

**Agenda**  
**EPSY Department Meeting**  
**March 6, 2015 – 9:30 a.m. to 11 a.m. – Gentry 144**

1. Welcome
2. Corrections to February Minutes (Attachment)
3. Announcements
  - a. Summer Salary Requests
  - b. Consulting: Summer and Other (Attachment)
  - c. Salary Savings Accounts
  - d. Jonathan Plucker on Fordam Institute Webinar
  - e. Email Migration (Attachment)
  - f. Kappan Submissions (Attachment)
  - g. Midterm Assessments (Attachment)
  - h. Compliance Training by May 15 (Attachment)
  - i. Dean's Research Incentive Awards (Attachment)
  - j. Deadline for Graduate Students to Accept is April 15
  - k. Lunch Meetings
    1. DDS (Gabrielle Arengé, William Estepar-Garcia, Alexys M. Heffernan, Taylor Koriakin, Jeremy B. Landa, and Tiffany K. Polk) and OSP (Hanna Verhoeven and Katerine Cotter) Winners
  - m. Women's Student Awards (Attachment)
  - n. Other
4. Guests
  - a. Financial Conflict of Interest in Research (Antje Harnisch)
  - b. Associate Dean Casey Cobb on NCATE
5. Committees Issues
  - a. Scholarship Committee (E. Jean Gubbins)
  - b. Sunshine Committee
  - c. C&C Proposal: EPSY 6655— Advanced Causal Inference with Data (Attachment – Rhoads)
  - d. Other
6. Other
7. Adjourn

# EDUCATIONAL PSYCHOLOGY DEPARTMENT FACULTY MEETING MINUTES

February 6, 2015

Attendees: R. Beghetto, M. Bray, N. Card, R. Colbert, S. Everett, J. Goldstein, J. Gubbins, J. Joo, J. Kaufman, T. La Salle, C. Little, A. Lombardi, J. Madaus, B. McCoach, B. Montrosse-Moorhead, J. O'Neil, R. Perusse, C. Rhoads, J. Rogers, L. Sanetti, D. Siegle, H. Swaminathan, S. Ware, M. Young, T. Knupp, S. Chafouleas, M. LaRusso

1. Welcome

The meeting commenced at 9:35 am.

2. Minutes

The December minutes were accepted as presented.

3. Guest – Associate Dean Sandra Chafouleas

Associate Dean Chafouleas is meeting with all of the departments to inform them of NSoE and campus-wide research changes. S. Chafouleas informed the faculty of recent developments to support research. She also shared information about new personnel in the Dean's office as well as their responsibilities.

4. Announcements

- a. Maria LaRusso who is from Harvard University was invited to attend the EPSY departmental meeting as a guest.
- b. T. La Salle announced to the faculty that Jesslyn Neves was awarded the Crandall-Corderro Fellowship.
- c. R. Colbert also announced to the faculty that William French and Victor Muratella Morales received the Crandall-Corderro Fellowship as master's students. As it did last year, the department gives each area of concentration \$1000. for recruitment of outstanding students. The only requirement is that the program must nominate the candidate for one of the graduate support awards.
- d. Vanessa Montori was awarded the CT School Counselor of the Year. For the first time, Mrs. Obama was involved and invited Ms. Montori to the White House. Vanessa is a graduate of the counseling program
- e. The 2015 Alpha Lambda Delta Faculty of the Year Award was given to Ron Beghetto.
- f. D. Siegle informed the faculty that a few days ago a COACHE survey was sent out to all the faculty. The provost office has encouraged everyone to fill out the lengthy survey.
- g. S. Everett shared with the faculty all of the events which CBER will be hosting. (see attachment)
- h. The applications for The 100 Years of Women Scholarship need to be completed by February 27<sup>th</sup>. The guidelines are that a person needs to have demonstrated a commitment to women's issues through services in their community or school.

- i. On February 20, applications for the 2015 AAUP Excellence Award are due. If faculty are interested in being nominated, please let the department know.
- j. The Financial Conflict of Interest in Research form will now be completed online. All the specific details can be read on Nancy Wallach's memo (see attached)
- k. C. Lowe requested that D. Siegle go over the graduate student acceptance processes with the faculty. First, the program makes a decision. Then, it is given to Cheryl, who puts it on a spreadsheet and sends it to the dean's office for approval. Once received back from the dean's office, C. Lowe puts the acceptance into the system and the graduate school ultimately makes the decision and sends out the acceptance letters.
- l. NCATE – the Dean will be discussing this issue at the school-wide meeting this afternoon. On March 11 someone from the NCATE group will be visiting Neag.
- m. Student evaluations are completed and have been sent to everyone. 70% of the faculty received either a 4 or a 5. Adjuncts in the department did have some issues. EPSY was rated below the university as well as the school for the first time.
- n. PTR – the proposal to move the third year review to later will not occur because changes to the PTR process must be part of contract negotiations.
- o. Grant Writing workshop are being offered. Faculty are urged to sign up early.
- p. There was an email sent out by the Provost concerning make-up snow days. The room that faculty presently use might not be what is scheduled for the make-up class. Faculty should let the registrar's office know if they want to schedule a make-up day so a room can be assigned.
- q. The Dean's Doctoral Scholars visits will begin on Sunday evening.
- r. The university has hired some individuals to enter resumes into the HuskyDM system. This should ease faculty burdens for HuskyDM

## 5. Committee Issues

- a. The MEA search has hired Dr. Aarti Bellara. She received her BA from UConn and her Ph.D. from the University of Florida. She will begin in the fall.
- b. Sunshine Committee is requesting \$40 from each faculty member for the year.
- c. C & C proposal – EPSY 5850  
Motion: Seeking approval of a new course: EPSY 5850--Introduction to the Science of Creativity.  
Result: Unanimously approved.
- d. C & C proposal – EPSY 6601  
Motion: Seeking to drop two prerequisite courses for EPSY 6601—Methods and Techniques of Educational Research. The only prerequisite will be EPSY 5605--Quantitative I.  
Result: unanimously approved.
- e. C & C proposal – EPSY 6651  
Motion: Seeking approval of a new course: EPSY 6651--Introduction to Methods for Causal Inference Using Educational Data  
Result: Unanimously approved.

- f. **C & C proposal – Undergraduate Minor**  
A vote to approve a revised proposal for a Minor in Creativity, Innovation, and Entrepreneurship was conducted on line.  
Results: 17 approved, 1 disapproved, and 1 abstained. The motion passed.
- g. **EPSY PTR guidelines – there has been a committee established and they are updating the guidelines. They will report at the next EPSY meeting.**
- h. **There will be a syllabus template created which will create a format for all syllabi. Committee will be J. Plucker, L. Sanetti, J. Gubbins and J. Madaus.**
- i. **The advising guide book will be discussed next meeting.**

**6. Courtesy Appointments**

**D. Siegle requested that the discussion be delayed.**

**7. Other**

**Nothing.**

**8. Adjourn**

**J. Gubbins motioned to adjourn the meeting. It was seconded by J. Madaus at 11:15 am.**

## AUDIT FINDINGS

By State statute, the consulting program must be audited by the Office of Audit, Compliance and Ethics. The original audit schedule was for two a year, but starting in FY 13 the requirement was revised to one audit each year.

The ninth audit, covering the period of time from July 1, 2012 - June 30, 2013 (FY 13) was issued on September 29, 2014. The auditors' overall conclusions were that the University is in compliance with CGS 1-84(r) and the University's Policy on Consulting. The auditors also concluded that the FY 13 Annual Report of the Faculty Consulting Office was materially correct.

The auditors noted a number of problems with the reports automatically created by OFCAS-2. As referenced above, many of the problems with OFCAS-2 were corrected during its first year of operation (FY 13) and the operation of this system (including the quality of the data it records) is significantly improved in FY 14.

The auditors also recommended that year-to-date reports be provided to the departments chairs concerning their faculty's consulting activities as well as reminders to the chairs and faculty to document that permission was given to consult on specific days/times when that faculty member would normally be expected to be at work. Such reports have been issued at UConn Health for the first quarter of FY 15 and similar reports are expected to be issued by the rest of the University later in the fall.

The auditors also raised concerns about a small number of faculty members who appear to have consulted during the summer while being paid 100% to be working on research grants. Each of these faculty and their department heads were contacted, some refuted the claims, and steps were taken to remind decision makers that full-time summer employed faculty must document they have allocated full-time to such work (i.e. and no effort has been diverted for consulting.)

Requests	Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
#	1117	21	72	66	338	227	68	81	24	56	125	24	15
%	100%	1.88%	6.45%	5.91%	30.26%	20.32%	6.09%	7.25%	2.15%	5.01%	11.19%	2.15%	1.34%
Unique Faculty	Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
#	460	7	32	32	161	68	38	32	14	23	34	11	8
%	100%	1.52%	6.96%	6.96%	35.00%	14.78%	8.26%	6.96%	3.04%	5.00%	7.39%	2.39%	1.74%
Requests/faculty	Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
mean	2.41	3.00	2.25	2.06	2.10	3.34	1.79	2.53	1.71	2.43	3.68	2.18	1.88
10 or more requests	12	-	1	-	2	3	-	1	-	1	3	1	-

Colleagues,

We are writing to faculty and staff who have accounts on the central university email and calendar service to notify you about the university migration from our local Exchange environment to Microsoft Office 365, currently scheduled for April 10<sup>th</sup>.

Office 365 is a hosted suite of software, services, and capabilities, available as part of our existing enterprise relationship with Microsoft. It provides familiar communication and collaboration services, such as email, calendar, file sharing, online conferencing, and instant messaging, via a contemporary cloud-based platform. It also includes access to Office Online, Microsoft applications (e.g., Word, Excel, PowerPoint) that you can access from almost any device with a browser and Internet connection. Other benefits of Office 365 include:

- Unlimited online storage on OneDrive
- Enhanced mobile connectivity
- Advanced document sharing with simultaneous writing and editing capabilities
- 50GB mailbox size

University Information Technology Services (UITS) and our IT governance body have designed an institutional email and calendar service utilizing Microsoft Office 365. The upcoming migration will entail the transfer of existing email and the delivery of future email to the new environment. Desktop Outlook clients will automatically reconfigure, but mobile devices that receive email, IMAP email clients, and Apple Mail will need to be manually reconfigured. For individuals who directly forward to other email systems, this forward will continue after the migration. Student email accounts will remain on Google.

Closer to migration, we will provide you with additional information and support, both online and in-person, to make this change as well as resolve any issues you may have with Office 365. Please look for additional communications from UITS as we approach the migration date. For more information about Office 365 and the evolution of this initiative at UConn, visit <http://office365.uconn.edu/>.

Regards,

Michael Mundrane  
Josh Boggis  
Haleh Ghaemolsabahi  
George Assard  
Tom Corso  
Jessica De Perio Wittman  
Alex Delcampo  
Gary Hendrickson  
David Logan  
Geoffrey Meigs  
Tony Molloy  
Scott Nixon  
Kyle Pelletier  
Joel Salisbury

Karen Skudlarek  
Chris Tarricone

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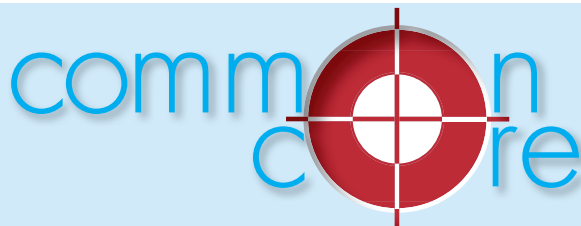
Michael R. Mundrane, Ph.D.  
Vice Provost for Information Technology and CIO  
University of Connecticut  
(860) 486-1777

# Kappan Call for Manuscripts, 2015-16

*Kappan* is committed to being a lively magazine that explores the many issues surrounding K-12 education. Because our audience is largely composed of K-12 practitioners, we are most interested in exploring topics that will be interesting to K-12 educators and valuable in their day-to-day work. We seek articles that are written in a conversational style and draw lessons from both research and practice. We welcome submissions from researchers as well as teachers who we believe have vital stories and insights to share with others.

The questions included with each theme are not intended to be exhaustive but merely meant to be helpful to writers as they consider topics for publication.

Please review *Kappan's* Writer's Guidelines before submitting a manuscript. Editors will not consider manuscripts that do not meet the guidelines. All submissions should be sent to [manuscripts@pdkintl.org](mailto:manuscripts@pdkintl.org). This will ensure that a *Kappan* staff member acknowledges receipt of your submission and includes the manuscript in our review process.



## **Kappan's Common Core Writing Project**

*Kappan* has an ongoing interest in manuscripts related to implementation of the Common Core. As part of the Get it Right project sponsored by the Learning First Alliance, *Kappan* is developing a separate web site that will make all of our Common Core articles available to all educators. In addition, because space in *Kappan* is

limited, *Kappan* editors will also be reviewing and editing some Common Core articles for online-only publication.

We have a special interest in how individual teachers or teams of teachers have adapted their instruction in light of Common Core standards, and we will be reserving a portion of the web site to present those articles. We also are especially interested in manuscripts that address how districts and states have overcome challenges related to implementation and what lessons these experiences can provide to other educators.

## **What can the U.S. learn from schools around the world?**

**Deadline for submissions: August 1, 2015**

Educators around the globe face many of the same challenges as American schools. Instead of looking only inside our borders for answers, we want to devote an issue of *Kappan* to looking beyond the U.S. to learn who has made significant progress on some of the same challenges facing American schools. Manuscripts should identify a single large problem, explore how a particular nation or nongovernmental organization tackled it, and present ideas about how the same solution could translate to American schools. *Kappan* will consider a variety of topics for this issue including teaching quality (preparation, recruitment, and retention), immigration, changing demographics, assessment and evaluation practices, educating low-income students, professional development, early literacy, dropouts, ramping up the image of the profession, career-technical education, improving learning in core subject areas (mathematics, science, and language arts), and getting technology into the hands of impoverished/remote students.

## **Immigration**

**Deadline for submissions: September 1, 2015**

Immigration and the history of the United States are inextricably linked. Throughout the history of public education, American schools have been regarded as vital in shaping new arrivals for citizenship. But immigrants are playing an equally important role in shaping American schools. *Kappan* will consider manuscripts that examine this complex and changing dynamic. What role should American schools play in helping immigrants assimilate? How do schools help immigrant students adapt when they have been traumatized by the violence in their home countries? How have immigrants changed American schools? How has the immigrant role in American public education changed over the decades? What accommodations, if any, are schools making to serve immigrant students? How have other countries responded to rising numbers of immigrant students? How have American schools embraced — or not embraced — immigrant teachers?

## **College access and opportunity**

**Deadline for submissions: October 1, 2015**

Earning a college degree results in greater individual earnings and having a population where more adults have at least a postsecondary education is good for the American economy. But we need to send more under-represented students on to higher education — especially those who would be first-generation students or from low-income, African-American, Hispanic, and Native American homes. What can K-12 schools do to increase the number of under-represented students who enroll in college ready to succeed? What obstacles prevent more under-represented students from enrolling in two- and four-year institutions? What strategies have been successful at boosting the number of under-represented students in enrolling in and being successful in college? Early college? Dual enrollment options? Mentorship programs? Community-wide scholarship programs? What can K-12 schools do to prepare these students to be savvy consumers as they select among many higher education opportunities? How can high schools help students be best prepared to take charge of the significant financial commitments of postsecondary education?



## Teacher tenure

**Deadline for submissions: *November 1, 2015***

A perennial hot topic in education, tenure is in the spotlight more than ever. We are not interested in manuscripts that detail the history of teacher tenure but manuscripts that would help the United States chart a future course. Do educators still need a system of tenure? Does the current system of tenure provide teachers with sufficient job protection or should states and districts be doing more? How do tenure protections for teachers compare to job protections in other careers? Does tenure hurt or improve student learning? What evidence is there that tenure has hurt or improved the quality of America's teaching workforce or the ability to recruit teachers into the profession? Does tenure hurt or improve teachers' willingness to be innovative? What other strategies should we consider for ensuring that teachers are able to teach without fear of being discharged for personal or political reasons? What similar systems of protection are in place for teachers in other countries?

## Building a better teacher

**Deadline for submissions: *December 1, 2015***

As the debate about improving schools has continued, much of the conversation has shifted to include teacher preparation programs. Among the questions that manuscripts might consider are these: Who's responsible for improving teaching quality? What should be the federal government's role in improving teacher quality? What systemic supports (at the teacher preparation or school-district level) need to be in place to raise the overall level of teacher quality? What changes are occurring in traditional teacher preparation programs aimed at improving the quality of teaching? Why are those changes the right changes to make? What are charter schools and other education reform groups doing to improve the quality of teaching in their schools? Is there a place for teacher residencies in any of these scenarios? What are other countries doing to ensure high-quality teaching in their schools?

## The role of sports at school

**Deadline for submissions: *January 1, 2016***

Once an unquestioned part of American schools, sports programs are now threatened by budget cuts, concerns about safety, and questions of equitable access. Even as they become an almost essential part of a student's college application, budget cuts threaten to limit the number of sports and the number of students who can participate. What is the proper role of athletics in American schools? Are sports necessary for a well-rounded education for college- and career-ready students? In particular, what is the future of high school sports? Would a European-style sports program, which rely on clubs rather than schools to assemble teams, make more sense for American schools? If schools choose to continue sports, how can they ensure equitable access in an era of budget cuts? What is the evidence that incorporating sports into school life improves academics? How should schools evaluate the value of sports and other extracurricular activities if budget limits require choices?



**Submit manuscripts to [manuscripts@pdkintl.org](mailto:manuscripts@pdkintl.org)**

*Sent on behalf of Vice Provost Sally Reis.*

Dear Colleagues:

This is the time during the semester when we encourage faculty, particularly those who are working to improve their teaching, to use formative assessment to gain some perspectives on students' perceptions of classes. Formative Assessment is often used to understand students' perceptions about their progress in the class, to guide faculty instruction, and help teachers consider which additional learning opportunities are needed to ensure success. Utilizing formative assessment enables faculty to adjust the rest of the semester to address students' learning needs and outcomes.

I write to ask you to encourage your faculty who want to improve their teaching to consider using mid-semester formative assessment. The [Institute for Teaching and Learning](#) (ITL) provides a good deal of information about what we have available, including various questionnaires that can be used in different types of classes to gather input on teaching.

Please remind your faculty that we hope that they will collect other evidence of teaching effectiveness besides simply relying on one measure, such as the SET. For example, faculty and instructors who want to have observations scheduled and receive feedback can work with ITL. ITL offers both a one-time observation or successive observations for continuing work. All observations involve a pre-observation and post-observation meeting with the consultant. Faculty will receive a confidential written report for each observation. Department heads can also observe classes and provide written comments for a faculty's teaching records. Faculty can also collect exemplary syllabi, letters and emails from students, as well as other evidence of effectiveness.

Please have your faculty contact Dan Mercier, the Director of our Institute for Teaching and Learning, if they should want to use one of these methods for formative assessment in their courses this spring.

Thank you for all you do to improve teaching and learning on our campus.

Sally

# ANNUAL COMPLIANCE TRAINING 2015

In-person sessions of the University's mandatory Annual Compliance Training will be held during the Spring Semester at the Student Union Theater. **Please note the new location.** Individuals arriving later than 10 minutes after the start of the session will not be permitted to enter the Theatre. **Registration for the in-person sessions can be made through the [prodev.uconn.edu](http://prodev.uconn.edu) site.**

Each training session is approximately 90 minutes. To receive credit for the training, attendees must remain for the entire session. This year's topics include:

The University Code of Conduct

The Guide to the State Code of Ethics

Health & Safety in the Workplace

All employees must complete the Annual Compliance Training. Graduate Assistants, Students and individuals on Special Payroll are not required by the University to complete the training; however individual departments may choose to make it mandatory.

**The deadline for completing the 2015 Annual Compliance Training is May 15, 2015.**

In the event of inclement weather, please check your email for session cancellations. Those sessions cancelled due to weather will be rescheduled for a later date.

Please email our office if you need sign language interpreter services or accessibility considerations. OACE should be notified at least two weeks prior to the session in order to confirm availability.

We expect the online training to be available in February. A Daily Digest announcement will be made when it becomes available.

For questions, regarding the training, please contact OACE via email: [compliance.training@uconn.edu](mailto:compliance.training@uconn.edu).

## **DEAN'S RESEARCH INCENTIVE AWARD Spring 2015**

### **Instructions to Applicants**

#### **Purpose**

The purpose of the Dean's Research Incentive Award (DRIA) is to enhance research activity in the Neag School of Education. Applications are invited from faculty who will use the funds for seed projects that facilitate acquisition of external funding. Successful applications will promote, support, and enhance the research, scholarship, and creative endeavors of Neag faculty, with priority given to those which align with a strategic area(s) within the Neag Academic Plan (Creativity & Innovation, Equity & Social Justice, STEM Education, and Educator Quality & Effectiveness).

#### **Application & Funding Dates**

Applications must be submitted by close of business on **March 23, 2015**, with notification of funding decisions by April 15, 2015. Funding will be available for use up to one year, at which time unexpended funds will revert back to the Dean's Office. [Note that release of funds will be contingent upon securing IRB approval (as appropriate).]

#### **Eligibility Criteria**

All full-time faculty (tenure track, in residence, research, clinical, extension) of the Neag School of Education are eligible to apply. Previous DRIA award recipients are ineligible to apply for two years following their most recent DRIA award receipt, and to be eligible, previous award recipients must demonstrate successful use of prior funds and establish that the proposed project is uniquely different than the prior project.

#### **Funding**

A maximum of \$5,000 per proposal may be requested for a single Neag PI, whereas up to \$10,000 may be requested for applications with more than one Neag Co-PI. It is anticipated that up to \$50,000 will be available in the spring 2015 competition.

Funds provided by the Dean's Research Incentive Award must be used for expenses associated with the proposed research during the term of the award, such as research assistance, data collection, participant incentives, data entry, transcription and/or dedicated project equipment. These funds may not be used for faculty salary, conference attendance, or travel for other than data collection purposes. Applicants are encouraged to discuss the proposed budget with the Neag Research Office, Grants & Contracts Specialist ([daniel.stolzenberg@uconn.edu](mailto:daniel.stolzenberg@uconn.edu)), before submitting the application.

#### **Application Procedures**

Proposals should be single-spaced, prepared on standard (8.5x11") paper, with one-inch margins and font no smaller than 12 point. The proposals must be paginated as a single document and should be submitted electronically as an attachment (.pdf format) to Donalyn Maneggia, at [d.maneggia@uconn.edu](mailto:d.maneggia@uconn.edu) by close of business on **March 23, 2015**.

Applications must include the following, in the order listed, and should be no longer than 5 pages (inclusive of all items listed with the exception of the cover page, biosketch and key citations):

- **Cover Page** - including specification of (a) project title; (b) PI and other collaborators (key personnel); (c) total amount requested; (d) project period; and (e) abstract not to exceed 300 words and containing a statement of the objectives of the proposed project, methods to be employed, and the significance of the proposed activity.

- **Proposed Research Narrative** – Description of the *why* and *what* of the proposed research project should be provided in sufficient detail to enable review. The narrative should include each of the following elements:
  - **Statement of Need.** What problem is this project attempting to solve, and why is it needed? If applicable, how does it align with the strategic areas within Neag Academic Plan?
  - **Goals and Objectives.** How do you define the specific aims of this project?
  - **Project Activities, Evaluation, and Outcomes.** What are you proposing to do, what are the expected outcomes, and how will you know if it has been accomplished?
  - **Project Management.** What is the project timeline and who is responsible for which aspects?
  - **Budget and Corresponding Justification.** How much is needed across broad categories of spending, and why? Use the templates provided by the Office of the Vice-President of Research to guide preparation: <http://research.uconn.edu/sps-proposals/proposal-preparation-guidelines/budget-prep-guidelines/budget-spreadsheets-and-calculators/>. Note that a statement to indicate other funding sources related to this project (completed, current, pending), must be included.
  - **Next Steps in Securing External Funding.** How is this project positioned as providing seed funding for external funding pursuits, and what are those sources? Why are results necessary toward pursuing external funding?
- **Key Citations.**
- **Two-page biosketch.** Formatted typical of an NIH or NSF template (but maximum 2-pages), with a biosketch included for all key personnel.

### Review Procedures

Applications for the Dean's Research Incentive Award will be reviewed by a three member committee of faculty scholars and/or previous DRIA's Award recipients appointed by the Associate Dean for Research. The Associate Dean for Research will serve as Chair of the award selection committee. The committee will provide summary written feedback on proposals, and may request additional information and/or modifications to the original proposal.

### Expectations

- Awardees must agree to provide a brief written update on progress within two months of the close of the award period, and are expected to provide a final written report of grant activities within 6 months following the end of the award period.
- Awardees are expected to apply for external funding and submit publications to peer-reviewed journals following project completion. New applications to this competition will not be accepted if these conditions have not met, even if two years since a last submission has passed (see eligibility criteria above).

Questions please contact Donalyn Maneggia [d.maneggia@uconn.edu](mailto:d.maneggia@uconn.edu) or 860-486-1407 or visit Gentry 315E

The Provost's Office, the Alumni Association, and the Women's Center annually sponsor the Outstanding Senior Women Academic Achievement Awards Ceremony, which recognizes women **graduate students** who have excelled academically within each school/college and demonstrated high achievement in research and service to the University community. A reception will be held in their honor during graduation weekend.

We are requesting that each of the Deans identify the recipient(s) from your school/college.

We encourage you to share this information with your faculty, and we will continue to indicate that **nominations should be submitted to the appropriate Dean, who will be responsible for selecting the final recipient and forwarding that information to the Women's Center.**

**TO SUBMIT YOUR RECIPIENT INFORMATION:**

Please complete the attached form and return to Donalyn Maneggia [d.maneggia@uconn.edu](mailto:d.maneggia@uconn.edu) by March 9<sup>th</sup>. Associate Dean for Research, Sandy Chafouleas will select the final recipient and forward the information to the appropriate office.

Eligible students are limited to those graduating in summer 2014, fall 2014, or spring 2015.

**SUBMISSIONS ARE DUE BY MARCH 9<sup>th</sup>, 2015.**

The awards ceremony will take place on Friday, May 8, 2015 from 4:00-6:00 p.m. at the Alumni Center at 2384 Alumni Drive on the Storrs Campus.

Questions or concerns, please contact Donalyn at [d.maneggia@uconn.edu](mailto:d.maneggia@uconn.edu) or 860-486-1407





## COURSE TRANSMITTAL FORM

FIRST NAME

LAST NAME

STUDENT ID # (SEVEN DIGITS)  NETID  PHONE

EMAIL

Create New Course (complete entire form)  Revise Existing Course (complete 1, 8 & revisions)  Inactive Course (complete 1 & 8)

1. Term in which the course or the change will become effective

2. Short Title   
(30 characters or fewer)

3. Full Title   
(100 characters or fewer)

4. Consent  Instructor  Department  None  
(check one)

5. Grading Basis  Graded  S/U  Other   
(check one) (explain grading basis)

6. Number of units  or variable from  to  units

7. Repeatable for credit?  Yes  No  
If yes: Total units allowed   
Total completions allowed   
Allow multiple enrollments in same term?  Yes  No

8. Subject area  Assigned catalog number

9. Is this course a successor to an existing course?  Yes  No

If yes please provide subject area  and catalog number



**10. Separately scheduled course components (choose all that apply)**

Component	Primary component (choose only one)	Graded component (yes/no)	Section size (enrollment)	Weekly class time (hours)	Final exam (Yes/No)
Lecture					
Laboratory					
Discussion					
Seminar					
Practicum					
Clinical					
Field studies					
Independent study					

- 11. Attributes**      \_\_\_\_\_ Off-campus course (location: \_\_\_\_\_ )  
                                  \_\_\_\_\_ Year-long course

**12. Course description**

**13. Course equivalency**

Course subject

Course number

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



**14. Prerequisites and enrollment requirements**

Prerequisite courses

Course subject

Course number

Course 1:	_____	_____
Course 2:	_____	_____
Course 3:	_____	_____

Enrollment requirements

**15. Course topics**  
(if applicable)

Topic (section) number	Title	Repeatable (yes/no)

**16. Approval record**

Please send the URL for the documenting curricula and course committee minutes (if available on the web) or attach the documents and send this form via e-mail to [gradit@uconn.edu](mailto:gradit@uconn.edu). You may also send a hard copy to the Graduate School.

**University of Connecticut**  
**EPSY 6655: Advanced Causal Inference with Data**  
**Spring 2014**

**Instructor:**

Chris Rhoads

Office Hours: Tu 9:30-12, 3-4 or by appointment.

Office: Gentry 337

Email: [christopher.rhoads@uconn.edu](mailto:christopher.rhoads@uconn.edu)

**Class Location and time:** Gentry 436; Tu 12:30-3:00 PM

**Brief course description:**

This course is an exploration of the problems that arise in making inferences about causal effects from non-experimental data and some potential solutions to those problems. Topics covered include: regression approaches to causal inference; paradoxes that arise when interpreting non-experimental data; the “potential outcomes” approach to causal inference (often called Rubin’s Causal Model); univariate and multivariate matching methods; multivariate distance measures; propensity score estimation methods; using the propensity score to match, subclassify and weight; Instrumental Variables applications of Rubin’s Causal Model; Directed Acyclic Graphs.

**Course Overview:**

This course is intended to be an introduction to modern statistical thinking about causal inference. Beginning in the early 1970’s Don Rubin and his colleagues began formalizing statistical thinking about causal inference. Their perspective (often called the Rubin Causal Model, or RCM) had its origins much earlier in statistics, but the formal expression of those ideas and their exploitation in research is comparatively recent. This class will illustrate the utility of this simple model for bringing clarity to many issues that arise when trying to make causal inferences from non-experimental data.

We begin with an overview of regression approaches to causal inference and a brief comparison of regression methods with methods motivated by Rubin’s causal model. We think about the rationale for the belief that randomized experiments provide a “gold standard” level of evidence about causal effects. We introduce Lord’s paradox and illustrate the usefulness of RCM in helping to think about (some would say solve) this paradox.

The next major topic is methods for matching. We explore the early writings of Rubin and Cochran (late 1960s and 1970s) on the topic of matching methods as an alternative to regression. We start with procedures for matching on a single covariate, but quickly move to a consideration of matching on multiple covariates. We examine matching via the best linear discriminant score, the Mahalanobis metric, and the propensity score as a generalization of these ideas. We look at different methods for estimating the propensity score, and we explore different uses of the propensity score (and other multivariate

distance measures) to facilitate causal inference in the context of RCM. These uses include matching, stratification and weighting based on the propensity score. We also consider methods that use propensity scores in combination with regression modeling. Finally, we consider arguments for preferring propensity score approaches to regression based approaches.

Over the last few weeks of the semester we briefly explore two other topics in causal inference. First, we show how RCM facilitates the correct interpretation of the causal estimates provided by instrumental variables methods. Second, we look at an alternative approach to causal inference, Directed Acyclic Graphs.

### **Comments on course philosophy and student participation:**

This course will be organized as a seminar course. The readings will consist mainly of original papers published in academic journals over the last 40 years. I may provide a brief introduction to some of the papers you will read, and I will provide some information about mathematical and notational preliminaries for papers that use notation with which you may not be familiar. However, the vast majority of each class session will be devoted to a class discussion of the reading for that week. It is therefore essential for students to come to class well acquainted with the readings for that week so that they can actively participate in class discussions. The nature of the papers we will read is such that they need to be read slowly, carefully and more than once in order to be fully understood. See the “evaluation” section below for details on the grading of class participation.

### **Prerequisites**

Students must have completed EPSY 6651: Methods and Techniques of Educational Research and EPSY 5610: Applied Regression Analysis for the Education Sciences before enrolling in this class.

### **Course Objectives:**

Students will:

- Learn how to comprehend and critique important research papers in the area of applied statistics and causal inference.
- Learn to appreciate the combination of technical expertise and thoughtfulness about critical assumptions that is necessary to create high quality quantitative research about important questions in the social sciences.
- Understand the implications of Rubin’s causal model for defining causal questions of interest.
- Gain familiarity with software for conducting data analyses using propensity scores and related distance measures
- Demonstrate ability to conduct an independent research project in the area of causal inference from data.

## Evaluation

There will be two components to the evaluation.

(1) Reading reflections (50% of final grade): Each week I will provide a list of questions relating to the readings for that week. I will use these questions to guide the discussion for the week. You are expected to have answers to these questions prepared prior to class time so that you may draw on these answers in the context of the class discussion. You should not be concerned about the “correctness” of your answers. Indeed my expectation is that for many questions you will be unsure of the answer while you are reading. The answer should “reveal itself” over the course of our class discussion. Additionally, towards the end of the semester there will be some in-class group data analysis activities (with the work possibly completed outside of class if time constraints necessitate). You are expected to fully participate in solving the relevant data analysis problems.

Grading: Class participation will be graded according the following rubric.

- “Excellent” (numerical grade=100). Level of class participation shows clear evidence of having carefully read all assigned readings. Asks multiple questions/makes multiple comments that show clear evidence of forethought. Comments show evidence of attempting to synthesize themes across multiple papers. Responds to instructor’s and classmates’ questions thoughtfully.
- “Good” (numerical grade=90). Level of class participation shows clear evidence of having completed all the readings. Responses in class show engagement with the material and with questions posed by the instructor and classmates.
- “Adequate” (numerical grade=80). Level of class participation shows evidence of having completed at least some of the assigned reading. Responses in class show evidence of a surface reading of the material but do not show a strong level of engagement with the key questions.
- “Fair” (numerical grade =70) I am unable to determine from your level of class participation whether you completed all of the readings. Responses to questions posed by instructor and classmates are inadequate in that they show a lack of knowledge of the content contained in the reading.
- “Poor” (numerical grade=60). Responses to questions posed by instructor and classmates show clear evidence that little to none of the reading was completed
- “Absent” (numerical grade=0) student is absent and does not turn in responses to reading questions.

There may be occasions where a student feels that her level of participation in class for a given day does not adequately reflect the effort she put into the readings for the week. Therefore, I provide the option for students to turn in their responses to the reading questions for that week. Turning in your responses can only raise your participation grade (it cannot lower your grade). Responses must be turned in to HuskyCT within 2 weeks after the class in question in order to count for grading purposes (so, for instance, week 1 questions are due no later than week 3, week 2 questions are due no later than week 4, etc.). Preliminary participation grades will be posted within one week of class so

that students may choose to submit or not submit written responses based on preliminary grades. Additionally, if you are absent from a class you must turn in your responses to the reading questions for the week you are absent or else you will receive an “X” for that week’s class participation grade. You may drop your lowest “class participation” grade.

(2) Term Paper and Presentation (50% of final grade): You will conduct research throughout the semester which will lead to the writing of a term paper (suggested length: 10-30 pages, double spaced, 12 point font). It is anticipated that certain types of projects (eg. empirical data analyses or a literature review) will result in longer term papers whereas other types of projects (eg. original research that is mathematical in nature) may result in shorter term papers. The last two sessions of the semester will be reserved for 20-25 minutes presentations by each of you about your research. Possible types of research projects include:

- (a) an empirical research project that involves either: (a) analyzing data using one of the methods described over the course of the semester or (b) using another method that is an outgrowth of work in the causal inference area, such as principal stratification (ie. using propensity score methods to investigate a research question using an existing dataset).
- (b) an overview of methods that have been used to attempt to identify causal effects in a particular research area (ie. a review of attempts to use data to identify malleable factors that influence enrollment in higher education and a commentary on the validity of the causal claims that resulted).
- (c) a literature review of an important methodological topic relating to causal inference from data (ie. matching methods, weak instruments, propensity score matching in a multi-level context, etc.).
- (d) original research attempting to solve a problem or address a gap in the literature relating to causal inference from data (ie. “A new method for identifying important covariates to use in propensity score matching” or “A method of model selection that ensures optimal identification of casual effects” or Rhoads, 2011).

In order to help students identify possible topics for the term paper a reference list organized by topic area is provided at the end of this syllabus.

Grading: Grades for the term paper and presentation will be determined as follows:

A+ (numerical grade= 100): Paper is exceptionally thorough and is a demonstration of high quality original research. Any data analysis technique utilized is performed flawlessly. Presentation is well organized and thought out.

A (numerical grade=95): Paper shows a strong effort to identify and write about an important problem in causal inference. Final product demonstrates substantial engagement with and understanding of the relevant literature and/or substantial understanding of how to use any data analytic technique that was utilized. Presentation is well organized and thought out.

A- (numerical grade=90): Paper is well thought out but may have some minor flaws in execution or has failed to thoroughly explore the relevant literature. Presentation is adequate.

B+ (numerical grade=85): Conceptualization of paper is hazy. Shows some understanding of the relevant literature but also some clear misunderstandings of relevant concepts or shows one or two major flaws in the execution of a relevant data analytic technique.

B (numerical grade=80): Idea for paper is poorly thought out. Only a cursory review of relevant literature is provided. Multiple flaws in the execution of any data analytic technique used are evident.

C (numerical grade=70): It is not clear that the person writing this paper was conscious during class this semester.

Grades for course: Grades will be assigned as follows:

99-100: A+

92-98: A

88-91: A-

83-87: B+

78-82: B

71-77: B-

60-70: C

50-59: D

Below 50: F

### **Deadlines:**

1) March 25: In order to ensure adequate progress is being made on the term paper, students will be required to submit a brief (0.5-1.5 page) summary of their research topic, including a bibliography (not included in page length), by this date.

2) May 9: Final paper is due by 4 PM.

### **Academic Integrity**

Student academic and scholarly behavior shall be consistent with conduct delineated in the University of Connecticut *Policy on Scholarly Integrity in Graduate and Post-Doctoral Education and Research*. This statement is available at:

<http://policy.uconn.edu/?p=3282> Students are responsible for the understanding the forms of scholarly misconduct described in the policy. The Dean of The Graduate School shall coordinate the reporting, investigation, and determination of alleged breaches of scholarly integrity by graduate students in accordance with this policy. Student misconduct other than scholarly misconduct is governed by the University's Student Code, which is administered under the direction of the Office of the Provost. This statement is available at: <http://community.uconn.edu/the-student-code-preamble/>

## Religious Observance

After reviewing the syllabus carefully, if, due to your religious observance, you foresee an absence from a class meeting or a conflict with a due date for an assignment or an exam, please inform the instructor in writing within the first three weeks of the semester. Prior to the anticipated absence, take the initiative to work out with the instructor a schedule for making up missed work. For conflicts with final examinations, students should contact the Office of Student Services and Advocacy.

## Reasonable Accommodation

The Center for Students with Disabilities (CSD) at UConn provides accommodations and services for qualified students with disabilities. If you have a documented disability for which you wish to request academic accommodations and have not contacted the CSD, please do so as soon as possible. The CSD is located in Wilbur Cross, Room 204 and can be reached at (860) 486-2020 or at [csd@uconn.edu](mailto:csd@uconn.edu). Detailed information regarding the accommodations process is also available on their website at [www.csd.uconn.edu](http://www.csd.uconn.edu).

## Course readings

Most readings will be made available on HuskyCT. In addition, towards the end of the class we will read a few chapters of the following book:

Murnane, R. J., & Willett, J. B. (2011). *Methods matter: Improving causal inference in educational and social science research*. New York, NY: Oxford University Press. (Available as e-book from UConn library website).

## Course Outline

- January 21    *Overview, administrative details, regression and causal inference*  
Morgan and Winship (2007; pp. 1-12)  
Freedman (1991) (and commentary)
- January 28    *Experiments, observational studies, Rubin's Causal Model*  
Review of week 1 material  
Rubin (1974)  
Begin Holland (1986) (and commentary)
- February 4    *Lord's Paradox*  
Review of Rubin (1974)  
Holland (1986) (and commentary)  
Lord (1967)  
Lord (1969)
- February 11    *Lord's paradox continued*

- Holland & Rubin (1983)  
Wainer (1991)  
Wainer & Brown (2007)
- Early matching methods: matching with a scalar covariate*  
Rubin (1973)
- February 18 *Early matching (continued)*  
Rubin (1973)
- Multivariate matching and Best Linear Discriminant Scores*  
Cochran & Rubin (1973)
- The invention of the propensity score (begin)*  
Rosenbaum & Rubin (1983)
- February 25 *The invention of the propensity score (complete)*  
Rosenbaum & Rubin (1983)
- Using the propensity score (begin)*  
Rosenbaum & Rubin (1984)  
Rosenbaum & Rubin (1985)
- March 4 *Using the propensity score (complete)*  
Rubin (1997)  
Rubin (2001)
- Matching: A review*  
Stuart (2010)
- March 11 *Using propensity scores: The MatchIt Software.*  
Ho, Imai, King and Stuart (2011)
- March 18 **SPRING BREAK**
- March 25 *Boosted Regression for Estimating Propensity Scores: The twang software*  
McCaffrey et al. (2004)  
Ridgeway et al. (2013)
- April 1 *Applications of RCM: Understanding Instrumental variables*  
Angrist, Imbens, & Rubin (1996)  
Murnane and Willet Chapter 10
- April 8 *Instrumental variables for experiments with non-compliance*  
Murnane and Willet Chapter 11  
Little & Yau (1998)



April 15      *An alternative approach: Directed Acyclic Graphs*  
Elwert (2013)  
Greenland and Pearl (2006)

April 22, 29    **Student Presentations**

April 29      **Student Presentations**

May 9          Final Paper due to HuskyCT by 4:00 PM .

**Additional topics of potential interest for term paper and/or  
supplemental paper presentation (available on HuskyCT)**

*Sensitivity Analysis*

Liu, Kuramoto and Stuart (2013)  
Shepherd, Gilbert and Mehrotra (2007)  
Frank, Maroulis, Duong and Kelcey (2013)  
Pan and Frank (2003)

*Applications of Rubin's causal model: Understanding Mediation.*

Imai, et al. (2010)  
Rubin (2004)  
Albert (2008)  
VanderWeele (2010)  
Hafeman and VanderWeele (2010)

*Double Robustness:*

Kang and Schafer (2007)  
Schafer and Kang (2008)

*Critiques of Rubin's Causal Model:*

Dawid (2000) and comments.

*Comparing Rubin's and Campbell's ideas on Causal Inference:*

Maxwell (2010)  
Shadish (2010)  
West and Thoemmes (2010)  
Rubin (2010)  
Imbens (2010)

*Causal Inference for "immutable" characteristics*

Greiner and Rubin (2011)  
Greiner (2008)  
Boyd, Epstein and Martin (2010).

*Combining Matching and Predictive Methods:*

Rubin (1979)  
Reinisch (1997)  
Smith (1997)

*Full Matching*  
Hansen (2004).

*Assessing Balance*  
Hansen and Bowers (2008)

*Propensity Scores in Practice: a debate*  
Rubin (2007)  
Shrier (2008)  
Rubin (2008)  
Pearl (2009)  
Soljander (2009)  
Rubin (2009)  
Pearl (2010)  
Woolridge (2009)

*Generalizing the Propensity Score*  
Hirano and Imbens (2004)  
Imai and van Dyk (2005)  
Feng, et al. (2010)  
Kluve, et al. (2007)  
Hansen (2008)

*Expanding Rubin's causal model: Relaxing SUTVA.*  
Hong and Raudenbush (2006)  
Sobel (2006)  
Rosenbaum (2007)  
Hudgens and Halloran (2008)

*Extending Instrumental Variables: Principal Stratification.*  
Frangakis and Rubin (2002)  
Zhang and Rubin (2003)  
Jin and Rubin (2008)  
Barnard et al. (2003)

*Causal Inference in Randomized Experiments: The Bayesian Perspective*  
Rubin (1978)