2019 Promotion and Tenure Workshop

Dr. Kathleen Bieschke
Vice Provost for Faculty Affairs
Thursday, September 26, 2019
Today’s Topics

- Role and Overview of the Office of the Vice Provost for Faculty Affairs (VPFA)
- P&T Policies and Processes, including AC23 (formerly known as HR23)
- Administrative Guidelines
- P&T Levels of Review

- P&T Review Committee Roles and Responsibilities
- The Dossier
- FAQs
- Activity Insight Improvements and Changes
My Role in Faculty Affairs

- Dedicated to ensuring that all University faculty have every opportunity to be successful
- Work closely with Provost in areas including promotion and tenure, faculty development, executive searches and reviews, and academic personnel issues/concerns
- Liaison for Provost, President to Penn State college deans and campus chancellors
VPFA Office Staff

- Jennifer Hamer, Associate Vice Provost for Faculty Affairs, Faculty Development, jfh5819@psu.edu
- Tineke Battle, Assistant Vice Provost for Faculty Affairs, Human Resources, txb683@psu.edu
- Karen Parkes-Schnure, Executive Assistant to the Vice Provost for Faculty Affairs – primary P&T contact, kig138@psu.edu
- Mindy Kowalski, Administrative Support Coordinator, msk22@psu.edu
- Wendy Blumenthal, Administrative Support Assistant, wjy100@psu.edu
Office of the Vice Provost for Faculty Affairs

Kathleen Bieschke, a former Department Head in the College of Education and Professor of Education in Counseling Psychology, is the University's Vice Provost for Faculty Affairs.

The Vice Provost for Faculty Affairs works closely with the Executive Vice President and Provost in areas including faculty development, leadership training, promotion and tenure, executive searches and reviews, and other issues related to academic personnel and their concerns. The Vice Provost also serves as the Provost’s contact person for the Big Ten Academic Alliance, the academic arm of the Big Ten Conference, and the University Faculty Senate in issues relating to faculty affairs, and is the liaison for the Provost and President to University deans and chancellors.

Penn State Faculty Affairs News

- Nominations now open for Evan Pugh University Professorships
- Penn State announces promotions for non-tenure-line faculty, effective July 1, 2019
Two Key Questions

1. Do you have a promotion and tenure policy?
2. Do you FOLLOW that policy?
Policy AC23

- “Promotion and Tenure Procedures and Regulations”
- Formerly known as “HR23”
- Vice Provost for Faculty Affairs is steward of AC23
- Website for University policies: policy.psu.edu
Administrative Guidelines

• How we operationalize AC23
• A comprehensive document with some changes made each academic year
• Important to know about AC23 and the guidelines – online for easy reference
P&T Processes

- Adherence to established processes is critical.
- Follow guidelines for your college, department, school, or campus.
- Mistakes and missteps happen but can be avoided.
P&T Process Reminders

• **Recognize our goal:** To have a faculty appropriate to a major research university, with a commitment to teaching and service, so that the internal and external reputations of each unit are constantly improving.

• **Respectful, civil, and thoughtful disagreements and deliberations** are to be expected, and they are part of a healthy, academic discourse.

• **Understand our system of checks and balances,** with independent but mutually informed recommendations by faculty peers and administrators.
Confidentiality
Levels of Review and Judgment

- **Level One: Department/School/Campus.** At this level, participants are the most familiar with a candidate’s discipline or field, and the quality and quantity standards for an individual case.

- **Level Two: College/Campus.** At this level, a candidate’s record is evaluated using a specific college’s or campus’ criteria and expectations while striving for consistent standards and procedural fairness across units.

- **Level 3: University.** At this level, the focus is on ensuring compliance with university criteria, equity within and among colleagues, and procedural fairness.
Committee Roles and Responsibilities

1. Know and follow all relevant policies and guidelines.
2. Review committees should have at least three members.
3. Note: Tie votes are equivalent to “no” votes.
4. Confidentiality is paramount throughout process.
The Importance of the Dossier

The dossier paints a vital picture – especially for the University Committee, Provost, and President – and has many key components.
Key Components of the Dossier

• **The candidate's narrative statement** gives candidates the opportunity to place their work and activities in the context of their overall goals and agendas. The statement should be no longer than one or two pages (in 10-point font), with three pages being the optimal outer limit. The statement should not exceed 1,600 words.

• Separate sections of the dossier should focus on accomplishments in three areas: **Teaching**, **Research**, and **Service**.

• **What should not be part of the dossier?** Statements about the candidate’s personal life, the actual CV, sample of publications, course outlines, letters of thanks or appreciation...
Responsibility for the Dossier

This responsibility is assigned to the department head (or director of academic affairs or school director), and the faculty member must cooperate by assembling whatever materials are in his or her possession by the timeline given by the department head. *(Related to Administrative Guidelines pages 6-7, III.B; page 11, III.E.1)*
Dossier Guidelines and Tips

• Signatory pages must be accurate and complete. Don’t forget this part!

• Ensure the dossier leaves the academic unit in pristine condition.

• Use current promotion and tenure forms, available for download from GURU at http://guru.psu.edu/forms/4-21PromotionandTenureForms.html
Dossier Guidelines and Tips

Teaching and Learning

• **Tenure Review:** You should include materials from the date of Penn State employment in a tenure-eligible position.

• **Promotion Review:** Use materials from the date of the individual’s last promotion or from the last 10 years.

• Regarding student comments, they should not be included verbatim. A summary is sufficient.

• Peer reviews and advising surveys should be included as parts of the dossier. Candidates have access to this material.
Dossier Guidelines and Tips

Research and Creative Accomplishments

• Research and creative accomplishments should cover a candidate’s entire career.

• Do not include works in progress and grants not funded for sixth year and promotion dossiers.

• Work that is “submitted” is listed in the dossier. The guidelines of the academic unit determine how these materials are considered in the promotion and tenure review process.
Dossier Guidelines and Tips

Service

• Regarding service, as with teaching, for a tenure review, you should include materials from the date of Penn State employment in a tenure-eligible position.

• For a promotion review, use materials from the date of the individual’s last promotion or from the last 10 years.

• Faculty members granted a stay of tenure or leave may include additional evaluations beyond five years to provide sufficient evidence of evaluations or assessment.
External Letters

- We must have four external letters.
- External letters should come from people who can give honest and objective evaluations. So, avoid actual and perceived conflicts of interest. Examples include former graduate students and faculty colleagues, co-principal investigators, and significant collaborators.
- Use judgment and discretion regarding all external letters.
- There should be no contact between the candidate and the reviewer. If a reviewer contacts a candidate, that candidate should immediately contact his or her department head, director of academic affairs, or school director.
- Advance contacts to potential reviewers should go through the dean or chancellor, or the department head, director of academic affairs, or school director.
- Letters should not reference external reviewers by name or other descriptors that could reveal the person’s identity, such as the institution where that person works.
- Include a log and list only those who received all materials.
Statements of Evaluation

• For tenure decisions, include all prior evaluative letters beginning with the earliest provisional review.
• Include the names and ranks of committee members in the letter.
• Vote totals, including abstentions, should be included in the first paragraph of the letter.
• **For split votes, include majority and minority views in the letter.**
• If a consultation occurs, include details of that in the letter.
• Be consistent in the use of descriptors related to teaching, research, and service. This helps to ensure that candidate assessments will be equitable and accurate.
• For Joint Appointments, a letter from the secondary department head is required.
Stays of Tenure

- Faculty members granted stays of tenure or leave may include additional evaluations beyond five years to provide sufficient evidence of evaluations or teaching assessment.
- No discussion of stays should appear in the dossiers.
- Stays are given for legitimate reasons and vetted through my office.
Changes to Guidelines: 2019-20

Changes to the Administrative Guidelines for this academic year:

- **III. C.2.e. (Page 7).** The second paragraph was updated to add the following sentence: “The statement should not exceed 1,600 words. If using Activity Insight, do not adjust the margins.”

- **III. C.2.e. (Page 9).** To make it clear that an internal letter could reflect the knowledge or expertise of multiple faculty members, an “s” was added to the word “member” in the first sentence of this paragraph.
Changes to Guidelines: 2019-20

Changes to the Administrative Guidelines for this academic year:

- **Appendix I. (Page 54).** The sentence was reworded to say, “The immediate tenure process *must* begin prior to the candidate’s start date.”

- **Appendix I. (Page 55).** The content regarding external letters was reworded to say, “Letters of reference that were used in the search process are acceptable; *all* should address the candidate’s qualifications for tenure.”
Frequently Asked Questions

• Updated in July 2019, the P&T FAQ document on the VPFA website contains 58 questions and answers on 13 pages.

• Note: The FAQ document is a resource, but not policy. Follow AC23 and the Administrative Guidelines, in addition to the policies of your college, campus, school, and department.

• Question not answered there? Contact the head of your department/school/campus. Contact my office if needed.

• Like the Administrative Guidelines, the current FAQ has changes from last year: Three new and two updated questions.
FAQ #1 – Updated Question

FAQ #1: A new sentence was added to clarify the confidentiality expectations of candidates. (Related to Administrative Guidelines pages 2-3, l. E.).

*What is confidentiality in relation to the promotion and tenure process?*

Confidentiality of the promotion and tenure process is to be respected forever, not just during that particular year of review. Members of promotion and tenure committees participate with the understanding that all matters related to their deliberations remain confidential. In addition, faculty candidates under review are discouraged from approaching committee members at any time concerning the disposition of their review and should understand that inquiries of this type are deemed entirely inappropriate. **It is expected that both the candidates and committee members will adhere to the confidentiality of the promotion and tenure process.**
FAQ #13 – New Question

FAQ #13 is a new question that addresses a faculty member’s responsibility for submitting a dossier in a review year.

What happens when a tenure-eligible faculty member in his or her tenure-review year fails to submit a dossier?

If a tenure-eligible faculty member in his or her tenure-review year does not submit a dossier, withdraws a dossier, or otherwise fails to comply with the procedural requirements of AC23, the faculty member will have voluntarily resigned from the tenure-eligible appointment and be terminated on June 30 of the current academic year. Tenure-eligible faculty members who submit a letter of resignation from a tenure-track position indicating intent to resign effective June 30 of the current academic year are eligible for consideration for a non-tenure-line faculty appointment at Penn State, if one is available. The resignation letter must be submitted prior to the deadline for submission of the final dossier.
FAQ #23 – New Question

FAQ #23 is a new question that addresses the securing of personal notes written by Promotion and Tenure Review Committee members.

*Should Promotion and Tenure Review Committee members retain personal faculty notes?*

Committee members should not retain personal faculty notes. The University does not consider the personal faculty notes of committee members to be official University records. These personal notes must be securely destroyed beyond recovery immediately after the committee has reached a decision or concluded the promotion and tenure process.
FAQ #26 is a new question that addresses communications between the primary and secondary deans involved with joint appointments.

How are deans (primary and secondary) of a faculty member jointly appointed in two colleges kept informed of the process? (Related to Administrative Guidelines page 20, V. F. 4.)

The primary dean should copy the secondary dean on all communications.
FAQ #43 – Updated Question

FAQ #43 was updated to reflect the current Immediate Tenure process.

What then are the expectations for immediate tenure? (Related to Administrative Guidelines pages 54-56, Appendix I)

Immediate tenure may be granted to new faculty appointments, almost always when they have a tenured appointment at the institution they are leaving. The immediate tenure process must begin before the candidate’s start date. Because we assume that they are being hired because they increase the excellence of the department, and that they are being recruited in a competitive market, we do not ask departments to slow the negotiation process by asking such faculty to develop full Penn State dossiers. They must, however, go through the full Penn State process, with the usual letters from the usual committees and administrators. Letters that address the candidate’s qualifications for tenure that were written for the search process may be used in lieu of external letters solicited by the department. In addition, there must be evidence of good teaching before any new faculty member is granted tenure. Presented for review is the candidate’s vitae, four external letters, and evidence of good teaching, to which will be added in the review process the normal administrative and committee letters. The formal signatory page and dividers used in the standard promotion and tenure dossiers should not be used for immediate tenure cases.
P&T Summary (2018-19)

• The University Promotion and Tenure Review Committee reviewed 166 cases during the 2018-19 academic year and recommended 162 cases. President Barron approved 163 cases and denied 3 cases.

• **Promotion to Professor, Librarian, and Senior Scientist:** The University Committee reviewed 68 candidates, recommended 65, and President Barron approved those 65 cases.

• **Promotion to Associate Professor, Associate Librarian, and Senior Research Associate:** The University Committee recommended 91 candidates, and President Barron approved 92 cases.

• **Tenure:** The University Committee recommended 97 candidates for tenure, and President Barron approved tenure for 97 cases.
Activity Insight

• **Activity Insight**: Key online software tool, updated regularly, with an administrative team available for training and to answer questions.

• Questions? Contact Activity Insight at L-Al-Support@lists.psu.edu
Activity Insight Improvements

- Publications can now be imported from ORCID, Web of Science, Scopus, PubMed, and CrossRef. Be sure to link your ORCID to PSU [http://orcid.identity.psu.edu](http://orcid.identity.psu.edu).

- Credit Courses Taught are being entered more quickly. We now import the course by the third week of classes, and we update the data on the Monday after Commencement.

- The Faculty Activity Management Services Team soon will be offering a CV Service for data entry for faculty up to full Professor. Stay tuned for more information on this.

- The Faculty Activity Management Services Team is working with Watermark on an Instrument Tune-up project featuring screen changes, data quality review, and a new user interface. The rollout is slated for the Summer of 2020.
Activity Insight Dossier Changes

• “Professional Development” will filter based on Librarianship, Teaching, Research, and Service.

• Layouts for “Non-Credit Instruction Taught” and “Course-Related and Course-Integrated Instructional Activities" were improved in response to faculty and administrator feedback.

• “Honors and Awards” will filter based on Purpose: Advising, Teaching, Creative Activities, Scholarship/Research, Leadership, and Service (Community, Professional, University)
A Few Final Thoughts

• Questions? Always start by consulting college/campus and department/school guidelines.
• Confidentiality, always
• Follow University policy, always
• VPFA website offers many resources
• Call the Office of the VPFA (863-7494, or 3-7494 if on campus) with any additional questions.
Panel of P&T Experts

• **Sandy Confer**, Executive Assistant to the Dean of the University Libraries

• **Nicola Kiver**, Director of Administrative Operations, College of the Liberal Arts

• **Shawnee Wagner**, Records Specialist/Associate, Human Resources

• **Adrian Weaver**, Human Resources Consultant, Human Resources
Thank You.

Questions or Comments?

vpfa.psu.edu/promotion-and-tenure