

Processing Tenure Files



Office of the Provost & Academic Affairs

October 25, 2017 8:30 – 10:00 AM

Knight Library – Browsing Room

Objectives



Participants will be able to...

1. Describe the steps of the tenure timeline and process.

2. Avoid common missteps along the way.



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Welcome & Introductions



Ellen Herman – Interim Vice Provost OPAA

Specific focus on tenure & promotion of TTF

Scott Pratt – Executive Vice Provost OPAA

Here to offer additional input when needed



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At your tables...



Please introduce yourself:

-  Name
-  Unit
-  Role
-  Number of years in role

*re-arrange yourselves so that any new heads are now seated next to seasoned heads.



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Pair-up



Share with your neighbor one problem that you have heard about that has occurred during the tenure process.

Be prepared to share – popcorn style (briefly/quickly) – what problems you discussed.



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Overview of discussion



 Process

 External Reviewers

 The Tenure File

 Communicating with the Faculty Member(s)

Under Review



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Process

A network diagram with nodes and connecting lines, located in the bottom right corner of the page.

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What are the different levels of review of the tenure file?



Unit

(personnel committee; faculty vote; head's letter)

School/College

(personnel committee; dean's letter;
dean's meeting with candidate)

Institution

(faculty personnel committee - FPC)

Provost



Who makes the decision about tenure?



The Provost

All other levels of the process are advisory to the Provost.



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What guides assessment at each stage of the process?



The unit's promotion and tenure policy.

This document travels with the file at all levels – and FPC depends on it.

Write your reports and letters with this in mind.



For example:

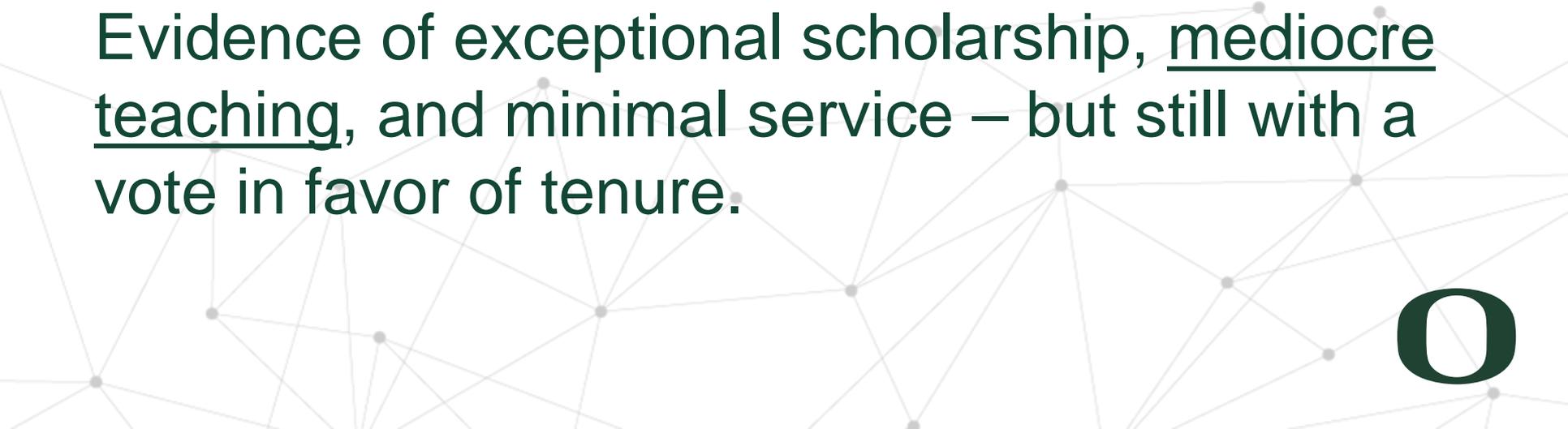


What if the policy indicates:

Exceptional scholarship, exceptional teaching, and minimal service are expected for tenure.

But local report provides:

Evidence of exceptional scholarship, mediocre teaching, and minimal service – but still with a vote in favor of tenure.



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Can faculty choose which policy to be reviewed against?



Yes – they may select between unit policy at time of hire, and current approved unit policy.

Find out if there was an MOU at time of hire regarding:

- ❖ Unit level committee make-up
- ❖ Period of review

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Which policy can be selected when reviewed for promotion from associate to full?



If there has been a change in the last six years, candidate can select between previous and current policy. See CBA Article 20, Section 21.

Section 21. Promotion from Associate Professor to Professor. The process and timelines for review and evaluation for promotion from associate professor to professor are the same as those for promotion to associate professor and tenure, except:

- (a) bargaining unit faculty members with tenure who are denied promotion from associate professor to professor will remain employed at the associate professor rank, and
- (b) the election of criteria bargaining unit faculty members may choose to be reviewed under, if there has been a change in criteria, is limited to the preceding six years.



How is the period of review determined?

Need to very clearly communicate the review period in the file, and to reviewers.

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[Tenure Clock Considerations](#)

Tenure Clock Considerations

Probationary Period

Questions?

The University of Oregon has established a six-year pre-tenure (probationary) period, with one major ("midterm") review required prior to the actual review for tenure. Successful midterm review results in a contract that establishes the date by which a final tenure decision is required. For faculty hired without credit for prior service, the midterm review generally occurs during the third year of employment, and the final tenure decision is required by the conclusion of the sixth year of employment.

[Read more about third-year/midterm review.](#)

See CBA Article 20, Section 24

Section 24. Credit for Prior Service. When credit for prior service is agreed upon, the terms of hire will state the number of years of credit granted, the earliest date for tenure consideration, and the required date for tenure consideration. Scholarship, research, creative activity, and teaching completed by the bargaining unit faculty member during the period of prior service will receive full consideration during the promotion and tenure process if the bargaining unit member elects the earliest date for tenure review. Should a bargaining unit member who received credit for prior service at the time of hire choose to delay the review for the full six years of full-time appointment at the University of Oregon, teaching, scholarship, research, and creative activity completed prior to arrival at the university will be of secondary consideration during the promotion and tenure process. Should the bargaining unit faculty member choose to use some, but not all of the credit for prior service, the focus of the review of teaching, scholarship, research, and creative activity will adjust appropriately so that, for example, four years of full-time appointment at the University would mean that at most two years of prior service will receive full consideration.



Also, CBA Article 20, Section 28

Section 28. Stopping of the “Tenure Review Clock.” The “tenure review clock” may be stopped in the following circumstances, at the bargaining unit faculty member’s discretion. The bargaining unit faculty member must decide whether to opt to stop the tenure review clock at the start of the leave or absence, or the tenure review clock will not be stopped during the leave or absence. The bargaining unit faculty member, however, may later opt to restore the period when the clock was stopped and may apply for tenure review at the time the bargaining unit faculty member would have become eligible without the stopping of the clock.

The tenure review clock may be stopped: (1) for one year upon the birth or adoption of a child; (2) for up to two years for approved leaves of absence without pay lasting two or more terms; or (3) in other extraordinary circumstances as approved by the Provost or designee.



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External Reviewers



Describe best practice for producing the external reviewers list:



Discussion at your table for 1 minute.

How can you ensure that the majority are independently selected by committee?



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Who can communicate with external reviewers?



Heads – only.

Do you have to use the **template** for the reviewer email correspondence?

Yes. Use of the template is **required**.



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Evaluation & Review

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Promotion & Tenure

Promotion and Tenure Criteria

All academic departments and programs with tenure-related faculty appointments must have promotion and tenure criteria that have been reviewed and approved by their dean and by Academic Affairs. Be sure to become familiar with the pertinent document for your discipline and academic department or program. Promotion and tenure criteria for individual departments are [available online](#).

Scroll down the page...

External Reviewers

During the spring and summer terms of the year preceding the year in which the review v the Department/Unit Head will identify and recruit external reviewers. For detailed information regarding external reviewers, please see:

- [PT Guidance 3 - Selection of External Reviewers \[PDF\]](#)
- [PT Guidance 4 - Initial Solicitation of External Reviewers \[PDF\]](#)
- [PT Guidance 5 - The Formal Request for External Review \[PDF\]](#)

Sample letters are available at Academic Affairs' page on [preparing the promotion file](#).

Sample Letter upon Agreement to Provide the Requested Evaluation

July 1, 2014

Professor _____
Department of Accounting
University of Texas at Austin
1 University Station B6000
Austin, TX 78712

Dear Professor _____:

Thank you for agreeing to evaluate _____, Assistant Professor of Accounting, who is being considered for promotion to Associate Professor with tenure at the University of Oregon. As part of our promotion process, we seek outside evaluations from highly regarded faculty in the candidate's field to help us assess the faculty member's scholarly contributions to the field. When you submit your evaluation – by September 16, 2014, as previously agreed – please also provide a copy of your current curriculum vita or biographical sketch, which we will provide to the University's personnel committees.

Enclosed you will find Professor ___'s current CV, personal statement, and representative examples of scholarship, as well as the Department's statement of expectations for tenure and promotion. It will be very helpful to us if your written evaluation addresses the following questions.

- What is the nature of your relationship, if any, to Professor ___?
- What are the most significant scholarly results produced by Professor ____, and what impact have those results had on the discipline?
 - Please comment on the appropriateness of the venues/outlets used by the candidate to disseminate scholarly products.
 - Please consider contextualizing your remarks in terms of common practices within the discipline or sub-field of the candidate with respect to collaboration, co-authorship, grant funding, or other characteristics.
- How does Professor ___'s record of scholarship compare – both qualitatively and quantitatively – with other scholars in the field at comparable stages in their academic careers?
- How do you assess Professor ___'s potential for producing high-quality scholarship going forward?
- Would Professor ___'s record of scholarship support a positive tenure recommendation at your institution?
- Optionally, you may comment on the impact of any professional (disciplinary) service rendered by Professor ____. We do not ask you to evaluate the significance of Professor ___'s teaching or local service activities, unless you have had the opportunity to personally observe those activities.

Name the types of relationships that would disqualify a reviewer:

Note: “Maintain a clear majority of reviewers 1) with no more than a professional knowledge of or relationship to the candidate, and 2) that were not suggested by the candidate”.

Do not include:

Dissertation supervisor

Co-author in last 5 years

Collaborator in last 5 years

Close friends

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The Tenure File



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What are the waiver options?



Candidate's letter of waiver or non-waiver

- [Sample Full Waiver Letter](#) [Word]
- [Sample Non-waiver Letter](#) [Word]
- [Sample Partial Waiver Letter](#) [Word]

How should the options be conveyed to junior faculty?



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CBA Article 20, Section 27



Section 27. Waiver of Access to Materials. Bargaining unit members have the right whether to waive in advance in writing their access to see any or all of the evaluative materials (see Article 8, Personnel Files). The choice by the bargaining unit faculty member to waive or not waive access to evaluative materials shall not be considered during the evaluation process. Such waivers, however, shall not preclude the use of redacted versions of these documents in a denial review process. The redacted versions are intended to protect the identity of the reviewer.



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What should be included in the equity and inclusion statement, and how does your unit handle this portion of the file?



Take 1 minute at your table to discuss.



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- About Us
- Diversity at the UO
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[Equity and Inclusion in Personal Statements for Reviews of Bargaining Unit Faculty](#)

[Implicit Bias Bibliography](#)

Equity and Inclusion in Personal Statements for Reviews of Bargaining Unit Faculty

PREFACE: The Collective Bargaining Agreement (CBA) reached between United Academics and the University includes provisions encouraging the inclusion of a discussion of the contributions to institutional equity and inclusion in the personal statement of a candidate for tenure and promotion (for tenure-track faculty) and in the personal statement of non-tenure track faculty who are being reviewed for promotion.

Articles 19 and 20 of the CBA require both tenure track and non-tenure track faculty to develop a 3-6 page personal statement documenting relevant research (or creative activity), teaching and service contributions as part of this review process. According to the CBA, the "statement should also include discussion of contributions to institutional equity and inclusion." (Article 19, Sec 11, p27 and Article 20, Sec 8, p 32).

The guidelines in the pdf linked to below, which are taken from our own work as well as from existing documents in the University of California System, offer a general framework for faculty members in describing "contributions to institutional equity and inclusion" in their personal statements.

In the future, we plan to offer additional guidance about how to measure the quality of contributions within the context of various academic processes.

[Examples of Equity and Inclusion in Personal Statements for Reviews of Bargaining Unit Faculty](#)



DEFINITIONS OF EQUITY AND INCLUSION

For purposes of the personal statement, a discussion of contributions to institutional **equity** may include efforts to address any barriers that may have limited access and advancement for employees, students, and members of the public. For example, a contribution to institutional equity may include putting in place resources that individuals need to be successful. Such resources may involve an effort to redress inequalities relative to physical disabilities so that all persons may contribute fully to our institutional success.

For purposes of the personal statement, a discussion of contributions to **inclusion** may involve efforts to ensure that people from diverse backgrounds, experiences and perspectives are able to participate legitimately in decision-making processes in ways that are responsive as well as accepting and that move the institution forward in its focus on academic excellence. Such work also may include efforts to incorporate individuals or groups from economically disadvantaged backgrounds, first generation college students, students from urban and rural communities, and those who speak English as a second language.

While equity and inclusion practices may vary considerably by discipline and unit, they are expected to draw on the institutional priorities. The guidelines below are intended to assist individual faculty, units, and committees in implementing and evaluating these

What is the purpose of the head's letter?



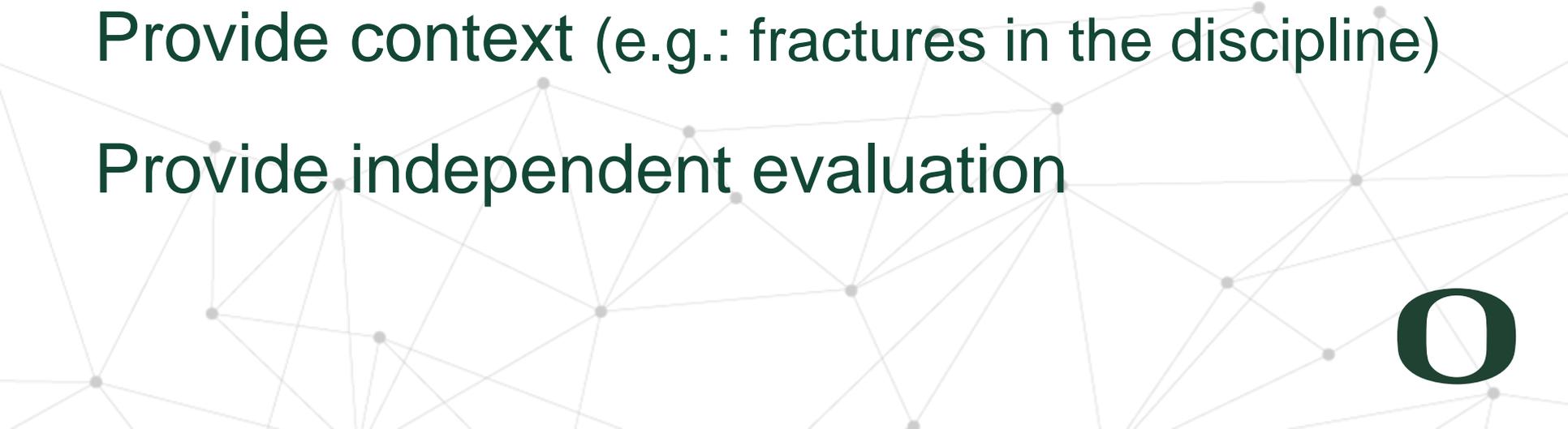
Describe the review process

Report on the committee discussion

Report on the faculty vote

Provide context (e.g.: fractures in the discipline)

Provide independent evaluation



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How much does the head's letter need to restate what is included in the external letters and committee report?

Do what is necessary

Be brief

Don't cut & paste from other documents!

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What documentation is required regarding the faculty vote?



Paper signed ballots or printed email collected by staff member

Collated in Voting Summary template (found in digital dossier)



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Voting Summary

	<u>Yes</u>	<u>No</u>	<u>Abstain</u>
<u>Department Summary</u>			
Total Faculty:	_____	_____	_____
Tenured Faculty:	_____	_____	_____
 <u>College or School Committee</u>			
Total Membership:	_____	_____	_____
Tenured Faculty:	_____	_____	_____
 Dean's Committee:	_____	_____	_____

(Comments may be entered in the following area:)

What needs to be included regarding documentation of external reviewers?

❖ List of everyone asked

❖ Even those who turned you down, and why.

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Contents for Evaluation Letters Section

(Please provide these materials in the order indicated.)

Communications with External Reviewers (*one* example of each)

- Initial Inquiry
- Official Request to Review
- Other

- List of Materials Sent to Reviewers (must include candidate's personal statement and CV, P&T criteria document, and scholarship portfolio)

- Biographical Sketches of Reviewers (include name, title, and institution; brief comments establishing standing in field; explicit comments on any relationship with the candidate (or note "no known relationship"))

- External Review Letters

- Internal Review Letters

- Declinations to Review

What should be included related to teaching loads?



Typical unit teaching load for reference

Candidate's teaching load

Include these in teaching section of committee report & head's letter



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Communicating with the Faculty Member(s) Under Review



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Nuance of discussions regarding tenure:



Spend 1 minute at your table discussing possible pitfalls when talking to a faculty member about his/her tenure file, or his/her tenure process.

Be careful about making promises and misleading statements (even if intended to be comforting).



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If the faculty requests union representation at a meeting related to their performance, what should you do?

Say yes.



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Once the unit and head have completed their evaluation and submitted the tenure file to the school/college, should they share the general result of departmental votes and recommendations with the candidate?

Yes! This should be a consistent best practice across all units.



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Additional Questions?

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