



## 2023 Promotion & Tenure – Innovation & Entrepreneurship (PTIE) Workshop

November 1-2, 2023



Student Center Ballrooms A & B (Third Floor)  
1400 J. R. Lynch Street. Jackson, MS 39272



*The organizers graciously acknowledge support from the National Science Foundation  
(Award # CNS-1936073) for this workshop and all the PTIE efforts to date.*

## Key Info

### Agenda:

*Wednesday, November 1, 2023 – Student Center Ballroom B*

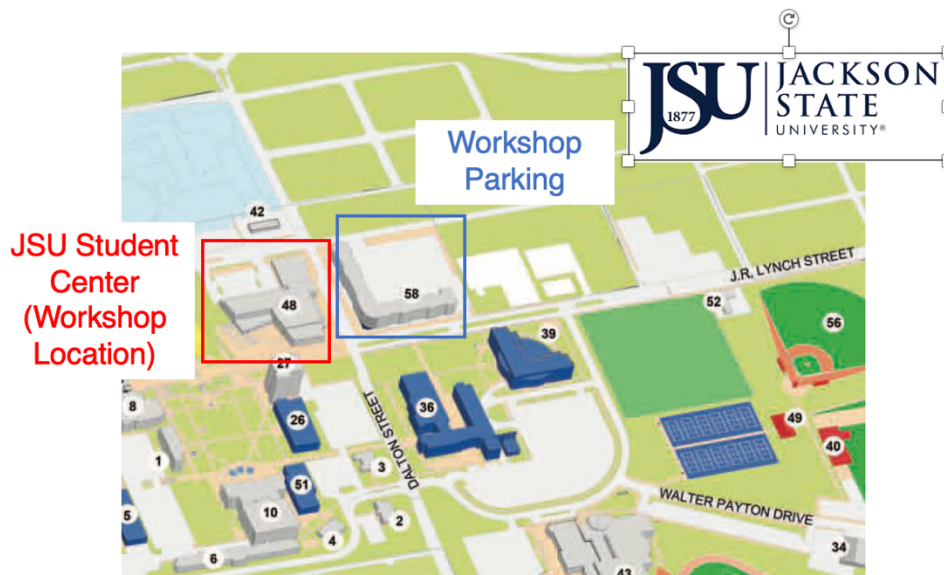
- **4:00 pm-6:00 pm:** Registration and Check-In
- **6:00 pm-7:15 pm:** Dinner Buffet
- **6:40 pm:** Welcome by Provost and Senior Vice President of Academic Affairs Alisa Mosley (Jackson State University)
- **7:15 pm-8:00 pm:** Overview of PTIE Initiative and Recommendations by Professor of Chemistry & Faculty Lead for Innovation Excellence Rich Carter (Oregon State University) and Assistant Vice President for Research & Economic Development Almesha Campbell (Jackson State University)

*Thursday, November 2, 2023 – Student Center Ballroom A*

- **7:00 am-8:00 am:** Breakfast
- **8:00 am-9:50 am:** GAP Analysis Workshop (See “1. Gap Analysis for PTIE to your Campus”)
- **9:50 am-10:00 am:** Break
- **10:00 am-10:30 am:** Plenary Lecture Dean of Engineering Pamela McCauley (Widener University)
- **10:30 am-Noon:** Implementation Workshop (See: “2. Roadmap with Tips and Tools for Adopting PTIE on your Campus”)
- **Noon-1:00 pm:** Working Lunch (See: “3. Build an Action Plan for PTIE on your Campus”)
- **1:00 pm-2:00 pm:** Report Out from Institutions and Final Discussion

### Location:

Student Center Ballrooms A & B (Third Floor) 1400 J. R. Lynch Street. Jackson, MS 39272



## What is PTIE?

**Promotion & Tenure – Innovation & Entrepreneurship (PTIE – pronounced “P-Tie”)** is a global movement to support the inclusive recognition of innovation & entrepreneurship (I&E) impact by university faculty in promotion, tenure & advancement guidelines and practices. Led by Oregon State University, this effort is made possible by support from the National Science Foundation (Award # CNS-1936073). A key aspect of PTIE is the networked systems approach it has taken through the nationwide PTIE coalition and PTIE stakeholder organizations. The outputs from this effort are disseminated through publications, biennial national conferences, periodic PTIE workshops and through its website.



### What are the Overarching PTIE recommendations?

<b>1</b>	<b>University-wide language</b> directly linking the evaluation of faculty to institutional mission, values, and goals across the multiple levels at an institution (unit, department, school, college, university, and system).
<b>2</b>	<b>Innovation and entrepreneurship (I&amp;E) metrics</b> to serve as indicator data to be used in a narrative thesis of impact. Metrics are grouped into six subcategories: (a) intellectual property, (b) sponsored research, (c) use and licensing, (d) entity creation, (e) I&E career preparation, and (f) I&E engagement.
<b>3</b>	<b>I&amp;E text for evaluation criterion</b> to be incorporated into the (i) research (scholarship and creative activity), (ii) teaching and advising, and (iii) service categories typically evaluated for promotion and tenure (P&T).
<b>4</b>	<b>Process changes</b> for supporting systemic culture change, improving transparency, and addressing bias (for example, directions for personal statement, external reviewer resource and guidance, involvement of P&T process consultants, expanded training, and reframing and importance of diversity, equity, and inclusion).
<i>These core elements are also intended to provide a framework or superstructure for concurrent efforts to reimagine other areas of scholarship in promotion and advancement.</i>	

### What can I do? Engage!

<ul style="list-style-type: none"> <li>• <b>Attend</b> the 2023 PTIE Workshop at Jackson State University (Nov 1-2, 2023).</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Review</b> the PTIE recommendations with your university leadership and colleagues.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Encourage</b> your institution to become a member of the PTIE Coalition.</li> </ul>
<a href="https://ptie.org/events/">https://ptie.org/events/</a>	<a href="https://ptie.org/content/">https://ptie.org/content/</a>	<a href="https://ptie.org/coalition/">https://ptie.org/coalition/</a>

### Workshop Organizers

	<p><b>Almesha L. Campbell</b> 2023-2024 Chair, AUTM Assistant Vice President of Research and Economic Development, Jackson State University <a href="mailto:almesha.l.campbell@jsums.edu">almesha.l.campbell@jsums.edu</a></p>		<p><b>Rich G. Carter</b> Professor of Chemistry and Faculty Lead for Innovation Excellence, Oregon State University <a href="mailto:rich.carter@oregonstate.edu">rich.carter@oregonstate.edu</a></p>
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# 1. Gap Analysis for PTIE to your Campus

1. Who are key stakeholders and influencers on campus that must buy-in to the importance of PTIE on your campus?

Senior Administration (Provosts, Faculty Affairs office, Faculty Senate)	Mid-level Administrators (Deans, Department Chairs/Heads)	Faculty

2. Who are your PTIE allies (both on and off campus)?

On Campus	Off Campus

3. What are the top challenges to adopting PTIE on your campus? What are the possible responses to frame the consideration and acceptance of PTIE?

Challenge #1	Challenge # 2	Challenge #3
Possible Solution or Approach to Challenge #1	Possible Solution or Approach to Challenge #2	Possible Solution or Approach to Challenge #3

4. What are the key benefits to adopting PTIE on your campus?

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## 2. Roadmap with Tips and Tools for Adopting PTIE on your Campus

**Summary:** The goal of the PTIE (Promotion & Tenure – Innovation & Entrepreneurship) effort is to **change culture** on university campuses around the country to inclusively recognize innovation & entrepreneurship (I&E) impact by university faculty. Each institution will have its own unique situation and it is important to build a personalized roadmap that will be effective for that university. The tips and tools listed below are accumulated through the shared experiences of the PTIE coalition.

### General Tips and Tools:

- **Take Advantage of the Coalition.** We have found that universities (both faculty and administrators) see significant value in best-practices recommendations that have been developed by the 65+ member PTIE coalition. In addition, the fact that this work was funded by the National Science Foundation and the outputs have been communicated in peer-reviewed publications (most notably the 2021 Science paper) adds additional credibility to the work.
- **Be Inclusive.** Messaging should be broadly focused to include individuals from across the campus (including the arts and humanities) to build broad support. Make sure to listen for other areas of impact that faculty members share that are not currently fully valued in the existing system. PTIE's recommendations are specifically set up to provide a superstructure to support those other areas of evolving impact (see Science paper). Additionally, the process change recommendations are intended to create a more fair and transparent process for all faculty going through promotion. These key components allow the vast majority of the faculty to see value in the changes – even if the individual is not focused on I&E.
- **Word Choice Matter.** We have found that focusing on innovation and societal impact in your messaging helps more faculty to see value in PTIE as it related to their own work. Entrepreneurship can be a term that has negative connotations for a significant section of the faculty – likely due to have a stronger link to businesses and profit motives. Be careful with when and how you discuss the financial aspects of I&E as faculty can falsely perceive that the intellectual rigor of the work will be compromised by money.
- **Plan before Acting.** A thoughtful, planned process is typically well-received on university campuses. Consistent and deliberate messaging broadly across campus during that effort is a key component to its success. Universities that tend to struggle with the process often neglect to include key members of the community in the early phases of the effort (Faculty Senate is the most common group that gets avoided until the end which tends to cause significant challenges).
- **Education is Key.** Some of the hesitancy to recognizing I&E impact is a false presumption of the lack of rigor for funding/publishing and/or lack of significant intellectual merit in the translation of a discovery into an output that has societal impact (e.g., as a product or service). For example, share with faculty that Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) grants (commonly used to help translate a discovery into a product) are peer-reviewed with funding level similar to basic science grants (For example, SBIR Phase I grants from NSF have a 10-20% funding success rate). Similarly, explain the need for patenting and other forms of intellectual property (IP) protection to develop a viable plan to have societal impact. Finally, make sure to communicate that patents are (a) rigorous, vetted documents whose impact can be tracked through citations both in publications and in other patents and (b) published 18 months after submission in an open-access format (satisfying the key concern about communicating discoveries that researchers often have).



- Not a Threat. Basic science researchers as well as scholars in the arts and humanities can feel threatened by I&E. It is important to assure those individuals that their work will continued to be valued at the same level as it is currently. The goal of PTIE is to equally recognize other areas of impact that are not currently fully valued in the existing paradigm. Dr. Laurie Leshin, former President of Worcester Polytechnic Institute, described efforts to recognize other areas of impact as “broadening the bar for promotion and advancement” to be more inclusive of the 21<sup>st</sup> century academy – not to raise or lower the requirements.
- Stepwise is OK. Some universities find that attempting to adopt all the desired changes at once is challenging. The local leaders of the effort need to recognize the realities on their campus and adjust their plan accordingly. This could mean adopting only a portion of the recommendations initially and coming back to address the remainder in a second phase.

**Reminder:** It is easy to primarily focus on changing the rules around promotion & tenure (P&T). Rule changes are only part of the equation. The roadmap outlined below is intended to help build the momentum for culture change which takes time (years). The goal of this document and the workshop is to give you the tools to achieve that change! The perils of culture change are not new. Niccolò Machiavelli famously said:

*“It ought to be remembered that there is nothing more difficult to take in hand, more perilous to conduct, or more uncertain in its success, than to take the lead in the introduction of a new order of things. Because the innovator has for enemies all those who have done well under the old conditions, and lukewarm defenders in those who may do well under the new. This coolness arises partly from fear of the opponents, who have the laws on their side, and partly from the incredulity of men, who do not readily believe in new things until they have had a long experience of them.”*

### **Phase I: Planning and Alignment**

- Get Senior Administration Buy-in (e.g., Provost, President, Vice President of Research, Vice Provost of Faculty Affairs, Chief Diversity Officer, Provost Council made up of Deans and other senior leadership)
- Identify faculty member(s) to be the champion to shepherd the effort across the finish line. Ideally, this is someone who is not in senior leadership and is (a) well-respected for their traditional research, (b) understands and is active in the I&E space, and (c) has prior/current mid-level leadership (chair/head/dean) experience.
- Confirm need from faculty for changes to P&T to recognize I&E via internal survey or some other tool to capture importance.
  - Consider developing a supporting video to include with survey that has faculty from across campus speak about what innovation, entrepreneurship, and societal impact means to them (see example in pre-work).
  - OSU has internal survey draft available that can be adapted and used on your campus. Please contact Professor Jana Bouwma-Gearhart (Associate Dean and Professor, College of Education, Oregon State University, [Jana.Bouwma-Gearhart@oregonstate.edu](mailto:Jana.Bouwma-Gearhart@oregonstate.edu)).
- Establish “Innovation Fellows” program made up of representatives across campus (e.g. each college in a large institution or a broad cross section of departments/schools in a smaller institution) that understand I&E and can translate to their local community / stakeholders. Make sure to include foundation / alumni representatives. Have the group meet regularly with your campus-level I&E leads to share developments and resources as well as serve as a two-way



conduit for information with the faculty. Have them identify areas that they see as needing to be addressed to support I&E culture change.

- Ensure your I&E programming to support faculty is sufficient/aligned/prepared and that your messaging is broad – reaching across campus and not just to engineering and more applied disciplines.
- Identify initial points/individuals of resistance and whom in your I&E team is best equipped to work with them to address concerns.
  - Department Chairs/Deans may not fully realize the level of interest from their faculty as junior faculty rarely share the totality of the desires with their supervisors/senior colleagues. Conducting an internal campuswide survey of faculty interest in I&E to provide data can be a non-confrontational to educate them. Remember, administrators can also have “selective amnesia” about what it was like to go through the P&T process – the stresses and challenges that most junior faculty experience. It is important to create a safe space for junior faculty to share candid feedback about the process and to act on their concerns.
- Develop an introductory presentation for messaging on campus to faculty / departments / colleges (lots of content on the PTIE website to help).

## Phase II: The Push for Change

- Charge a campus-wide committee to shepherd the conversation and recommendations through the review and approval process. Your identified I&E champion (faculty member) lead should be a co-chair of the committee. They should serve in partnership with another faculty member who is: (a) well-respected by the faculty, (b) supportive of the changes and (c) not an I&E person. This strategy helps to ensure the faculty that you are thinking broadly about this topic. The committee can use the PTIE recommendations as the starting point for that committee.
- Connect early on with your Faculty Senate and work closely with them to address concerns / questions they might have (the committee could even be changed by Faculty Senate).
- Co-chairs of committee should present at Faculty Senate an introduction to the effort, reinforce how this is the beginning of the conversation.
  - Layout a plan to work this effort through the campus and Faculty Senate over a 12-24 month timeframe seeking their feedback and input.
  - Offer to present to individually departments/colleges that request it.
  - Schedule open forums for faculty to attend to discuss the topic and give feedback.
  - Use anonymous feedback options (e.g., webform submissions) for people that are not comfortable identifying themselves.
  - State very clearly that you are not seeking to make this a requirement and that the intent is to recognize faculty not fully valued under the current paradigm.
  - Reinforce the national momentum around PTIE and circulate relevant documents.
  - Remind the audience of (a) the institution’s mission statement / strategic priorities that link to PTIE and (b) the importance of student training in these transferable I&E skills that will help to create an agile and adaptable workforce.
    - *“People are the most important output of a university – both for the students that they educate and mentor to be leaders in our society and for the faculty/researchers/scholars that they help to realize their career goals.”*
- Put in the work to get real feedback from folks and adjust plans accordingly.



- The PTIE recommendations are only intended to be a starting point for changes that may be adopted.
- Recognize that sometimes a staged approach for change can be more palatable on your campus.
- Remember that you are changing culture – be patient with folks as they are adjusting their mindset. This effort takes time and often several conversations to achieve.
- Some people will feel defensive and threatened – give them the space to air their concerns and work with them to build trust. Recognize that many faculty gain much of their identity from their work and change can be viewed as threatening.
- Report back to Faculty Senate on what you have found from your committee work and outreach.
  - Make formal recommendations for reforms needed to be approved by the appropriate body(s) on your campus.
  - Check in with the representatives on those bodies to make sure they are supportive and don't have any questions (take the vote before you take the vote).

### **Phase III: Follow Through to Support Culture Change**

- Once the changes are adopted, the work continues.
  - Make sure to not forget to follow through with the process changes needed to change culture. The PTIE recommendations have an extensive list of examples – identify which from that list (as well as others you may independently identify) are most important to tackle.
  - Integrate the university-level changes into the local (college/department level) guidance on P&T.
  - Amplify the messaging on your programs to support faculty in I&E.
    - Recognize that new / modified programming may be needed to support the new faculty using the programs.
  - Align your hiring strategies to recruit faculty that support university priorities – including I&E.
  - Adjust your annual evaluations/position descriptions to align with P&T changes.
  - Support reforming P&T to address other areas of impact that are not recognized fully on your campus – e.g., community-engaged scholarship, open scholarship, team science, DEI scholarship, etc.
    - PTIE provides a super-structure to recognize those areas as well.





## Useful Resources

- **PTIE Recommendations:** <https://ir.library.oregonstate.edu/concern/defaults/jw827k251>
- **2021 Science Paper by PTIE:** <https://www.science.org/doi/10.1126/science.abj2098>
- **2021 Journal of Open Innovation Paper on Nationwide Survey Regarding I&E and P&T by PTIE:** <https://doi.org/10.3390/joitmc7030182>
- **2014 PNAS Paper by Sanberg et al (NIA):**  
<https://www.pnas.org/doi/10.1073/pnas.1404094111>
- **2022 Letter from UC System Provost Michael Brown on I&E to 10 UC member campuses:** [https://ptie.org/wp-content/uploads/2023/09/Brown\\_Letter\\_to\\_UC\\_-\\_Innovation\\_Transfer\\_and\\_Entrepreneurship\\_4-4-2022.pdf](https://ptie.org/wp-content/uploads/2023/09/Brown_Letter_to_UC_-_Innovation_Transfer_and_Entrepreneurship_4-4-2022.pdf)
- **2021 Report from UC Regents on Innovation:**  
<https://regents.universityofcalifornia.edu/regmeet/may21/g1attach.pdf>
- **2020 OSU Video on Innovation, Entrepreneurship and Societal Impact:**  
<https://oregonstate.box.com/s/jd0zo610p94tn8g5d37te3r94pgkt57k>
- **2022 PTIE Conference Proceedings:** <https://ir.library.oregonstate.edu/collections/3484zr20m>
- **2019 National Academies Convocation: Re-envisioning Promotion and Advancement for STEM Faculty: Aligning Incentives with Values:**  
<https://www.nationalacademies.org/event/10-17-2019/re-envisioning-promotion-and-advancement-for-stem-faculty-aligning-incentives-with-values>
- **AUTM Tech Transfer Infographic:** <https://autm.net/surveys-and-tools/tech-transfer-infographic>



### 3. Build an Action Plan for PTIE on your Campus

1. Do you have buy-in from senior leadership (e.g., Provost, President, Vice President of Research, Vice Provost of Faculty Affairs)? **Yes** or **No** (circle one)

If no, whom do you need to still speak with? What aspects of PTIE would they most likely relate to? What are their concerns and how to overcome them?

2. Do you have an identified PTIE champion (someone who is not in senior leadership, well-respected for their traditional research, understands I&E space and has prior/current mid-level leadership (chair/head/dean) experience)? **Yes** or **No** (circle one)

If no, who are your potential leads and when do you plan to talk to them to get their buy in?

3. Have you documented your university faculty members' desire for PTIE? **Yes** or **No** (circle one)

If no, how do you plan to gather that input?

4. Do you have an Innovation Fellows program (representatives from each college across campus that understand I&E and can translate to their local community / stakeholders)? **Yes** or **No** (circle one)

If yes, describe how active they are and how they might help with PTIE adoption.

If no, outline possible names of people that might serve as the founding members for the group and a path to full constitute the fellows program.



5. Are your existing I&E programs sufficient to support additional throughput as well as a broader cross section of your community? **Yes** or **No** (circle one)

If no, what gaps exist that you need to fill in? How do you plan to stand those up and support them?

6. Who are the likely initial points/individuals of resistance? Whom amongst your I&E team is best equipped to work with them to address their concerns? How do you plan to go about that?

7. Do you have an introductory presentation that speaks to the value of PITE for your campus? **Yes** or **No** (circle one)

If no, which individual(s) are best suited to put that together?

8. Have you spoken with the leadership in Faculty Senate about possible changes to P&T to recognize I&E? **Yes** or **No** (circle one)

If yes, how did that go? If there was resistance, what was the resistance and how can you respond to it?

If no, who in your team is best suited to have that conversation, how do you plan to engage and when should that take place?



**9.** Which individual(s)/organization oversees faculty training for P&T at your institution? Do any of the process changes resonate with current efforts on campus? How would you achieve buy-in for the process reforms?

**10.** What are other areas of impact that are not recognized on your campus and there is interest in addressing? Whom would you talk to build a partnership with them to link PTIE reform to addressing their concerns as well?

**11.** How can the PTIE leadership support your efforts on your campus?