall semester, the University will provide compensation in the amount equivalent to what they would have earned had their FTE been increased at the start of the academic year, including any retirement contribution if such contribution would otherwise have been made.

The FTE will be adjusted prospectively; the faculty member will be notified and the workload form will be adjusted accordingly.

Article 16.2

Before any course is assigned as an “overload” to a member of the faculty whose FTE is 1.0, first refusal of that assignment will be granted to any full time faculty member in the relevant department or program whose FTE has been reduced involuntarily from the immediately preceding academic year and who management deems equally qualified to teach that course based upon credentials, teaching experience and written evaluations. This right of first refusal on the course would go into effect before offering recall rights to an individual class to non-reappointed Lecturers (per 14.10.c.2).

The offer of the course assignment will be sent to the faculty member’s UVM email. The faculty member shall have fifteen (15) days from the date of the email notification in which to accept the assignment. Acceptance or rejection of the assignment may be made orally but shall be confirmed in writing. In the case that the Lecturer accepts this assignment, their workload form and associated FTE would be adjusted accordingly, consistent with Article 14.1. If the department does not hear from the faculty member within fifteen (15) days from the date of the email notification, the assignment shall be deemed rejected and the offer of an overload course may be made to faculty with 1.0 FTE.

Article 16.4 (note the MOA)

- b. The general workload responsibilities of Lecturers and Senior Lecturers shall include teaching and may also include academic advising, service and research related to teaching, commensurate with the appropriate percentage allocations assigned to each category of activity and recorded on the workload form.

If a non-tenure track faculty member teaches eight (8) courses a year for two (2) consecutive academic years, they will be entitled to a one course reduction for the following academic year. In that third year, they will be assigned no more than seven (7) courses, with no substitute work assignment, no reduction in FTE and no increase in class capacities. In the year in which seven (7) courses are assigned, the non-tenure track faculty member will only be allowed to teach overload courses if mutually agreed upon by the Chair and faculty member and approved by the Dean.

Article 19

Subject to the customary approval by the Chair and Dean, a faculty member's workload assignments shall reflect proportionately the level of effort expended on work in which the faculty member engages pursuant to the grant or contract. The principal investigator and sponsored projects personnel will initially and, as necessary or appropriate, periodically review committed, actual, and certified effort to ensure compliance with sponsor requirements and/or guidelines.

- b. Faculty who teach credit-bearing courses or who perform non-credit work between appointment periods, will separately contract for such approved additional work and compensation. Summer session course rates shall be the same as the supplemental rates specified in Section 3.c.i of this Article or 2.75% of the faculty member's prior academic year base salary for each credit hour taught, whichever is greater. Faculty who were on an approved leave during their appointment period shall receive summer session compensation based on that year's unreduced base salary.

Effective for the summer session of 2022, summer session course rates shall be the same as the supplemental rates specified in Section 3.c.i of this Article or 2.75% of the average (mean) base salary of bargaining unit faculty, (as adjusted for 1.0 FTE as necessary, calculated as of December 1 of the year preceding the summer session) for each credit hour taught, whichever is greater. Faculty who were on an approved leave during their appointment period shall receive summer session compensation based on that year's unreduced base salary.

Where to find it:

- ▶ <https://www.uvm.edu/hrs/labor-employee-relations> (click the drop down for collective bargaining agreements)

OR

- ▶ <https://www.uvm.edu/provost/university-manual-collective-bargaining-agreements-faculty-handbooks>

Contact uvmler@uvm.edu with any questions.

Announcements & New Initiatives

12.30pm Session

Presenter:
Jane Okech, Ph.D.
Professor and Vice Provost for Faculty Affairs



The University of Vermont

NEW- UVM Mentoring Program

1. **End-Goal & target Completion Date-** *SP 2023-
Formal implementation Fall 2023*
2. **Current Status:** *Development*
3. **Immediate Next:** *Consultation & Committee formation*

NEW PROCESS

Faculty Mentoring Committee/Pool Made up of senior faculty & emerita/emeritus; select chair from committee; facilitate assignment of mentees and program planning; presenters and content etc.

Faculty Mentoring Program (Includes x 4 Events a Year)

NTT Initial Focus on Lecturers and Research Faculty

Mid-Career Faculty Program Initial Focus on Associate Professors

Workshop for Faculty Mentors (*and all faculty interested in serving as faculty mentors)

Affinity Groups (Consider Race, gender for faculty) & International faculty

Collaborate with Faculty of Color Group

Collaborate with DDEI

Collaborate with International Office

Collaborate with UVM Identity Centers in focused faculty experience

*Workshop for Faculty Mentees (**Part of the First Year Faculty Experience*)

** Mentoring faculty to advise and supervise graduate students- supervising GTAs, Dissertations and academic advising- ***Collaboration with Dean Forehand (*Part of the First Year Faculty Experience)*

Annual Social Event for Program Participants

NEW-FIRST YEAR FACULTY EXPERIENCE- Cohort Model

August-
Annual
Faculty Event
and New
Faculty
Orientation-2
Day Event
(August)

DEI: Experience of faculty difference at UVM- bridging the experience of difference; How DEI shapes faculty experience at UVM (Domestic & International Faculty); Role in RPT

PILOT (22/23AY)

Teaching: Preparing for your teaching; inclusive teaching; evaluating your teaching and documentation; Preparing & responding to student evaluations & classroom challenges; Role in RPT

PILOT (22/23AY)

Advising:
Academic advising; Undergraduate and Graduate); inclusive & responsive student advising; Student mentorship (Thesis & dissertation advising); Role in RPT

Research & Scholarship: Writing for publications; planning your research and publication program; Conference presentations; selecting publication outlets & Manuscript review process, responding to reviewers; Role in RPT

PILOT (22/23AY)

Grant writing: 101- Grant applications & funding your research- systems and structures at UVM to help you succeed; OVPR new systems for grants— OVPR & Faculty Grant Success (NTT & TT at Different ranks)

PILOT (22/23AY)

Strategic Service Engagement: Faculty Representations/ President Faculty Senate & Faculty Service Award Winners (Negotiating relationships in your program, department, college & university- being an engaged and successful citizen)

Mentoring Relationships: being a mentee-multiple mentee relationships and how to navigate and benefit from mentoring relationships-department, UVM, and external to UVM./ **Serving as a mentor to students"-** pitfalls and benefits of serving as a mentor- opportunities; DEI implications; How do you make your mentoring relationships work for you?

UVM Systems: Catamount data; Teams; LMS; My UVM; Qualtrics etc.

Reflections on 1st Year Experience: Planning for your second year; RPT process revisited; First RPT review & Reappointment; preparing for an impactful first round of review

PILOT (22/23AY)