

2021 Promotion and Tenure Briefing



PennState
College of Earth
and Mineral Sciences

Overview

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- EMS Promotion and Tenure (P&T) Committee 2021/2022
- Expectations for P&T
- PSU's P&T Process
 - Major Criteria
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 - The 4 Sections
 - Research Grants
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- Dossier Review Schedule
- Other Items



Informational Resources

- Your department head and administrative staff member(s)
 - EME – Erica Cooper and Abbey Rickert
 - Geog – Marnie Deibler
 - GeoSci – Amy Homan and Stacie Hugney
 - MatSE – Peg Yetter
 - Meteo – Jennifer Renoe
- The Dean's Office
 - Rosie Long, 863-4643, rkl1@psu.edu
 - John Barlett, 867-5072, jvb102@psu.edu



Informational Resources (cont.)

- College and Department Criteria Statements
- Faculty Mentor
- Frequently Asked Questions about Promotion and Tenure from the Vice Provost for Faculty Affairs website
- Penn State Policy AC-23
- Penn State Administrative Guidelines for AC-23
- EMS Dossier Template (plus detailed instructions)
- All web resources together on the EMS Faculty Promotion and Tenure Page: <https://www.ems.psu.edu/resources-faculty-and-staff> then click the Promotion and Tenure accordion block



Activity Insight

- EMS has transitioned to Activity Insight for building our dossiers
 - Activity Insight is an online software tool by Digital Measures designed to help faculty members collect, organize, and display their data for the purposes of annual reviews, promotion and tenure, and more.
 - It is a centrally funded resource that is aimed at providing an easier, more efficient way for colleges and campuses to manage large reporting processes in a less time-consuming fashion.



Activity Insight (cont.)

- Each department in EMS is now using AI.
- If you have any questions or need any assistance, please reach out to your departmental P&T representative.

Manage Activities

Rapid Reports
PasteBoard

Manage Data
Run Reports
Usage Statistics
Users and Security

Help

Review a guide to manage your activities. [Show more](#)

[State Mandated Collection System](#)

▼ **General Information**

Personal and Contact Information
Administrative Data - Permanent Data | Yearly Data
Education
Licensures and Certifications
Academic, Government, Military and Professional Positions
Administrative Assignments

Honors and Awards
Professional Development
Goals and Objectives
Narrative Statement for Annual Review
Narrative Statement for P&T Review
Narrative Statement for Post-Tenure Review

▼ **Teaching and Learning**

Lists of Credit Courses Taught
Non-Credit Instruction Taught
SRTE and Teaching Evaluation

Academic Advising
Course Related Instructional Activities
Student Mentorship and Supervision

▼ **Research and Creative Accomplishments**

Publications
Report to Sponsor
Papers, Presentations, Seminars, Workshops
Outreach - Editorial Responsibilities
Outreach - Peer Review of Grant Proposals
Outreach - Peer Review of Manuscripts, etc.
Outreach - Other Use of Expertise
Consulting/Advising
Contracts, Grants, Fellowships and Sponsored Research
Patent Intellectual Property

Impact in Society of Research Scholarship and Creative Accomplishments/Media Mentions
Pursuit of Advanced Degree and/or Further Academic Studies
Professional Memberships
New Course or Program Development
New Software Programs Developed
New Method of Teaching Established Course/Program
Application of Research Scholarship
Offsite/Field Research
Technology Transferred/Adapted in the Field

▼ **Service**

Internal to PSU
External to PSU

PennState

POWERED BY **DigitalMeasures**
Privacy Policy

Earth and Mineral Sciences - University Park Promotion & Tenure Committee 2021 - 22

- **Derek Elsworth, Professor of Energy and Mineral Engineering**
- **Karl Zimmerer, Professor of Geography**
- **Donald Fisher, Professor of Geosciences**
- **Tze-Chiang (Mike) Chung, Professor of Materials Science and Engineering**
- **Sukyong Lee, Professor of Meteorology and Atmospheric Science**



Process for Promotion to Associate Professor or Professor and for Tenure

Process begins in early summer:

- The department head (with information supplied by the candidate) assembles a package to be sent to external evaluators.
- The department head (as delegated by the Dean) gathers a list of potential external evaluators from the department committee, other faculty members (as needed), and the candidate and submits to the Dean.
- The Dean then approves a list to be contacted.
- The majority of the evaluators should NOT come from the candidate's list.



Timing

- 2nd and 4th year reviews are standard practice.
- 3rd and 5th year reviews may be conducted to aid faculty members who need further guidance or, for some 5th year reviews, early tenure.
 - Early tenure requests require prior approval from the Dean, Vice Provost for Faculty Affairs, and Provost.
- Final tenure review (and promotion) are in the 6th year.
- For specific dates, please consult your department representative.



Dossier Preparation

Candidates are urged to take special care in assembling the factual information of the dossier.

- Information must be arranged strictly in order as defined by AC 23 (Activity Insight system will ensure proper formatting).
- Activity Insight is being used for our tenure-eligible faculty dossier preparation. If candidates use the system in the 2nd & 4th year reviews, by the time they get to the 6th year, their dossiers should be in great organizational shape.
- The standardized format facilitates the review process, helping to ensure equitable review for all.



Expectations for P&T

Briefly, EMS's expectations are:

- **Associate Professor** - Demonstrated, through scholarly achievements and evaluations by both students and peers, the potential to become an outstanding scholar of national renown and an accomplished, inspiring teacher.
- **Professor** – be an established, internationally recognized scholar and superior teacher.



The Major Criteria

The three major criteria for both tenure and promotion include:

1. Teaching
2. Research & Scholarly Accomplishments
3. Service

The critical measure in the evaluation will be the individual's impact on science and/or industry and higher education, that is, the impact on students, colleagues, departmental programs, and fields of specialization. The aim is to promote and reward those who excel in their academic work and who by their dedication and performance serve to uphold or enhance our reputation as a distinguished college.



Section 1: TEACHING

For promotion to the following ranks, the successful candidate, depending upon their rank, will:

- **Associate:** have the potential to be an accomplished, inspiring teacher, as demonstrated through scholarly achievements and evaluations by both students and peers.
- **Professor:** be a superior teacher.



A. Measures of TEACHING Effectiveness

Teaching effectiveness is measured by:

A. Record of SRTE results and a summary of student comments (from the SRTE survey);

Note: Additionally, faculty can include in their narrative statement a reflection on their teaching philosophy or goals, and effective Fall 2021, include a self-reflection.

B. Effective direction of doctoral studies of graduate students, postdoctoral scholars, master's students, undergraduate advising and of undergraduate research; and

C. Peer evaluations of teaching and evaluations by the Department Head (or Associate Dept Head).

NOTE: For Promotion to Professor, teaching history can only go back 10 years or to their last promotion, whichever is most recent.



COVID Impacts on Teaching

- **Spring/summer 2020 semester:**
 - Spring and summer 2020 SRTes were not required and reporting of results in formal reviews were discouraged except in rare circumstances.
 - The omission of SRTes does not provide any evidence relevant to the assessment of teaching effectiveness.
 - Peer teaching reviews were suspended in March of 2020. The omission of a peer teaching observation does not provide any evidence relevant to the assessment of teaching effectiveness.
 - Inclusion of an alternate assessment was optional; the omission of an alternate assessment does not provide any evidence relevant to the assessment of teaching effectiveness. See Appendix M.



COVID Impacts on Teaching

- **Fall 2020 semester:**
 - At the discretion of the faculty member, fall 2020 short-form SRTEs may be included in dossiers as evidence of teaching effectiveness.
 - If measures of central tendency are referenced by either the faculty member or the administrator, both the median and mode must be referenced and discussed in the context of the distribution.
 - The omission of SRTEs does not provide any evidence relevant to the assessment of teaching effectiveness.
 - Regardless of whether the SRTEs are included, at least one alternate assessment must be included. See Appendix M.
 - Peer teaching review was not suspended for fall of 2020. Peer review can consist of a wide range of activities that may or may not include class visitation.



COVID Impacts on Teaching

- Spring/summer/fall 2021 and spring 2022:
 - The short-form SRTEs is to be included for all courses taught in faculty promotion and tenure review materials.
 - If measures of central tendency are referenced by either the administrator or the faculty member/instructor, both the median and mode must be referenced and discussed in the context of the distribution.
 - Faculty member/instructors are to include **one alternate assessment of teaching effectiveness for each academic year**. See Appendix M.



Section 2: RESEARCH

For promotion to the following ranks, the successful candidate must:

- **Associate:** “have demonstrated, through scholarly achievements ... the potential to become an outstanding scholar of national repute.”
- **Professor:** “be an established, internationally recognized scholar...”



Measures of RESEARCH Effectiveness

This status will be measured:

A. Partly by external review letters;

B. Partly by publications (especially in peer-reviewed journals) and recognition; and

C. Partly by research grants/external funding (for those whose disciplines have these).

External Review Letters should not come from close colleagues nor from hostile colleagues ... inform your department head or Dean of either category.



Measures of RESEARCH Effectiveness (cont.)

- **Publication** of research results in the highest-quality peer-reviewed journals or other publication media in the appropriate discipline(s).
- A record of external **research funding** indicating that the candidate will be able to provide a sufficient level of support for their future research efforts.
- A record of **invited talks** at major academic institutions, industrial and governmental laboratories, and major conferences.
- Other **accomplishments** demonstrating that the candidate is, or has the potential to become, a globally recognized researcher.



Section 3: SERVICE

For promotion, the successful candidate will have demonstrated a continuing **record of service to the University, to society, and to the profession.**



Measures of **SERVICE** effectiveness

- A. Appropriate levels of service to the department, the college, the university, and to the scientific community must be maintained. A list of activities is usually sufficient.
- B. Exceptional accomplishments should be noted.

NOTE: For Promotion to Professor, service history can only go back 10 years or to their last promotion, whichever is most recent.



Narrative Statement

Candidates should include a narrative statement indicating their sense of their teaching, research, and service activities.

- The Statement should be no longer than 1,600 words and is to provide the faculty member with the opportunity to place their work and activities in the context of their overall goals (e.g., what's important to the discipline, how will your goals benefit students). **It should not repeat what is in the dossier.**
- The narrative statement appears just before the Teaching dossier divider.



Narrative Statement (cont.)

- Candidates for promotion and tenure were 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.



Narrative Statement (cont.)

- The narrative statement should not exceed 2,000 words; this word length will be reduced to 1,600 words when there are no candidates pursuing tenure who were in their probationary period in calendar year 2020.(if using Activity Insight, do not adjust the margins).
- Is written in the **first person** in non-technical language.
- Provides a context and focus for the dossier.
- Candidates should be encouraged to use the narrative to place their work and activities into their overall goals and agendas.
- It should be factual and objective and succinct as possible.



Section 4: External Evaluator Letters

- This section of the dossier is **highly confidential** and can only be viewed & discussed by:
 - Departmental P&T Committee
 - Department Head
 - College Committee
 - Dean
 - Provost
 - University Committee

This section will be removed from the dossier if the candidate asks to view the dossier at any time.



Packages for External Evaluators

- External Evaluators are provided:
 - Current Curriculum Vitae.
 - A research statement, similar to the narrative statement, but without the teaching and service components.
 - Copies of 5-7 selected publications.
 - May include “Accepted” publications (when substantiated by letter of acceptance).
- They are **NOT** provided the entire dossier at any time.
- They will **NOT** evaluate the teaching and/or service of the candidate, only the research portion.



Selection of External Reviewers

- External reviewers are chosen from a list of possibilities submitted by the candidate and another list compiled by the department head, usually in consultation with senior faculty in the field.
 - It is best if the preponderance of external evaluators not be names that appeared solely on the list compiled by the faculty member.
- After the department head selects their list, a copy of the list is sent to the dean's office for the dean's approval.
- *No contact between the candidate and evaluator is permitted.*
- For candidates who work in more than one area, it is important to pick evaluators from each area of expertise.



Questions Asked of External Evaluators

- In what capacity, if any, do you know Dr. Doe? If you have had interactions with Dr. Doe, please describe the context of these interactions.
- Based on your direct knowledge, does Dr. Doe's research justify promotion (and award of tenure)?



Questions Asked of External Evaluators (cont.)

- Has Dr. Doe's research had influence on other researchers in the field or the broader discipline, or provided significant impact on people and society? (Penn State recognizes that evidence of influence and impact may not be fully developed for early career faculty members. Therefore, the potential for one's work to have influence in impact is a key factor in the award of tenure.

For tenure cases only:

- If tenure is granted, how likely is it that Dr. Doe will elevate significantly the quality and reputation of our unit and continue on a trajectory for future promotion to Professor?



Required Statement on External Evaluator Request Letters

For tenure cases only –

- **There is a required statement concerning stays of tenure, which must be included in solicitation letters:**

“The time period for achieving tenure and promotion to associate professor can vary, including one or more extensions of the tenure clock. A faculty member who stops the tenure clock must be evaluated according to the number of years on the tenure clock, not the number of years since being hired. The faculty member should not be held to a standard higher than the one he/she would have had to meet if the tenure decision had been made in the year it was originally scheduled.”



Important Procedural Note

- The last date to add new factual and substantive information to a dossier is February 1.
- Any information added after the department committee has met **requires** that the entire dossier must travel again through every level of review. Therefore, late additions are discouraged unless they are of major significance.
- The most recent fall semester SRTes and spring semester courses cannot be added to dossiers as new factual information without approval from the Vice Provost for Faculty Affairs.



Dossier is built ... now what?



Dossier Review Schedule

- Except for 2nd Year, dossiers are reviewed, and recommendations made by:
 - Department committee (mid-October).
 - Department head (mid- to late November).
 - College committee (mid-January to early February) (*do not normally review 4th year dossiers – only when Dean requests*).
 - Dean (February).
 - For 6th Year and Early Tenure only.
 - University committee (March-April).
 - Provost/President (end of April).



Mixed recommendations

- Department committee and department head review and make recommendations on all 6th year dossiers for promotion and tenure.
- If both recommendations are negative, the dossier is forwarded to the dean, and if the dean concurs, the dean notifies the candidate of the negative determination.
- If either the department committee or department head recommendations are positive, the dean forwards the dossier to the college committee.
 - If the dean recommends tenure, or all recommendations prior to the dean are positive, the file goes to the university committee. If the dean's determination is different than the college committee's, the two must consult. If the dean's decision stands, the dean notifies the candidate of the negative determination.



2nd Year Dossier Review Schedule

- Reviewed and recommendations made by:
 - Department committee (mid-January to mid-February)
 - Department head (mid-February to mid-March)
 - College committee (usually N/A)
 - Dean (mid-March to April)



2nd & 4th Year Reviews

Provide: detailed information to the candidate about which areas of the criteria may require special attention as the candidate moves toward final tenure review.

Purpose: to ensure communication is flowing and provide a formal evaluation and feedback on the path towards tenure.

One-on-One Review: after process complete, the department head provides the candidate with copies of the current year's evaluative statements (written by the Department P&T, the Department Head, the College P&T (except for 2nd Year Reviews and, under normal circumstances, 4th Year Reviews), and the Dean) and meets with the candidate to discuss them.



3rd and 5th Year Reviews

If deemed necessary, the Dean or department head can request a special 3rd and/or 5th year review to assist the candidate by providing additional guidance and feedback and, in some cases, to recommend early tenure.

Early tenure reviews are generally done in the 5th year, but can be done as early as the 3rd year. Prior approval from the Dean and Provost is required.



Other Possible Outcome

Another possible outcome of a 2nd, 3rd, 4th, 5th or 6th year review is **termination**.

This is extremely rare.



Other Items

- Stopping the Clock
- Confidentiality
- Candidate's Responsibilities
- COVID-19 Impacts to P&T



Stopping the Clock

- The Tenure Clock stops automatically when the candidate is on leave without pay for more than one half of the contract year.
- The Clock may also be stopped (this is called “staying of the provisional tenure period”) by request of the candidate in relation to some extenuating circumstance, such as the birth or adoption of a child, placement of a foster child in the home, a serious personal illness or provision of care for a family member.
- To request a stay, the faculty member must make the request in writing to the department head, providing the justification.
- The request should be submitted in a timely fashion, as close to the qualifying event as possible.



Stopping the Clock (cont.)

- Please note, the candidate should not mention anything about the reason for the stay/stopping of the clock in their dossier.
- The request is reviewed by the department head, the dean, and the executive vice president and provost, who grants final approval.
- A stay is granted for one academic year (candidate may only request up to a maximum of two years during the period leading up to tenure).



Confidentiality

- **Essential to the process.**
- **Responsibility of everyone involved to support this basic tenet.**
- **Candidates should not prod committee members or administrators ... and ... committee members and administrators should not divulge information to candidates, or anyone, through words, innuendos, or gestures.**
- **It is expected that both the candidate and the committee members will adhere to the confidentiality of the promotion and tenure process.**
- ***Confidentiality extends into the future; it is forever!***



Candidate Responsibilities

- Aid their Department Head in the construction of an accurate and thorough dossier (including entering accurate information into Activity Insight).
- Write a narrative statement that places their work and activities into the context of their overall goals and agendas.
- Provide inputs on potential external evaluators.
- Sign the appropriate signatory statement in the dossier.
- Start working on the ‘meat’ of their dossier on day 1!
- NOTE: if a tenure-eligible faculty member does not submit a dossier, withdraws it, or fails to comply with AC23, the faculty member will have voluntarily resigned from their tenure-eligible appointment and will be terminated on 30 June.



COVID-19 Impacts

Where can I find out more about the extension to the probationary period due to COVID-19, including whether I'm eligible?

- The extension of the probationary period due to COVID-19 applies to any faculty member in the probationary period in spring 2020. More information about the extension to the probationary period due to COVID-19 can be found in the administrative guidelines (Page 26, VII) and in the FAQs related to this guidance (VII).

If a candidate takes the COVID-19 extension, will this be indicated on the P&T form?

- The decision to take the COVID-19 extension will not be indicated on the P&T form.

Please note: only faculty who were on the tenure track in 2020 can request a one-time COVID-19 extension.



COVID-19 Impacts (cont.)

Will the extension of the review period due to COVID-19 be mentioned in requests to reviewers?

- **While the extension of the probationary period due to COVID-19 is not a stay, the language pertaining to stays in request letters to external reviewers will be modified for those who were in the probationary period in calendar year 2020. This change will be implemented beginning with the 2021-2022 academic year as no one going up for promotion or tenure in fall 2020 confirmed the extension. The “Sample Letters to External Evaluators” was update 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.**



COVID-19 Impacts (cont.)

I am NOT going to confirm acceptance of the one-year extension to the probationary period due to COVID-19. Can I still submit a request for early tenure?

- Yes. Approval must be sought in accordance with existing policies and guidelines for early tenure consideration. (See the “Guidelines for Recommending Faculty for Early Tenure” in Appendix H of the Administrative Guidelines).

What is the best way to indicate on Activity Insight/the Dossier how COVID-19 impacted our teaching, research, and service activities?

- Candidates for promotion and tenure were 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.

May I list conference presentations that I was scheduled to deliver at meetings that were canceled due to COVID-19?

- You may list your unattended conference presentations along with a comment that the presentation was “accepted but unable to be delivered due to COVID-19.”



COVID-19 Impacts (cont.)

During the COVID-19 crisis, teaching has been greatly influenced. If submitting a tenure package on time, how much will that influence the promotion decision?

- **During the spring 2020 semester, Penn State required faculty to convert all residential courses to remote delivery. The university suspended use of SRTEs and peer reviews for evaluation of teaching effectiveness given that the move to remote delivery affected faculty members in serious, consequential, and distinct ways. Faculty who do not include any of the alternative documentation of teaching effectiveness for spring 2020 semester cannot be penalized for not including them. Faculty candidates for promotion may wish to provide alternative documentation about their teaching in spring semester 2020. See **Appendix M** for recommended alternatives to document teaching activities in the spring 2020 semester (II.C.2).**



COVID-19 Impacts (cont.)

While SRTes will be administered in spring and summer of 2020, results will not be available to academic administrators. May I still include my SRTes for spring 2020 in my dossier?

- **Only courses taught will be automatically added to a faculty member's Activity Insight record. SRTes will not be included in Activity Insight for any faculty member. Some faculty may want to include their spring 2020 SRTes in their promotion dossiers. However, the inclusion of spring 2020 SRTes by some, but not others, compromises the spirit of equity and fairness because questions likely will be raised about why other faculty choose to omit them. As a result, it is recommended that only in the rarest of circumstances should a faculty member include them, such as if there is a specific need to demonstrate achievement in response to specific guidance for improvement.**



COVID-19 Impacts (cont.)

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?

- Yes, you may. In addition, all faculty are to include an alternative assessment for the fall 2020 semester. More detail about the impact of COVID on the assessment of teaching effectiveness can be found in the 2021-2022 Promotion and Tenure Administrative Guidelines in section II.C.2.



COVID-19 Impacts (cont.)

How will peer teaching reviews in spring of 2020, fall 2021, and spring 2021 be handled in the promotion and tenure process?

- Tenure-line and non-tenure-line faculty routinely undergo peer review of teaching and contribute to peer review of teaching committees. In acknowledgement of the COVID-19 crisis and its extraordinary impacts on our faculty, and our collective shift to a remote learning environment, Penn State suspended peer review of teaching, as of March 16, for Spring semester 2020. As outlined in the 2021-2022 Promotion and Tenure Administrative Guidelines (II.C.2), the omission of a peer teaching observation does not provide any evidence relevant to the assessment of teaching effectiveness. A faculty member who believes the absence of spring 2020 semester peer observation(s) would create a significant gap in their dossier may have proceeded with having a peer assess their spring 2020 course materials, consistent with the unit guidelines outlined for peer teaching review, but this was not required.
- Peer teaching review was not suspended for fall of 2020 or spring 2021 and was expected to occur. Note that per the 2021-2022 Administrative Guidelines (p. 5, II.C.1.c.), peer review can consist of wide range of activities that may (or may not) include class visitation. Members of the department/division/school/campus promotion and tenure committee in consultation with the department head/director of academic affairs/chief academic officer/school director/division head were expected to review whether existing guidelines for peer teaching review should be modified in light of the pandemic. Committees were asked to wish to address issues including whether to modify 1) how peer teaching reviews are conducted, including whether review of course materials or a teaching portfolio may replace a teaching observation given remote learning delivery; and 2) the total number of peer reviews required for the formal review given the suspension of peer teaching reviews in spring 2020.
- Faculty within the unit were to be provided with specific instructions about how to proceed with peer reviews so that expectations are clear to both committee members and faculty and any changes to unit guidelines must be reflected in the letter from department/division/school/campus promotion and tenure committee and the department head/director of academic affairs/chief academic officer/school director/division head.



COVID-19 Impacts (cont.)

I've had several class observations this semester for the fourth-year review that was to take place in academic year 2020-2021. If my 4th-year review takes place in the 2021-2022 academic year instead, will these observation letters still be valid, or will they have to be redone?

- The peer teaching observations you currently have will not need to be re-done.

How should the charge to promotion and tenure committees be modified in the midst of the pandemic?

- Please see the Standard Charge to Promotion and Tenure Committees on the VPFA website. A portion of this document addresses additional points to be addressed in response to COVID.



Review

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Questions?



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