2021 Promotion and Tenure Workshop

Dr. Kathleen Bieschke
Vice Provost for Faculty Affairs
Thursday, September 23, 2021

Today's Topics

- Office of the Vice Provost for Faculty Affairs
- P&T Policies and Processes
- The Dossier
- Activity Insight
- And of course, the impact of COVID-19 on the promotion and tenure process

VPFA Website – vpfa.psu.edu

PennState
Faculty Affairs

Resources & Support ⌄   Appointments ⌄   Reviews, Promotion, & Tenure ⌄   Faculty Development & Recognition ⌄   ⌕

COVID-19 Information for Faculty

Visit Penn State's official Coronavirus Information page and our COVID-19 Resources for Faculty page.

Read the latest pandemic-related University news stories.

Review the content in the "News for Faculty and Instructors" Digest emails.

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

- Guidance on the Assessment of Teaching Effectiveness for Calendar Years 2020 and 2021 (Updated September 23, 2021)
- Readings, events featuring 2021-22 Penn State Laureate Shara McCallum announced
- Penn State revises international travel policy for employees, students

PennState   OFFICE OF THE VICE PROVOST FOR FACULTY AFFAIRS

VPFA Office Staff

PennState
Faculty Affairs

Office of the Vice Provost for Faculty Affairs

vpfa.psu.edu

- **Abigail Diehl**, Assistant Vice Provost for Faculty Affairs, agc105@psu.edu

- **Ann Clements,** Assistant Vice Provost for Faculty Affairs, Faculty Development, acc13@psu.edu

- **Karen Parkes-Schnure,** Executive Assistant to the Vice Provost for Faculty Affairs, kjg138@psu.edu

  - Primary promotion and tenure contact

- **Mindy Kowalski**, Administrative Support Coordinator, msk22@psu.edu

- **Wendy Blumenthal**, Administrative Support Assistant, wjy100@psu.edu

Special Guests

- **Nicole Gampe,** Faculty Activity Management Services Team, University Libraries

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

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

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"

- Vice Provost for Faculty Affairs is steward of AC23

- Website for University policies: **policies.psu.edu**

Administrative Guidelines

- How we operationalize AC23

- A comprehensive document with some changes made each academic year

- Important to know about AC23 <u>and</u> the guidelines –at vpfa.psu.edu

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.

Impact of COVID-19 and Other Events of 2020

- *Changes to P&T Administrative Guidelines and FAQs*

- *Guidance documents*
  - Guidance for administrators and members of P&T committees for 2021-2022
  - Guidance for promotion and tenure narratives for 2021-2022
  - Guidance on the assessment of teaching effectiveness for calendar years 2020 and 2021

- *For tenure-line faculty in their probationary period in calendar year 2020:*
  - Guidance regarding a one-year extension due to COVID-19
  - FAQs pertaining to the guidance

Charge (FAQ #16)

- A [Recommended Charge to Promotion and Tenure Committees](#) can be found on the VPFA website
  - Familiar with unit and university p&t documents
  - Determine the meeting modality at the first meeting
  - Declare conflicts of interest
  - May only vote if present for discussion
  - Maintain confidentiality about deliberations
  - Consultation must occur if disagreeing with previous review
  - Review to focus on unit criteria: confine review to contents of dossier and work with academic unit head to obtain needed information
  - Every level of review must have access to the same information; additions to dossier due no later than 2/1/21
  - Committee members should give due consideration to disciplinary experts

Charge items specific to level of review (FAQ #16)

- **Level One: Department/School/Campus.** Evaluation of all criteria in light of unit guidelines

- **Level Two: College/Campus.** Evaluation is light of college/campus criteria an expectations, equity, procedural fairness

- **Level Three: University.** University criteria, equity within and among colleagues, and procedural fairness.

COVID-19 Guidance for First Level of Review

- Consider the specific impacts COVID-19 has presented within a faculty member's discipline as well as within a faculty member's research program or creative practice.

- Discuss within the committee challenges candidates may have faced.

- Committees at the first level review are asked to acknowledge such challenges were taken into consideration in their evaluation letters.

- If the committee does not have specific knowledge of the candidate's discipline, they should consult Section III.C.9 of the Administrative Guidelines for guidance on how to seek this expertise.

- See Guidance for administrators and members of P&T committees for 2021-2022

COVID-Specific Charge Items
(FAQ #16 & #72)

- Recognize that events of 2020/21 had differential impact on faculty

- External reviewers were asked to be mindful about how the events of 2020/2021 might influence achievement and trajectory

- Consider specific impacts with a faculty candidate's discipline, research program, or creative practice.

- Be aware the delivery of instruction and assessment of teaching effectiveness were affected.

- Be familiar with adjustments to the P&T process due to COVID.

- Consider that the impact of events in 2020/2021 might extend backwards and forward.

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

- Narrative statement

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

- **What should <u>not</u> 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

Key Components of the Narrative

- Per the administrative guidelines, "the purpose of the narrative statement is not so much to call attention to achievements that are listed elsewhere in the dossier as it is to afford candidates the opportunity to place their work and activities in the context of their overall goals and agendas."

- Updated guidance for the narrative statement due to COVID can be found <u>here</u> on the VPFA website.

- Candidates are encouraged (but not required) to describe how the events of 2020/21 (e.g., COVID-19 pandemic, societal/racial tensions, political unrest) impacted their work, and the steps they took to manage these impacts, in the narrative that accompanies their dossier for promotion and/or tenure.

- Candidates are encouraged to work closely with their department/division/school head, chief academic officer, or director of academic affairs to develop their narrative statements.

- **Regarding the length of the narrative, "***We encourage candidates to be as succinct as possible. The narrative statement should not exceed 2,000 words; this word length will be reduced to 1600 words when there are no candidates pursuing tenure who were in their probationary period in calendar year 2020.***"**

Responsibility for the Dossier

- *FAQ#3: Who is responsible for the preparation of the dossier?*

That responsibility is assigned to the department head (or director of academic affairs or division head) **and** the faculty member must cooperate by assembling whatever materials are in his or her possession by the timeline given by the department head. **If the unit is using Activity Insight to generate the dossier, faculty members are responsible for ensuring their information is entered into Activity Insight in accordance with the timeline specified.**

Dossier Guidelines and Tips

- Signatory pages must be accurate and complete. Don't forget this part!

  - We are moving in the direction of e-signatures.

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

- Use <u>current</u> promotion and tenure forms, available for download from GURU at http://guru.psu.edu/forms/4-21PromotionandTenureForms.html OR create promotion and tenure forms by using Activity Insight's Permanent Data screen and running the 'Promotion and Tenure Report.'

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 to Full Review:** A faculty member may choose to report information about teaching and service for up to 10 of the most recent consecutive years since the last successful formal review.

- Regarding student comments, a summary should be provided.

- Peer reviews and advising surveys are to be included as parts of the dossier. Candidates have access to this material.

Dossier Guidelines and Tips

Teaching and Learning (cont.)

- Be familiar with the [Guidance on the Assessment of Teaching Effectiveness for Calendar Years 2020 and 2021](#).
  - Inclusion of SRTEs from spring/summer 2020 is not allowed (except in rare cases)
  - Inclusion of SRTEs from fall 2020 is optional
  - Inclusion of spring/summer 2021 SRTEs is required for 4th and 6th year reviews; additionally, fall 2021 SRTEs are to be included in 2nd year reviews
  - One alternate assessment for **ACADEMIC** year 2020-2021 is to be included in the dossier

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.

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 to full review, candidates may choose to report information about service for up to 10 of the most recent consecutive years since the last successful formal review.

- 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 <u>four</u> external letters.

- External letters should come from people who can give honest and objective evaluations.

- 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.

COVID Impact on Requests for External Letters

- The "Sample Letters to External Evaluators" was updated with new language as of April 6, 2021 and will be maintained until there are no longer any candidates for tenure who were in the probationary period during calendar year 2020. See Appendix C.

- Additions include reference to the Extension to the Probationary Period, encouragement to candidates to reflect impact of COVID-19 in narrative, and directives to ignore the length of the probationary period.

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. Review committees should have at least three members.
- Vote totals should be included in the first paragraph of the letter.
- **For split votes,**
  - Include majority and minority views in the letter
  - Tie votes are equivalent to "no" votes
- If a consultation occurs, include details of that in the letter.
- Be consistent in the use of descriptors related to teaching, research, and service.
  - Per II.C.1 of the Administrative Guidelines, the following descriptors must be used to make a judgment of the candidate's teaching: Excellent, very good, satisfactory, and unsatisfactory
- 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; length of probationary period is irrelevant to the judgement being made.

    - From letter to external reviewers: Recognizing the disruption to the scholarly, instructional, and service activities of faculty members due to the COVID-19 pandemic and social unrest in spring 2020, Penn State provided candidates for promotion and tenure the option to extend their tenure clock by one year. Candidates for promotion and tenure may also receive additional stays of the tenure clock according to university policy. Our policy states that the criteria for promotion and tenure at The Pennsylvania State University are the same for all faculty members regardless of length of service during the probationary period.

Extension to the Probationary Period Due to COVID-19

Penn State extended the provisional tenure period starting with the 2020-2021 academic year for all faculty in their pre-tenure probationary period, as defined in University policy AC23. As of September 15, 2020, the University announced that all tenure-line faculty in their probationary period during the calendar year 2020 are eligible to confirm acceptance of the one-year COVID-19 extension.

See Guidance for Extension of the Probationary Period Due to COVID-19 and FAQ document.

Update on Number of Faculty Who Confirmed the Extension

- There were a total of 889 faculty members in the probationary period in 2020. These individuals are in varying years of the probationary period (i.e., year 1-6/10).
- At this point in time, one-third of eligible faculty have accepted the extension.
- Of those who confirmed the extension, 36% are women and 31% are men.
- Members of underrepresented racial/ethnic groups have confirmed the extension at a higher rate than those in the majority group
- Faculty are more likely to accept the extension prior to a review year
  - For example, in April of 2020, 36 people (approximately 30% of those eligible) confirmed the extension of the probationary period in their penultimate year and thus deferred their scheduled tenure review in 2020-2021 until 2021-2022.

Changes to Guidelines: 2020-21

- **II. C. 2. (Page 6) –** *COVID-19 Impacts on Teaching*
  - Updated "Summary of COVID-19 Impacts on Teaching" to clearly outline each semester since spring/summer 2020.
  - Updated Appendix "M" for recommended alternatives to document teaching activities.
- **III. (Pages 8-13) –** Clarifying language has been added regarding the responsibility of dossier preparations, length of the narrative, and changes or new information added to the dossier.
- **V. (Page 20) –** *Process of Review*
  - Included a new section for the process of review for promotion and tenure committees.
- **VI. (Pages 26-27) –** Modified the existing language in external letter requests that pertains to stays to include the extension to the probationary period due to COVID-19.

Changes to Guidelines: 2020-21

- Appendix A (Pages 28-31) – Updated and new language in regard to Student Evaluations.
- Appendix B (Pages 35-36) – *Timetable for 2021-2022 Promotion and Tenure Reviews*, the following is updated.
  - Updated the Timetable for 2021-2022 Promotion and Tenure Reviews.
- Appendix C (Pages 37-40) – Sample Letters to External Evaluator have been updated as of April 6, 2021
- Appendix F (Page 46) – *Dossier Dividers and Forms* - The following fields and dossier dividers have been revised.
  - Promotion and Tenure Form
    - Two areas have had font size corrected and larger text boxes added
  - Biographical Data for Promotion/Tenure Review Form
    - Larger text boxes have been added
  - Budget Form has been removed
- Appendix M (Pages 67-69) – updated "Options for Alternative Assessment"

Frequently Asked Questions

- Last updated in July 2021, the P&T FAQ document on the VPFA website contains 72 questions and answers.

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

- Like the Administrative Guidelines, the current FAQ has changes from last year.

- Contact academic unit head or VPFA if you cannot find an answer to your question!

UPDATED FAQ #3

- *Who is responsible for the preparation of the dossier?*

  That responsibility is assigned to the department head (or director of academic affairs or division head), **and** the faculty member must cooperate by assembling whatever materials are in his or her possession by the timeline given by the department head. **If the unit is using Activity Insight to generate the dossier, faculty members are responsible for ensuring their information is entered into Activity Insight in accordance with the timeline specified.**

Updated FAQ #8

- *Can a dossier be withdrawn after it has been sent forward for review?*

   Once a dossier has been completed and the candidate has signed that they reviewed it, and the peer review committee begins its review, the formal process has begun. However, if it is a promotion review only, and if the peer review committee does not recommend promotion and the department head agrees, **after consulting with the dean of the academic unit** the head should discuss with the candidate the advisability of withdrawing the dossier from further consultation

Updated FAQ #16

- *What are the key elements of the charge to a committee?*

  Please see the Recommended Charge to Promotion and Tenure Committees on the VPFA website (vpfa.psu.edu)

Updated FAQ #17

- *When is it appropriate for a committee member to abstain from voting on a candidate who is under review for promotion and/or tenure?*

  Committee members should **recuse** only when there is a legitimate conflict of interest, such as a relative being considered for promotion or tenure or if there was significant collaboration with the candidate. **Members are encouraged to disclose possible conflicts of interest to the unit head and seek consultation about how to best manage the conflict. Conflicts of interest should be declared prior to the discussion of any candidate and members will be recused from the discussion and voting.**

New FAQ #26

- *What are best practice guidelines for committees that meet virtually?*

Prior to the committee's first meeting, committee members must determine whether to meet in-person or virtually for all of the committee's meetings that involve discussions about candidates. Promotion and Tenure committees may not meet via a hybrid approach (i.e., with some members in person and some virtual). (V.E.1) unless granted an exception by the Vice Provost for Faculty Affairs.

Committees that decide to meet virtually must attend to security considerations to ensure confidentiality of discussions and voting. The committee chair should discuss the virtual process prior to the first meeting (how entry and exit are managed, how voting will proceed, and confidentiality considerations). It is not permitted to record meetings. Meetings should have a waiting room; the committee chair should check attendees into the meeting. All participants should authenticate their identity, either by enabling their video or providing the phone number from which they will be calling in advance of the meeting. Participants should attend the meeting from a location where others are not present and be prepared for unlikely scenarios such as Zoom crashing, chair or participants losing connection, etc. In cases of conflicts of interest, attendees must be checked out of meeting and checked back in. Documents should be available in a secure platform. For committees that vote by secret ballot, a method must be constructed to collect votes for each case under consideration. No discussion about candidates may occur via email and only those present for the discussion of a candidate may vote on a candidate.

FAQ #46

- *What then are the expectations for immediate tenure?*

  Basic text remained the same and the following sentence was added:

  > "The immediate tenure process must begin prior to the candidate's start date."

Updated FAQs pertaining to COVID-19 FAQs #64, #66, #67, #69, #70, and #72

| FAQ #64	*Will the extension of the review period due to COVID-19 be mentioned in requests to reviewers?*
FAQ #66	*What is the best way to indicate on Activity Insight/the Dossier how COVID-19 impacted our teaching, research, and service activities?*
FAQ #67	*May I list conference presentations that I was scheduled to deliver at meetings that were canceled due to COVID-19?*
FAQ #69	*The short-form of the SRTE was administered in fall 2020. These results were not available to academic administrators. May I include my SRTEs for fall 2020 in my dossier?*
FAQ #70	*How will peer teaching reviews in spring of 2020, fall 2021, and spring 2021? be handled in the promotion and tenure review process?*
FAQ #72	*How should the charge to promotion and tenure committees be modified in the midst of the pandemic?*

P&T Summary (2020-21)

- The University Promotion and Tenure Review Committee reviewed 157 cases during the 2020-21 academic year and recommended 157 cases. President Barron approved all 157 cases.

- **Promotion to Professor, Librarian, and Research Professor:** The University committee reviewed 68 candidates, recommended 68 and President Barron approved those 68 cases.

- **Promotion to Associate Professor, Associate Librarian, and Associate Research Professor:** The University committee recommended 86 candidates, and President Barron approved 86 cases.

- **Tenure:** The University Committee recommended 85 candidates for tenure, and President Barron approved tenure for 85 cases.

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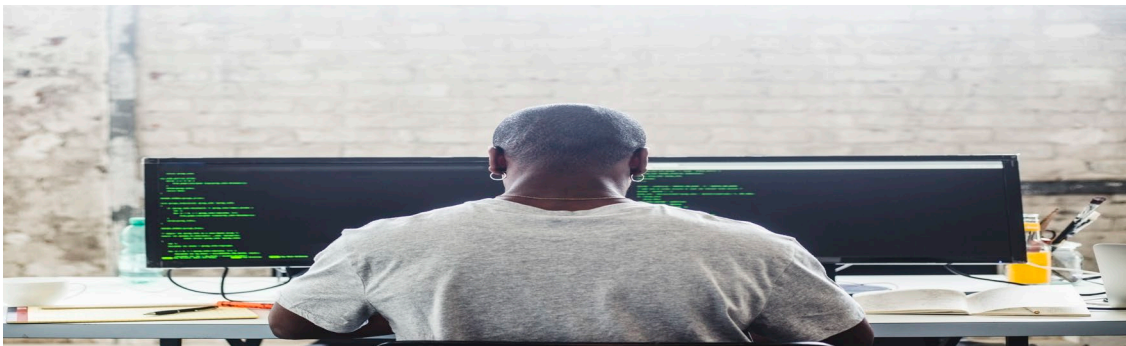
- **Activity Insight:** Key online software tool, updated regularly, with an administrative team available for training and to answer questions.

- Questions? Contact Activity Insight Support at AI-Support@.psu.edu

Activity Insight Improvements

- AI now has filters on the summary screen, makes finding your records easier to filter and access.

- Publication citation information (source, counts, and date collected) can be easily added to the publication record in the Publications screen, no need to retype titles in a separate screen.

- The Faculty Activity Management Services (FAMS) Team in the University Libraries is still offering a CV Service for data entry for faculty going up for Professor.

- The FAMS team now gives you a place to add your post-print files in the publication record, which will later be added to Scholarsphere to be compliant with the Penn State Open Access policy (AC02) https://openaccess.psu.edu/.

Activity Insight Dossier Changes

- Updated dates at the bottom of the Biographical data for promotion/tenure review (page 1).

- For SRTE and Teaching Evaluation data, added Median and Mode data for 2021 data, Mean will only appear for previous years.

- Cleaned up hyperlinks if website is added to the URL fields.

A Few Final Thoughts

- Know and follow policies

    - Department/school

    - College/campus

    - University policy, guidelines, FAQs

- Confidentiality

- When in doubt, call! Staff in the Office of the VPFA **(814-863-7494, or 3-7494 if on campus)** with any additional questions.

KEY TAKE AWAYS

Thank You.
Questions or Comments?

vpfa.psu.edu/promotion-and-tenure