

## The Simon School P&T Process

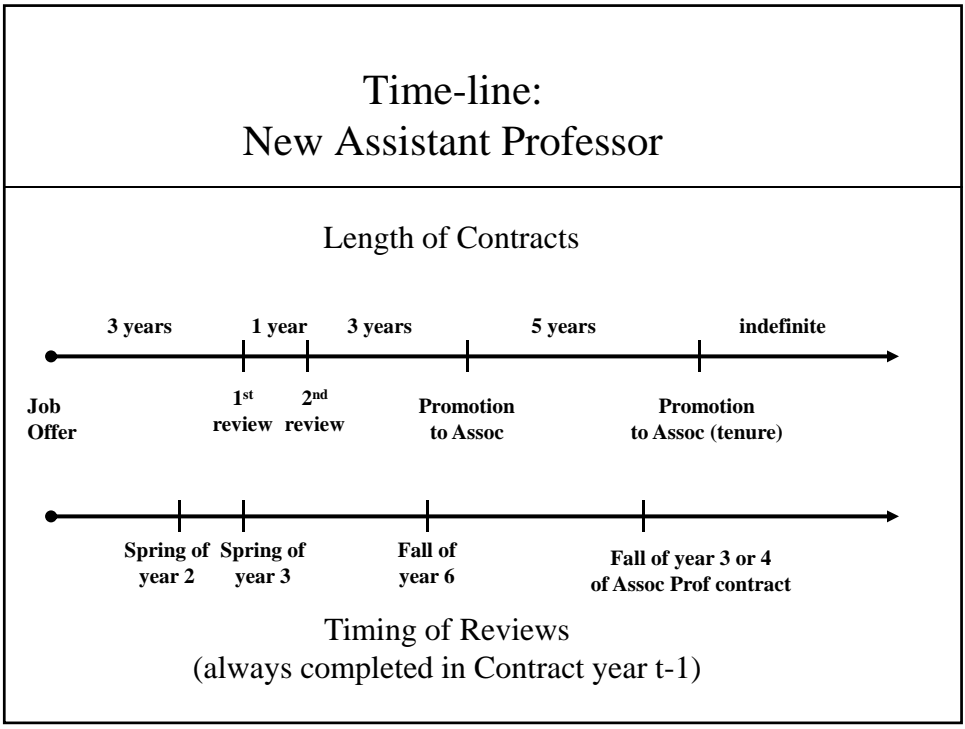
### A Personal Perspective\*

Bill Schwert

**\*None of the material in this informal handout represents the views or policies of the Simon School or the University of Rochester. The opinions expressed are the sole responsibility of Bill Schwert.**

## Introduction

- This handout is intended to summarize general procedures that are typically followed in the faculty review process at the Simon School
- Questions about specific issues that are peculiar to individual cases should be discussed with the Deans office and/or members of the Promotion & Tenure (P&T) Committee



- 1<sup>st</sup> Review (Year 2)**
- Materials due in Dean's Office in late Winter/early Spring of year 2
    - Brief research/teaching/service summary
    - Working papers & reprints
  - Ad hoc committee of 3 faculty members reads all papers and writes a report to the Dean's office
    - Committee is anonymous, but always includes a member of the P&T committee, almost always at least one person from your area, and usually a non-tenured faculty member (who is not under review in that year)

## 1<sup>st</sup> Review

- Options available for committee & Dean's office:
  - One year renewal of Asst Prof contract (the norm)
  - Up to 4 year renewal of Asst Prof contract (unusual)
  - No renewal (very unusual)
- Standards for one year renewal
  - Completion of Ph.D. degree
  - Adequate teaching performance
- Research progress is NOT part of the formal evaluation process for a one year contract renewal

## 1<sup>st</sup> Review

- Ad hoc committee provides feedback and advice on research to the candidate
- If the candidate has already shown substantial progress with research, meeting the standards for the three year extension in year 3, the committee sometimes recommends a 4 year extension at this time (essentially skipping the 2<sup>nd</sup> review)
  - Usually the candidate is offered the option of a “free” feedback review that is not linked to a contract decision sometime before the promotion to Assoc Prof would occur

## 1<sup>st</sup> Review

- After all of the ad hoc reviews are completed (usually some time in May), the P&T committee reviews and discusses all of the ad hoc reports at the same time
  - Provides a communication mechanism to the entire P&T committee and reduces the potential variability in recommendations from the ad hoc committees
- Debriefing meeting with the candidate includes Assoc Dean, chair of P&T, and the chair of the ad hoc committee

## 2<sup>nd</sup> Review (Year 3)

- Structure is essentially the same as the 1<sup>st</sup> review, except that renewal standards now include research progress
- Options available for committee & Dean's office:
  - Up to 3 year renewal of Asst Prof contract (the norm)
    - So total length of Asst Prof  $\leq 7$  years
  - No renewal
- Standards for three year renewal
  - Starting to make progress with research
    - Papers submitted to journals
    - Working papers started beyond dissertation work
  - Adequate teaching performance

## 2<sup>nd</sup> Review

- Ad hoc committee provides feedback and advice on research to the candidate
- Debriefing meeting with the candidate includes Assoc Dean, chair of P&T, and the chair of the ad hoc committee
  - Important part of discussion is the rate of progress towards the Assoc Prof review
  - Dynamic Programming discussion – what will it take to make adequate progress toward promotion in the future?

## Assoc Prof Review (Year 6)

- Materials due in Dean's Office in Fall of year 6
  - Research/teaching/service summary
  - Working papers & reprints
  - List of about 12 potential outside reviewers
    - Tenured faculty at top-ranked business schools (sometimes other departments, as appropriate)

## Assoc Prof Review

- P&T committee selects about 12 outside reviewers
  - 6 from candidate's list and 6 not on the candidate's list
  - Outside reviewers receive research statement and all working papers & reprints and are asked for recommendation
- P&T reads and discusses each paper
  - Usually two readers assigned to each paper
  - Papers are discussed by full committee until consensus evaluation is achieved
    - Usually about 30-40 minutes per paper

## Assoc Prof Review

- After all of the papers have been read, but before letters arrive, P&T has a preliminary summary discussion covering research, teaching, & service
- P&T committee also collects and discusses the citations to the candidate's work
- After all the letters are in, P&T has a final summary discussion to decide what to recommend to the Dean's office
- One P&T member is responsible for drafting and revising a report to reflect the consensus view of the committee

## Assoc Prof Review

- Options available for committee & Dean's office:
  - Up to 5 year non-renewable of Assoc Prof contract (norm)
  - Unlimited tenure with Assoc Prof contract (very rare)
  - No promotion
- Standards for promotion
  - Excellent research performance
  - At least adequate teaching and service performance

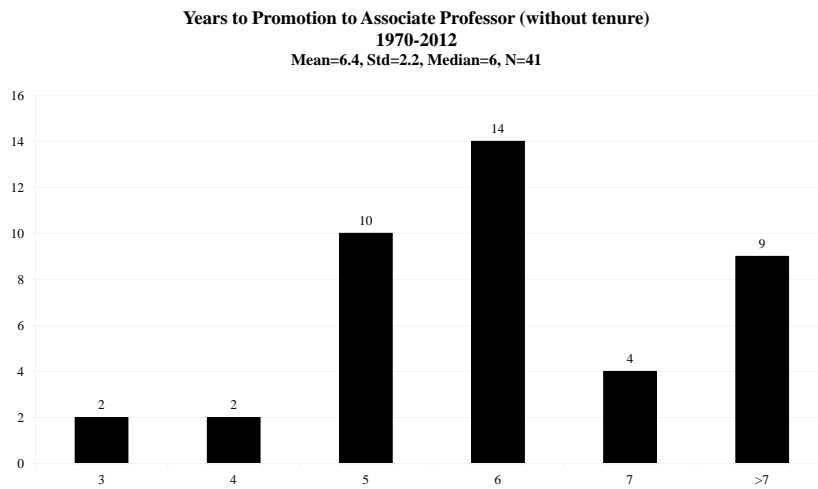
## Assoc Prof Review

- If the Dean's office recommends promotion, a letter from the Dean along with the P&T committee report, and all the outside letters are sent to the Provost's office, where a standing committee reviews all non-tenured Assoc Prof promotions
- Usually, the role of the standing committee is to audit the work done by the school
  - Assure due diligence in collecting data and doing proper analysis

## Assoc Prof Review

- If the Provost recommends promotion, the Board of Trustees approves (usually in mid-May)
- Debriefing meeting with the candidate includes Assoc Dean and chair of P&T
  - Important part of discussion is the rate of progress towards the tenure review
  - Excerpts from the Provost’s letter back to the school are shared with the candidate, when appropriate

## Historical Data on Promotions to Associate Professor (without tenure)





## Tenure Review

(Year 3 or 4 of Assoc Prof Contract)

- Candidate gets to choose in year 3 (t-2) of Assoc Prof contract whether to be reviewed in that year (the default), or to wait a year
- There is no penalty for waiting until year 4 (t-1)
- Materials due in Dean's Office in Fall
  - Research/teaching/service summary
  - Working papers & reprints
  - List of about 12 potential outside reviewers
    - Tenured faculty at top-ranked business schools (sometimes other departments, as appropriate)

## Tenure Review

- Evaluation process is very similar to the review for promotion to non-tenured Assoc Prof
- Standards are higher

## Tenure Review

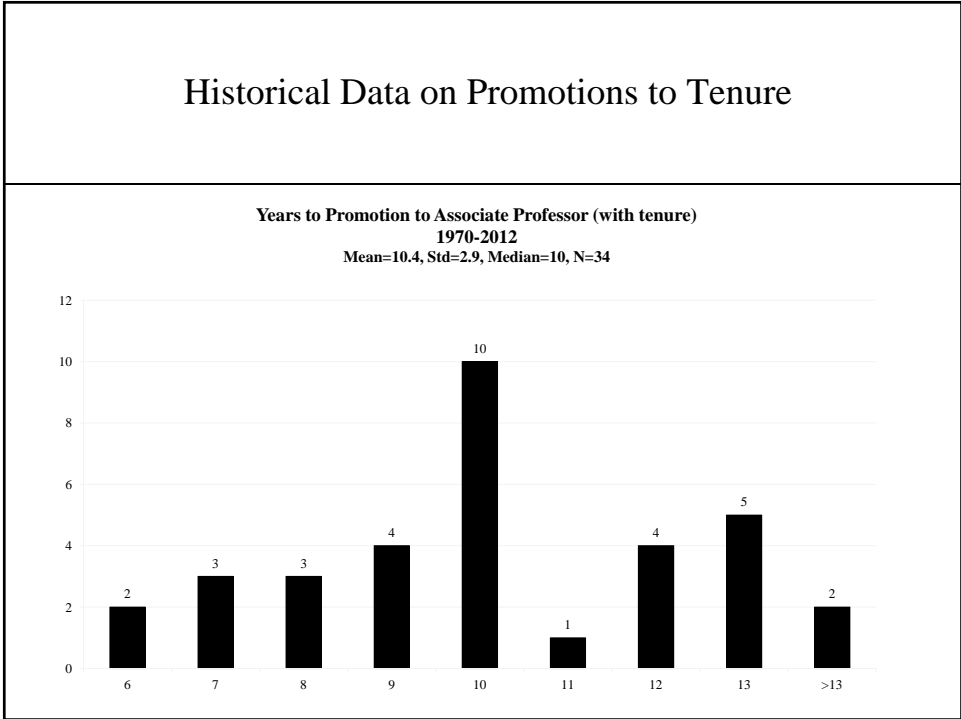
- Options available for committee & Dean's office:
  - Unlimited tenure with Assoc Prof contract
  - Unlimited tenure with Prof contract (very rare)
  - No promotion
- Standards for promotion
  - Excellent research performance
  - National/international reputation for being a leader in your field
  - At least adequate teaching and service performance

## Tenure Review

- If the Dean's office recommends promotion, a letter from the Dean along with the P&T committee report, and all the outside letters are sent to the Provost's office, where an ad hoc committee reviews each tenure promotion
- Usually, the role of the ad hoc committee is to audit the work done by the school
  - Assure due diligence in collecting data and doing proper analysis

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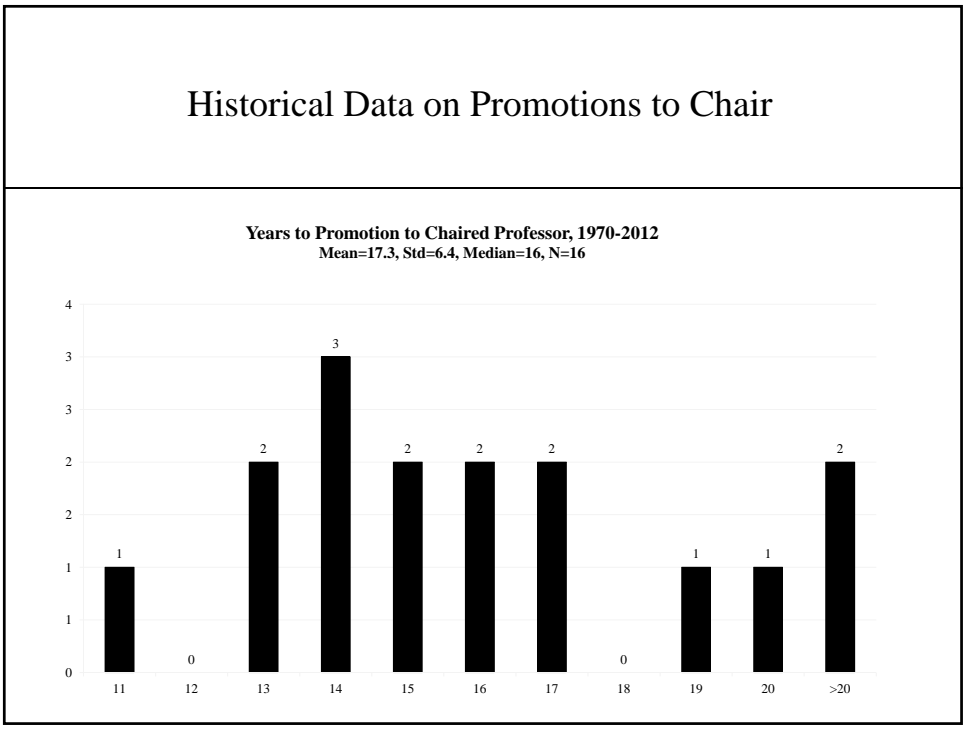
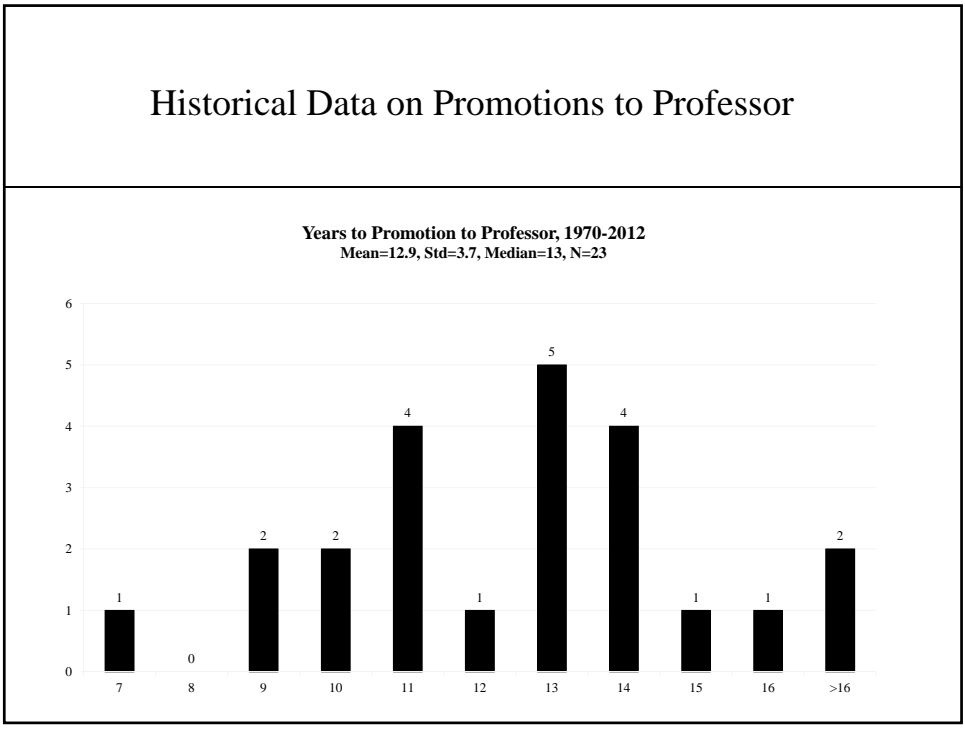


## Additional P&T Process

- Every year the P&T committee reviews the entire list of tenure-track faculty
- Individuals who require a review are scheduled
- P&T discusses other people who are eligible for promotion, but who are not required to be reviewed to determine whether non-mandatory reviews are desirable
  - If so, the Dean's office and the P&T committee consult with the individual to determine whether they want to be reviewed
  - Faculty who want to be reviewed for promotion always have the right to request a review

## Additional P&T Process

- There is not formal time limit to the Assoc Prof contract, so evaluation for promotion to Professor is done through consultation with the Dean's office and the P&T committee
- The process for promotion to Professor is similar to the tenure review, including outside letters, etc., but there is no standing or ad hoc committee used by the Provost's office



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