

ASSESSING THE EFFECTIVENESS OF THE PROMOTION AND TENURE PROCESSES

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ABSTRACT

Promotion and tenure considerations are equally important steps both for the faculty and institution. For faculty, it's a matter of being able to exercise academic freedom without the fear of repercussion and potentially losing the job. For institutions, it's a matter of how to keep and nourish the best candidates and avoid making a lifetime commitment with a wrong candidate. The key goals of the Promotion and Tenure (P&T) processes are to: (1) keep the processes fair and timely, (2) ensure faculty excellence, and (3) ensure that consistent standards are applied to every candidate during P&T evaluations. Most research focuses on developing effective strategies to evaluate faculty portfolios as well as what faculty should do to develop a good portfolio. However, the underlying processes to make promotion and tenure decisions are usually taken for granted. Many times a decision is going to be as good as the underlying process that was used to reach that decision. This paper focuses on the processes that are used to make promotion and tenure decisions, examines the potential flaws and weakness of those processes, and suggests the three P&T models. The paper also examines the existing processes in several universities across the United States. The review of their P&T processes suggests that in most universities in the United States, these processes are tilted towards either ensuring faculty excellence or applying consistent standards on all candidates. It further demonstrates how those processes can be configured to achieve the desired balance between ensuring faculty excellence and that consistent standards are applied to every candidate during the P&T processes.

INTRODUCTION

Promotion and tenure considerations mark the most significant step in a faculty member's career. It's an equally significant decision for the institution, especially for the institutions with statutory (as opposed to contractual) tenure. Making a lifetime institutional commitment with a faculty member certainly deserves a thorough evaluation and scrutiny. Therefore, there is substantial research that focuses on building faculty portfolios and effective ways to evaluate them (Thomas, Saaty, & Ramanujam, 1983; Rice & Stankus, 1983; Weiser & Houghlum, 1998; Arreola, 2000; Perna 2001; Arreola, Theall & Aleamoni, 2003). For example, what role research, teaching, and service should play in the promotion and tenure considerations (Arreola, 2000; Arreola, Theall & Aleamoni, 2003) or how to judge the quality of one's scholarship (Rice & Stankus, 1983). There is little research or discussion though on the quality and effectiveness of the processes that are used to evaluate faculty portfolio for making promotion and tenure decisions. The best developed strategies for evaluating faculty promotion and tenure cases would not produce desired results if the processes are not properly implemented or are flawed. At the same time, a well prepared faculty portfolio may not help a faculty member

to get a favorable decision on his/her promotion or tenure case due to poorly implemented or flawed processes. This paper reviews the processes that are employed by many institutions of higher education for promotion and tenure review of their faculty. It further discusses how the poor implementation or flaws in processes can compromise the integrity of the promotion and tenure decisions.

Many institutions have a multi-level set of processes for making decisions on P&T cases. At the heart of those processes is the faculty committee(s), commonly known as the Promotion and Tenure (P&T) Committee. Beyond the departmental P&T Committee, P&T Committees can be formed at the college/school or even at the institution level. P&T Committees at the college/school level have different characteristics than that of the P&T Committee at the institution level, which impacts the outcome of the Committee's deliberation during the evaluation process. This paper analyzes the characteristics of the P&T Committees at different levels and defines three different models based on the characteristics of the P&T Committees.

While considering a faculty member for promotion or tenure, we need to achieve three key objectives:

1. Ensure it's a fair and timely process

2. Ensure faculty excellence: Conduct a thorough evaluation of a candidate's portfolio by the experts in areas closely related to his/her discipline
3. Ensure that the evaluation standards are consistent across the board.

Achieving these objectives through P&T Committee at any level is not straightforward but rather challenging. Many times apparently benign actions by the members of the P&T Committee leave the process tainted (discussed later). However, specific measures can be taken to achieve objective 1, which is to ensure the process is fair and timely, regardless of the level of the P&T Committee. In general, an appropriately sized P&T Committee at the college/school level provides a more thorough review of the candidates because the members of the P&T Committee are from the disciplines relevant to the candidate's discipline. An institution-wide P&T Committee, on the other hand, will help ensure that evaluation standards are consistently applied to all candidates; however, the evaluation is not likely to be as thorough as that of a P&T Committee at the college/school level. The reason is that the institution level P&T Committee has a membership that is much more diverse than that of a college/school level P&T Committee.

The rest of the paper is organized as follows: How to ensure that the P&T process is fair and timely is discussed first. The impact of the size of a P&T Committee on its functioning is then examined. The characteristics of the P&T Committees at the school/college and institution levels in terms of the above mentioned three key objectives are discussed next. Based on these characteristics, three models are then defined, and effectiveness of each model is examined. Based on these models P&T structures at a sample of universities across the United States (12 universities in total) are examined and compared. The paper concludes with a specific example of how to apply these P&T models to a small university and the recommendations for further improving the effectiveness of the promotion and tenure processes.

THE PROCESS: FAIR AND TIMELY

Every candidate's case is unique, and there is no "one shoe fits all" methodology to the P&T review processes. However, all candidates deserve a fair hearing and adequate time devoted to the deliberation of their cases. Two main factors that can taint the P&T review process are (1) conflict of interest and (2) apparently benign actions (bad practices) of the Chair or the members of the Committee.

Conflict of Interest

The following measures are commonly taken (and should be taken if P&T processes at your institution do not already have these measures built in it):

1. A member is recused from the deliberations and vote on a candidate from his/her department.
2. In a P&T Committee where the membership includes both the Associate and Full Professors, Associate Professors are recused from the deliberations and vote on the Associate to Full Professor promotion cases.
3. Administrators are non-voting members of the P&T Committee. Their votes are not needed at the P&T level. Deans need not vote as they provide their independent evaluation of the candidate to the Provost. Similarly, if the Provost is a member of the P&T Committee, he/she need not vote as he/she provides his/her independent evaluation of the candidate to the President.

Bad Practices

There are many apparently benign actions (practices), especially by the Chair of the P&T Committee, which render the P&T review process tainted. Consequently, some candidates, if not all, do not get a fair and timely hearing on their cases. The following are the most common bad practices, which appear to be benign actions, but have the potential to taint the P&T review process:

1. P&T Committees are usually chaired by the Deans (at the school/college level) or the Provost (at the institution level). Chairs need to provide only the facts to the members of the P&T Committee and not opinions so that the P&T Committee members could reach their independent decision on the case. Some Chairs have a tendency to "weigh in" during the deliberations clearly indicating which way they are leaning. If before or during the deliberation it becomes clear which way the administration is leaning on a candidate, it fails the purpose of the P&T review process. Here is why: Some members of the P&T Committee may be influenced to vote along the administrative line. Others, especially outspoken faculty members who don't hesitate to confront administration may over-react and vote against the administrative line. There may be many P&T

members who would still make their independent decisions. However, the mere possibility of even a single member of the P&T Committee making a biased decision because the chair "weighed in" renders the process unfair to the candidate.

2. Running the P&T Committee in a time efficient manner is always a challenge for any Chair. However, placing artificial time limits on discussions or cutting off a discussion prematurely is the most common mistake that the Chairs of the P&T Committees make. These actions, at times, render the P&T review process unfair to the candidates. Each candidate's case is unique and deserves an adequate amount of time for deliberations. Setting a time limit for all candidates is one of the bad practices. If the discussion is terminated because of the time limits with many members still having questions unanswered or concerns unresolved, their votes, at best, will be based on insufficient information. Voting (favorably or unfavorably) with insufficient information has the potential to unfairly harm or benefit the candidate. Even those members who might abstain from voting because they feel that they don't have enough information, they are in essence, voting unfavorably (abstention is equivalent to a "No" vote). Discussion must go on until all legitimate questions or concerns of the P&T Committee members have been adequately addressed so that the P&T Committee members could make their independent decision. Chairs can take several measures to keep the P&T deliberations moving in a timely fashion such as not allowing the questions/concerns that have already been addressed (unless there is new information revealed). Limiting how many times any member can take the floor so that most if not all members can weigh in.

OVERALL SIZE OF THE P&T COMMITTEES

Committee size is one of the most important aspects that is usually ignored in academia where committees of arbitrary sizes are not very uncommon. Committees in academia are no different than teams in the business world. Both attempt to utilize the collective effort of a group to accomplish a larger and more complex task, which would not otherwise be achievable through individual effort. There has been a lot of research on finding an optimal team size (Latané, Williams, & Harkins, 1979; Kravitz &

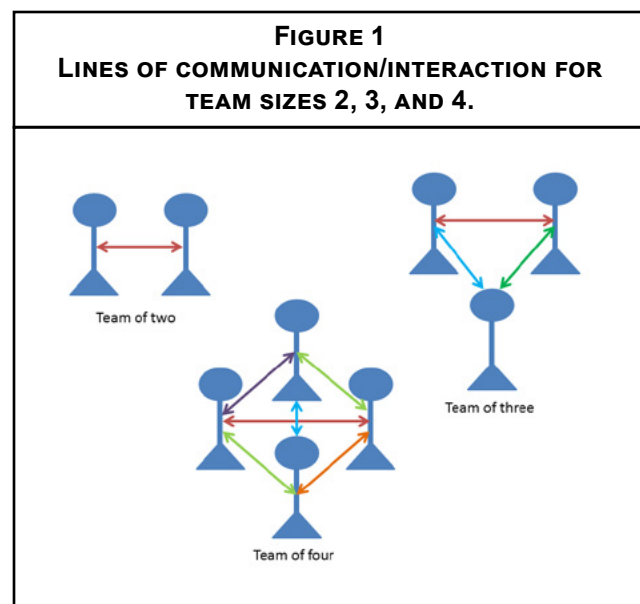
Martin, 1986; Shepard & Taylor, 1999; Latané, Williams, & Harkins, 2004; Lim & Klein, 2006). Too small of a team size is susceptible to a power struggle among team members (two versus one in a team of three; or three versus two in a team of five). Too large of a team suffers from "social loafing," a term used by Latané et al., to describe a phenomenon when people put less effort as part of a team than what they would have otherwise working alone (Latané, Williams, & Harkins, 1979).

In a team, where members need to interact or communicate with each other, the team size becomes more critical. The reason being that the lines of interaction or communication needed among team members increase at a much faster rate than the increase in the size of the team. Figure one illustrates this concept. In a two-member team, there is only one line of communication/interaction. If we add one more member (team of three) the number of lines of communication/interaction increases to three. If we double the team size to six, the lines of communication/interaction increase to 15, which is a five folds increase. In general, the lines of communication/interaction for a team of size N is given by

$$\text{Lines of communication/interaction} = (N(N-1))/2 \quad (1)$$

Table 1 shows the lines of communication/interaction for team sizes two through 12. Based on all the factors mentioned above, a reasonable size for the P&T Committee could be anywhere from 7 to 11 members.

TABLE 1 COMMITTEE SIZE AND THE NUMBER OF LINES OF COMMUNICATION/INTERACTION.	
Committee Size	Lines of Communication/ Interaction
1	0
2	1
3	3
4	6
5	10
6	15
7	21
8	28
9	36
10	45
11	55
12	66



college who usually does not have a vote. Membership could be made up of either tenured Full Professors only or tenured Associate and Full Professors with more Full Professors than Associate Professors. As mentioned earlier, conflict of interest is eliminated by:

4. Barring a member from voting on the case of a faculty member from his/her department
5. Barring Associate Professors from voting on the cases of promotion from Associate to Full Professor

Figure 1 shows the structure of the focused model.

Benefits

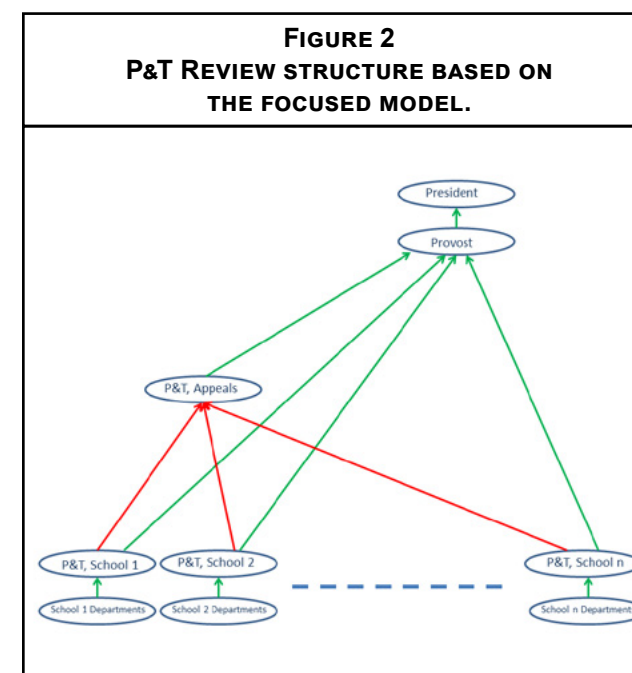
The Promotion and Tenure Committees at school level have faculty in related areas serving as members. There is no question that the experts in relevant disciplines are better suited to evaluate a candidate. They have a better understanding of the norms and standards in the candidates' areas of scholarship. Therefore, they can provide an objective evaluation and render a well informed decision on the promotion and tenure cases.

Drawbacks

The creation of the silo effect. Silo effect is a phenomenon in which each school/college pursues its goals with no concern of other units' needs; it's marked by the lack of communication and cross-unit support. The possible loss of across-the-board consistency in evaluation standards is also of concern in this model. The faculty members in the P&T Committee of a school/college make decisions for their peers from their school/college based on their standards. The faculty members from a different school/college have no opportunity to weigh in on those decisions. Therefore, each P&T Committee works in a silo, which makes it difficult to maintain across-the-board common standards. In this model, area Deans, essentially, provide oversight of the P&T Committees in their schools/colleges. A school's P&T Committee could use lower standards and approve weak candidates for promotions and tenures despite the efforts of the School Dean to maintain a higher standard. In this case, the Provost, and ultimately, the President would be left holding the bag—making unpopular decision of declining weak candidates' promotions and/or tenures. Most administrators would do that; however, this may not be the best way to run an institution where there is always an unnecessary tension between the administration and faculty.

Another problem with this model is that smaller institutions may have difficulty recruiting enough Full Profes-

sors to populate the P&T Committees. As mentioned earlier, using a committee size of five or less has the potential of creating a power struggle among members, which would result in loss of objectivity. The only other option to maintain a reasonable committee size would be to include tenured Associate Professors in the P&T Committees, which is not a good idea especially for the cases of promotions from Associate to Full Professor.

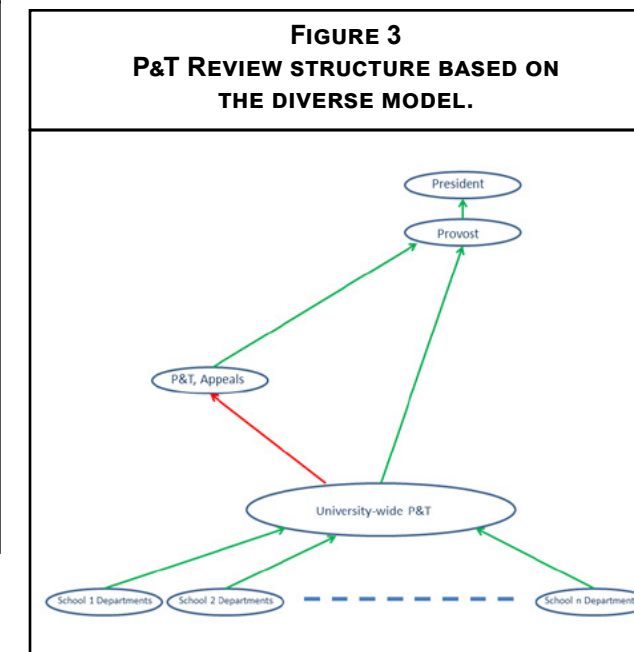


Diverse Model

In this model, an institution level P&T Committee reviews the promotion and tenure recommendations from the departments and makes its recommendations to the Provost. The P&T Committee in this model will have a representative from all academic departments, ideally one per department. In institutions where librarians are considered faculty, the Library will also be represented at the P&T Committee. Figure 3 shows the structure of the diverse model.

This is the way the promotion and tenure process works at many CUNY campuses. Faculty members (department Chairs) from all departments representing a wide range of disciplines are members of the promotion and tenure committee (Personnel and Budget Committee or P&B Committee in the CUNY system). The idea is that such a diverse group would provide an objective evaluation, minimize silo effect and maintain consistent evaluation standards across the board. In order for this model to provide the desired results, the faculty members (Chairs) from unrelated disciplines have to be "active participants" and

not "observers." By "active participants" I mean that they are the people who review the candidate's files/portfolio and then provide an objective evaluation/scrutiny of a candidate's credentials. The observers may not review candidate's files/portfolio; they may have on-the-spot questions/comments and, use clues from active participants' arguments to make a decision. An overly diverse body is more likely to have more observers. The more observers a decision-making body has, the more likely it is that the decision will be marred by the group thinking syndrome. That is, a few members would sway or control the opinion of the Committee and ultimately influence the final vote.



Benefits

A diverse single P&T Committee eliminates the silo effect and ensures that uniform standards are applied to candidates from all disciplines. This helps maintaining across-the-board quality control. Also, the total number of faculty members needed for the P&T review process is greatly reduced, which makes it more feasible to have a P&T Committee comprised of Full Professors only. Another benefit is that because there is only one P&T Committee, the Provost, and President may have an opportunity to attend the P&T Committee meeting and participate in the deliberations despite their busy schedules.

Drawback

A single large P&T Committee is susceptible to social loafing by its members as during the deliberations over any given candidate there will be more members from the irrelevant disciplines than from the relevant disciplines. If

MODELS OF THE PROMOTION AND TENURE PROCESS

We now define three models of the promotion and tenure process based on the above mentioned objectives:

1. Focused model: This model primarily helps to achieve faculty excellence.
2. Diverse model: This model primarily helps to achieve consistency in evaluation standards.
3. Hybrid model: This model provides a balance between the level of achievement of faculty excellence and consistency in evaluation standards.

Focused Model

Increasing faculty excellence requires a thorough review of the candidate's credentials. The best people to conduct a thorough review are the experts in candidate's discipline. However, finding a sufficient number of experts in every candidate's area within an institution, which can form the P&T Committee, is practically impossible. In practice, a thorough review of the candidate's credential will be conducted by the people who are, at a minimum, familiar with the candidate's discipline. That leads to the P&T Committee, which is made up of people in relevant disciplines, and we call this the focused model. Schools or colleges are formed by grouping relevant disciplines together. The P&T Committees in the focused model will be formed at the school/college level with membership, usually elected at large, coming from the same school/college. The committee is chaired by the Dean of the school/

many of them are not active participants, they will have little interest in the deliberations and would opt for social loafing. A byproduct of this state of the Committee would be that the decisions on candidates suffer from the group thinking syndrome.

Hybrid Model

This model is a combination of the diverse and focused models that potentially brings the benefits of both of them. That is, a hybrid P&T Committee would have both experts in areas relevant to the candidate’s discipline as well as faculty from unrelated disciplines. Ideally, one can ensure excellence both at the candidate as well as institution level by conducting a focused (thorough) evaluation with a minimal silo effect and still maintain across-the-board quality control. However, realistically, the hybrid model can provide a trade-off between ensuring excellence at the candidate level and consistency in evaluation standards applied to all candidates. A properly executed hybrid model can allow an institution to create the desired balance between maintaining excellence at the candidate level and consistent application of evaluation standards to all candidates. Institutional priorities determine the balance between achieving faculty excellence and applying consistent evaluation standards to all candidates. We define institutional priorities for achieving faculty excellence versus applying consistent evaluation standards to all candidates in terms of the consistency factor. The consistency factor defines the level of priority an institution places on having consistent evaluation over assuring individual faculty excellence. The P&T structure for the hybrid model is the same as the focused model; however, committee membership in a school P&T Committee is determined based on the desired consistency factor.

In a school P&T Committee of size “L,” there will be “M” members from the relevant disciplines (from the same School) and “N” members from the irrelevant disciplines (from outside of this School) for a desired consistency factor “C” where,

- $C = N/M$ (1)
- $0 \leq C \leq N$ (2)
- $N \geq 0$ (3)
- $M \geq 0$ (4)
- $M + N = L$ (5)

The consistency factor “1” ($C = 1$) means the institution has an equal priority for achieving faculty excellence and applying consistent evaluation standards to all candidates. The consistency factor of less than “1” ($C < 1$) means that it is a higher priority for the institution to achieve faculty excellence than to apply consistent evaluation standards to all candidates. That is, for $C < 1$, the hybrid model is tilted towards the focused model. A consistency factor more than “1” ($C > 1$) means that it is a higher priority for the institution to apply consistent evaluation standards to all candidates than to achieve faculty excellence. That is, for $C > 1$, the hybrid model is tilted towards the diverse model. Note for $C = 0$, the hybrid model turns into the focused model. Similarly, for $C = N$, the hybrid model turns into the diverse model.

Most institutions have promotion and tenure committees at the school/college level where each P&T Committee is formed by elected faculty members of that particular school/college. These committees effectively achieve objective 1 and follow the focused model; however, they suffer from the silo effect, and the across-the-board quality control is very difficult to maintain. Many campuses in The City University of New York (CUNY) system have an institutional level promotion and tenure committee, called the Personnel and Budget Committee (P&B). This committee consists of the department heads of all academic departments. The functioning of this committee primarily helps achieve objective 2 and, therefore, follows the diverse model. The hybrid model strives to capture benefits of both the focused and diverse models.

The review of the P&T processes in a sample of US universities is given in Table 2. The P&T processes at 12 universities were reviewed. The universities were chosen with no preference except that their P&T processes are included in publicly available documents. Furthermore, roughly equal number of universities was selected from the four regions: north east, south east, mid-west, and west.

Institution	Model	Committee Structure and Faculty Membership							Term (Years)	Comments
		Size	Chair	FP	AP	ASP	Elected*			
College of Staten Island	Diverse	24	President	Y	Y	Y	Y	3	Committee members are the elected department chairs. Positive decisions go to the president as recommendations. Negative decisions can be appealed to the Appeals Committee that has six elected faculty (tenured, Associate and Full Professors only).	
New York University	Diverse	12	Faculty	Y	N	N	Y(6)	3	Faculty of Arts and Science (FAS) at the New York University is used here as an example. P&T Committee has representation from all three divisions of the FAS. Six members of the Committee are elected, and the Dean of FAS appoints other six. P&T make recommendations to the Dean of FAS.	
Rensselaer Polytechnic Institute	Focused with Oversight	Varies with school Oversight: 8	School level: Dean Oversight: Provost	Y	N	N	Y	3	School P&T Committees are made of department chairs as well as faculty representatives. Oversight is provided by the Faculty Committee on Promotion and Tenure (FCPT), which has representation from each School. Provost separately receives recommendations from the Committee of Deans (CD). The Joint Committee on Promotion and Tenure (JCPT), which is a combination of FCPT and CD, make a final recommendation on the candidates to the Provost.	
Pennsylvania State University	Focused	5	Faculty	Y	Y	N	Y (4)	2	P&T Committees are at the school level. School of Information Science and Technology is used here as an example. There are four elected faculty members, and the Dean appoints one. There are separate committees for tenure and promotion. Tenure Committee members are also the members of the Promotions Committee; however, the Promotions Committee requires having at least three Full Professors. Therefore, the Dean appoints one Full Professor to the Promotions Committee. Members from outside the school can be appointed by the Dean to support cross-discipline fields.	
San Francisco State University	Diverse	5	Faculty	Y	N	N	Y	2	The University Tenure and Promotion Committee (UTPC) is made up of five elected members with a faculty rank of Full Professor. Departmental P&T Committee’s Chair and area Dean send their recommendations to the Provost. The UTPC considers those recommendations along with the Provost’s review for its recommendations on candidates.	

Institution	Model	Committee Structure and Faculty Membership						Comments	
		Size	Chair	FP	AP	ASP	Elected*		
Stanford University	Focused with Oversight	Varies with school	Faculty/Chairs	Y	Y	N	N	1	Departmental decisions go to the School level Appointments and Promotions Committee (A&P). A&P is made of senior faculty, or in some schools, of department Chairs. An area Dean appoints A&P members. A&P make its recommendations to the Dean, who sends his/her recommendations to the Provost. The Provost makes the final decision and submits it to the Advisory Board of the Academic Council, which acts as an oversight Committee.
Tulane	Focused	9	Faculty	Y	Y	N	Y	2	P&T Committees are at the school level. P&T Committee of the School of Science and Engineering is used here as an example. Committee must have at least five Full Professors.
University of Miami	None	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Only department level P&T Committees exist. Department Chair and area Dean submit their independent recommendations along with the departmental P&T Committee's recommendations to the Provost. Provost makes the final recommendations to the President.
New Mexico State University	Focused	7	Faculty	Y	Y	N	Y	3	P&T Committee of the College of Arts and Sciences is used here as an example. College P&T has a total of seven members. Department Chairs cannot participate in the departmental P&T Committees.
University of Wisconsin, Madison	Focused	≥ 12	Faculty	Y	Y	Y	Y	3	University faculty members are divided into four Faculty Divisions. Each Division has its own Divisional Executive Committee, which reviews the departmental recommendations for tenure from its Division. Divisional Dean sends the recommendations of the Divisional Executive Committee along with his/her independent recommendations to the Provost. The Provost makes the decision.

Institution	Model	Committee Structure and Faculty Membership						Comments	
		Size	Chair	FP	AP	ASP	Elected*		
Rice University	Diverse	8	Provost	Y	N	N	Y (6)	3	P&T consists of six elected tenured Full Professors from all Schools. Provost appoints two additional full Professors to the Committee. However, P&T does not use traditional voting system to approve or disapprove the tenure and/or promotion. Instead, it uses a graded scoring system with a score for different attributes of the candidate's portfolio. P&T send its recommendations to the President of the University, who make the final determination.
South Dakota State University	Diverse	8	Provost	Y	Y	Y	Y(4)	3	The university-wide Tenure and Promotions Committee consists of four elected faculty members, and the President appoints other four members. There is no restriction on elected faculty members in terms of rank or even tenure. Even untenured faculty can get elected and serve on the Committee; however, they cannot serve during the year in which their case for tenure or promotion is brought up. The Committee makes the recommendations to the President who makes the final decision.

FP: Full Professor; AP: Associate Professor; ASP: Assistant Professor
Y: Yes; N: No; N/A: Not applicable.

* Y in this column means all faculty members of the P&T Committee are elected at large. If some are elected at large and the rest are appointed then the number in parenthesis represents the number faculty elected at large.

EXAMPLE OF IMPLEMENTING P&T MODELS

All three models mentioned earlier will be analyzed for a small university in the North East United States. Let's call it North East University (NEU). NEU has over 15,000 students with five schools, which have 30 departments in total, and a total of 375 full-time faculty members. Schools in NEU include School of Business, School of Education, and School of Health Sciences, School of Humanities and Social Sciences and the School of Natural Sciences and Engineering. Table 3 shows the full-time (FT) faculty affiliation schools in all ranks (Lecturer to Full Professor) who are actively employed at NEU. The size and composition of the P&T Committee vary from

institution to institution. However, for the analysis in this paper, the P&T Committee size of nine members will be used. What follow next is several possible compositions of P&T Committees for small institutions like NEU that can be tailored to specific needs or priorities of the institution.

Focused Model

It is obvious from the Table 3 that the focused model of the P&T review process with Full Professors only membership is not feasible because of the lack of enough Full Professors in several schools. Therefore, NEU would need to expand the pool by including tenured Associate Professors as well. Other options would be to consider either a

TABLE 3
FULL-TIME ACTIVE FACULTY AFFILIATIONS AT NEU
(AS OF FALL 2014)

School	Lecturer	Assistant Professor	Associate Professor	Full Professor	Totals	
					All Faculty	Associate & Full only
Business	4	14	12	7	37	21
Education	0	7	13	3	23	16
Health Science	6	9	5	6	26	11
Humanities and Social Sciences	13	56	54	46	169	100
Natural Sciences & Engineering	12	23	43	42	120	85
Total	35	109	127	103	375	230

diverse model of the P&T review or a hybrid model (discussed later).

Figure 4 shows the structure of focused model for NEU. The model consists of five School P&T Committees and one University-wide P&T Appeals Committee that hears appeals against the negative decisions made by School P&T Committees. NEU would need nine tenured Associate or Full Professors from each school that are available and willing to serve on the P&T Committees. The structure assumes that the Deans of the Schools chair the P&T of their School and forward all positive P&T Committee's recommendations, along with their independent recommendations, to the Provost. Negative recommendations of the P&T Committees can be appealed by the candidates and would be dealt with by the University-wide Appeals Committee. The focused model would require a commitment from 54 tenured Associate and Full Professors, which is approximately 23.5% of the Associate and Full Professor population at the NEU. In other words, under the focused model, one out of every four Associate or Full Professors needs to be involved in the P&T process. Experience shows that this is too much of a commitment to ask from many faculty members, especially the ones active in research.

As mentioned earlier, the focused model suffers from the silo effect. The impact of the silo effect can be minimized by adding an oversight to the School P&T Committees. Note that there is a built-in oversight of the School P&T Committees through the Deans and the Provost. However, this leaves the administration making unpopular decisions of denying tenure or promotion to the weak candidates forwarded by the department. This would potentially create a constant confrontational environment where administration would be perceived as faculty un-

friendly. Therefore, it would be prudent to add a faculty oversight to School P&T Committees. Figure 5 shows the focused model with a faculty Oversight Committee. An oversight of School P&T Committees is incorporated in the focused model by adding an institution-wide Oversight Committee that would receive recommendations from the School P&T Committees and make its recommendations to the Provost. The oversight P&T would need members from across the University. Assuming a nine-member Oversight Committee, the total number of faculty needed for the focused model with Oversight would increase to 63 faculty members at the Associate or Full Professor level. This is a fairly large number for a small institution such as NEU.

Diverse Model

In the diverse model, NEU will have one institution wide P&T Committee with representation from all academic departments. That means it will be a committee of 30 faculty representatives, five Deans, the Provost, and possibly, the President. That makes it a committee of 37 members, which is a fairly large committee. Figure 6 shows the structure of the diverse model. However, it's a single committee system. With a nine-member Appeals Committee the total number of faculty needed for P&T processes is 39. That is almost half the number of faculty needed in the focus model with oversight. Finding 39 Full Professors would still be a challenge for NEU; however, it is certainly a possibility. On other hand, a committee of such size with disciplines on both sides of the spectrum makes the committee extremely diverse. Therefore, for any candidate being considered for promotion and/or tenure the proportion of the members from the irrelevant disciplines will be very high in comparison to members from the relevant

disciplines. If the committee is not properly guided, there will be many more observers than active participants during the consideration of any candidate. Consequently, this committee will be susceptible to social loafing and group thinking syndrome in which consistent standards are likely to be applied on all candidates; however, the standards are also likely to decline over time. Periodic review of the committee's work and training of the committee members might help to curb the decline in standards.

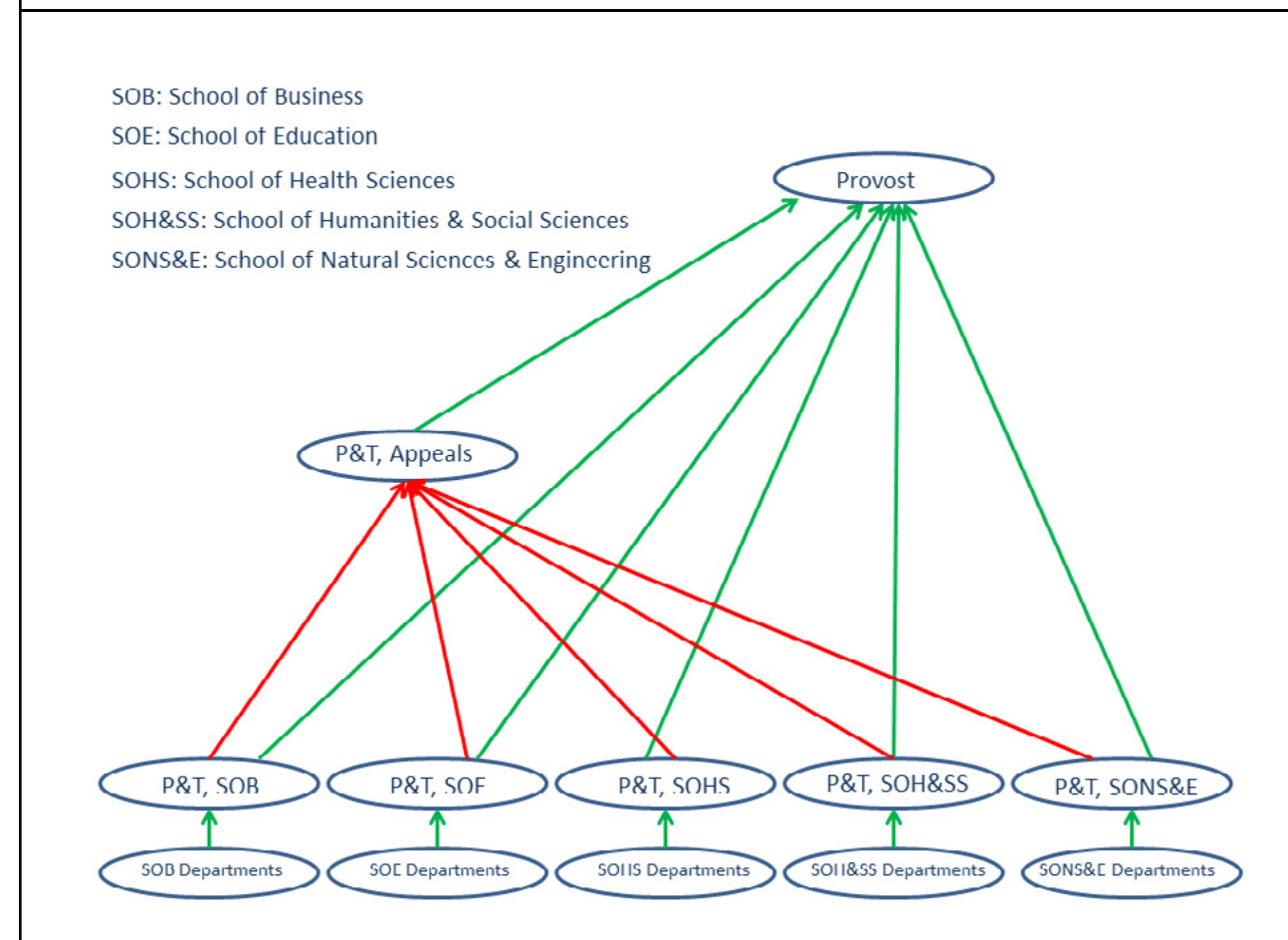
Hybrid Model

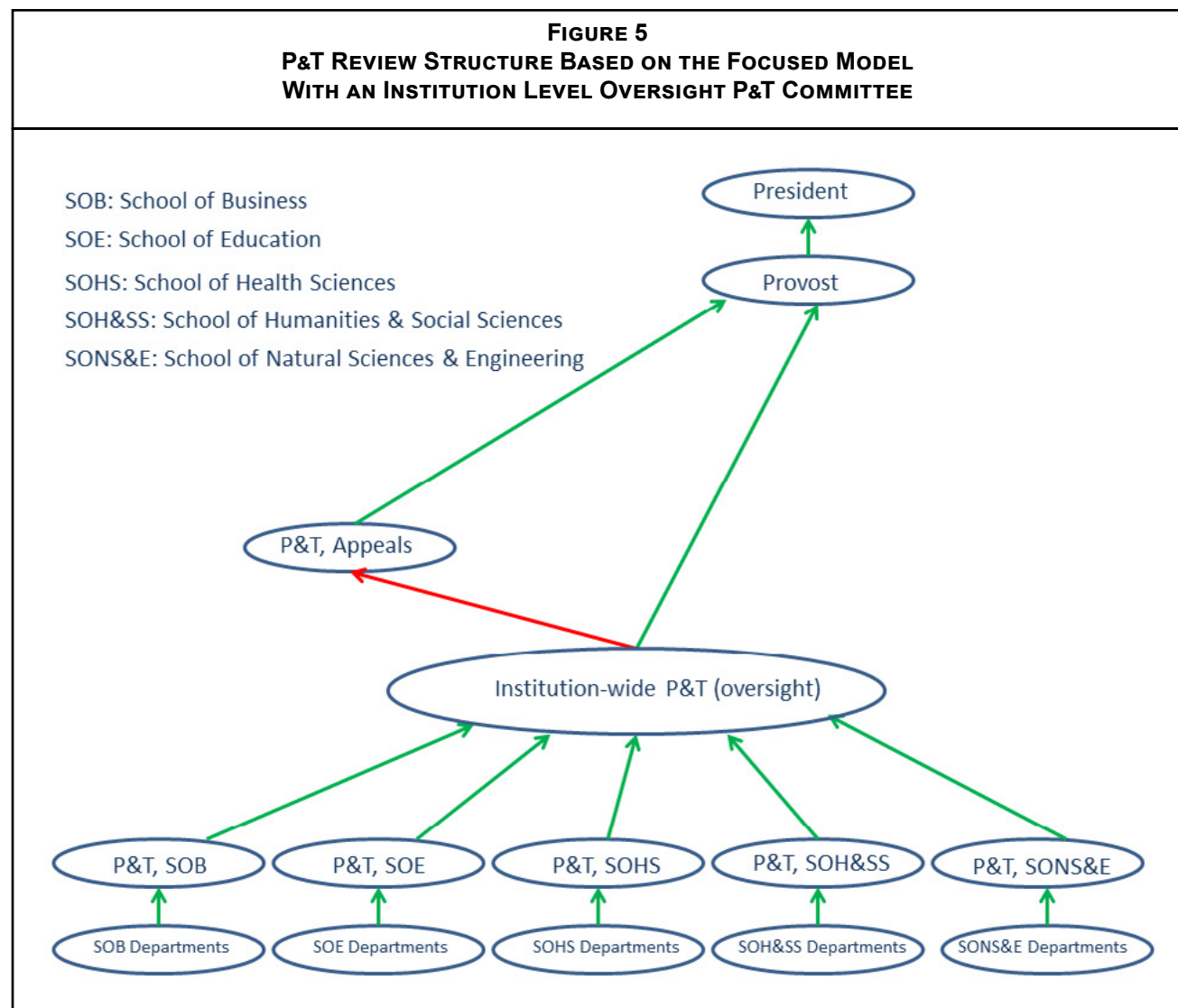
In the hybrid model, NEU will have hybrid P&T Committees at the School level. Using a Committee of nine members and a consistency factor of as close to one as possible, every School P&T will have five members from the same School and one each from the other four schools. Finding five Full Professors for the School P&T is feasible for every school of NEU except the School of Education.

If the same five Full Professors also serve on P&T Committee of other Schools as well, NEU needs only 25 Full Professors for the five School P&T Committees and nine Full Professors for the Appeals Committee. Therefore, a total of 34 Full Professors are needed to implement a hybrid model, which is highly feasible for a small institution such as NEU. The hybrid model for NEU requires the least number of faculty members with the most robust P&T Committees in terms of their susceptibility to social loafing and group thinking syndrome. The hybrid model will provide a very focused review of the candidates with consistent application of University standards, which are not likely to decline because of minimal social loafing and susceptibility to group thinking syndrome.

Personally, I would like to have a balance between achieving faculty excellence (thorough evaluation) and application of consistent standards on all candidates with a thorough evaluation as my primary objective. The reason

FIGURE 4
P&T REVIEW STRUCTURE BASED ON THE FOCUSED MODEL.





is that there are many places other than the committees on personnel matters where actions can be taken to minimize the silo effect and ensure consistency in standards among different Schools. However, in most if not all cases, a thorough evaluation of a candidate by the experts in relevant disciplines can only happen through the P&T committees. Table 4 summarizes the pros and cons of three models for NEU.

In closing, we have presented three models of P&T Committee processes and examined their effectiveness and implementation issues. The focused model provides a thorough review of the candidate at the expense of sacrificing the application of consistent standards across the institution. The diverse model helps applying consistent standards on all candidates at the expense of sacrificing the thoroughness in the review process. Furthermore, as the P&T Committee size increases the likelihood of still

consistent, but declining standards being applied at the P&T considerations increases. This is due to increasing social loafing and susceptibility to the group thinking syndrome. A large number of observers are responsible for the group thinking syndrome, which is highly undesirable because it fails the purpose of having a diverse group involved in the decision-making process.

The hybrid model provides the most robust structure while requiring the least number of faculty needed for the hybrid P&T Committees. It brings a more thorough evaluation by concentrating discipline relevant experts as well as improving quality control by reducing/eliminating observers on the P&T committee.

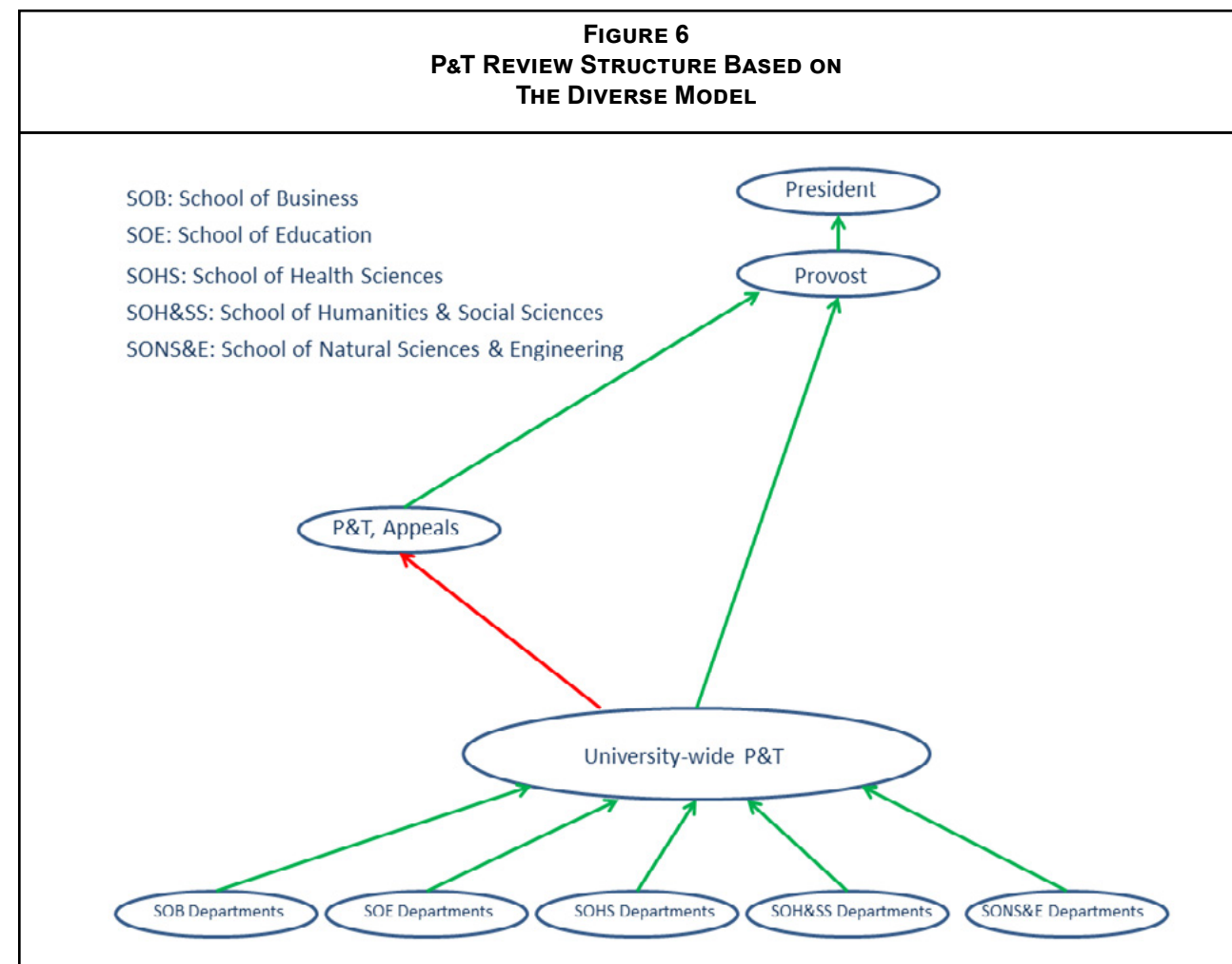


Table 4
Summary Comparison of the Key Aspects of the Three Models Applied to Neu.

Model	Number of Faculty Needed	Susceptibility			Robustness/Quality	
		Group Thinking	Social Loafing	Silo Effect	Evaluation	Consistency of Standards
Focused	63	Low	Low	High	High	Low-to-Moderate
Diverse	39	High	High	Low	Low-to-Moderate	High
Hybrid	34	Low	Low	Low	Moderate-to-High	Moderate-to-High

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