Professional Development Resources for Newly-Tenured Faculty

Custom Research Brief

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I. RESEARCH METHODOLOGY

Project Challenge

Administrators at a member institution approached the Council with the following questions:

- What development resources do institutions provide for newly-tenured faculty? What skills do these resources seek to impart?
- How do senior administrators encourage professional development of newly-tenured faculty?
- How do development programs assist newly-tenured faculty as they transition into new roles and responsibilities, such as managing budgets, mentoring graduate students, negotiating with departmental colleagues, and leading departments?
- How do development programs help newly-tenured faculty establish a healthy work-life balance?

Sources

- Education Advisory Board internal research library www.educationadvisoryboard.com
- Education Advisory Board research interviews and analysis
- Carnegie Foundation for the Advancement of Teaching classifications.carnegiefoundation.org
- Contact institution websites
- Inside Higher Ed www.insidehighered.com
- National Center for Education Statistics www.nces.ed.gov
- The Kardia Group www.kardiagroup.com
- National Center for Faculty Development and Diversity www.facultydiversity.org
- National Science Foundation ADVANCE Grants http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=5383
### I. Research Methodology

<table>
<thead>
<tr>
<th>Institution</th>
<th>Region</th>
<th>Type</th>
<th>Carnegie Classification</th>
<th>Approximate Enrollment</th>
</tr>
</thead>
<tbody>
<tr>
<td>University A</td>
<td>South</td>
<td>Private (not-for-profit)</td>
<td>Research University (high research activity)</td>
<td>24,600</td>
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<td>University B</td>
<td>Northeast</td>
<td>Private (not-for-profit)</td>
<td>Research University (very high research activity)</td>
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<td>University D</td>
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<td>Private (not-for-profit)</td>
<td>Research University (very high research activity)</td>
<td>20,000</td>
</tr>
<tr>
<td>University E</td>
<td>West</td>
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<td>Research University (very high research activity)</td>
<td>22,000</td>
</tr>
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<td>University F</td>
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<td>University G</td>
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<td>University I</td>
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<td>University J</td>
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<td>University K</td>
<td>Northeast</td>
<td>Private (not-for-profit)</td>
<td>Research University (very high research activity)</td>
<td>11,600</td>
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II. EXECUTIVE OVERVIEW

Key Observations:

- After receiving intensive support and guidance from colleagues before achieving tenure, newly-tenured faculty receive less attention while also gaining significant administrative service requirements. Contacts indicate that newly-tenured faculty may feel overwhelmed by new responsibilities. This cohort also may lose some productivity as they change research projects, focus more on teaching, or rest after probationary periods. New research and teaching interests may require new skills, and newly-tenured faculty require assistance in identifying training and development resources.

- The absence of deliberate professional planning leads some newly-tenured faculty to pursue research and teaching projects without guidance or consideration for how new projects will affect possible promotion to full professor. Some contact institutions require faculty members to create professional development and promotion plans with faculty leaders such as department chairs or deans.

- Improvement of existing annual review processes remains a primary method of ensuring newly-tenured faculty success and professional growth. Typically, these reviews focus on merit-based salary increases, but contacts indicate that they can prove useful if other faculty contribute and if they relate to development plans.

- Department chairs typically do not receive formal evaluation and conflict management training, despite entering roles that require considerable personnel management. Department chair training programs may improve annual review processes and support the development of faculty within each department.

- Newly-tenured faculty receive significantly less mentoring and direct guidance than pre-tenure faculty, but contacts indicate that newly-tenured faculty should seek networks of mentors to assist with responsibilities associated with tenure. Though individual mentor relationships prove useful during probationary periods, peer mentor networks may help newly-tenured faculty adjust to new roles and interests.

- According to contacts, newly-tenured faculty require formal training in management of research projects, mentorship of colleagues and graduate students, collaboration with other faculty, and administrative responsibilities. Though these topics may constitute leadership training, faculty development administrators indicate that newly-tenured faculty typically do not view themselves as leaders. Therefore, administrators seeking to design new programs should avoid leadership development terminology when designing faculty development programs.

- Contacts suggest that faculty members value course release time and small grants to initiate new research or teaching endeavors. Though these benefits require significant institutional investment, they may recoup that investment by helping faculty remain engaged and productive throughout their careers.

- Newly-tenured faculty may neglect social and personal lives during probationary periods; therefore, some contact institutions provide social events and childcare grants to encourage healthy work-life balance. If a faculty member also has childcare responsibilities, some may need financial support to acquire childcare for travel to conferences. Removal of this personal barrier to important professional obligations allows many faculty, especially women, to maintain focus on their work and advancement in their disciplines.
III. NEWLY-TENURED FACULTY: A NEGLECTED COHORT

According to most contacts, institutions provide minimal support to recently-tenured faculty. Prior to receiving tenure, faculty receive significant guidance, feedback, and mentoring. The award of tenure changes faculty lives both professionally and personally: new administrative service requirements coincide with less-defined research and teaching guidelines; and personally, many faculty reportedly delay childbearing until receiving tenure, thus increasing childcare responsibilities at a time when professional support often diminishes.

“Many mid-career faculty get stuck in the move from the pre-tenure organizational position of intense external constraint (meeting promotion and tenure expectations) to the post-tenure organizational position of freedom and choice. Why? Because post-tenure, faculty can suddenly choose to expend their energy in a variety of different directions...” (Emphasis in the original)

Executive Director, National Center for Faculty Development and Diversity

Source: Inside Higher Ed

Commonly-cited Challenges Facing Newly-tenured Faculty

- Poorly-defined expectations for promotion to full professor
- Expired research funding that sustained research during pre-tenure probationary periods
- Significant increases in administrative and professional services responsibilities
- Lack of guidance and mentoring, especially compared to probationary periods
- Desire to pursue new research, teaching, and service activities that may not contribute to promotion

Development Programs for Newly-tenured Faculty

Few contact institutions maintain robust training programs dedicated to topics such as mentoring graduate students, managing budgets, overseeing large research projects, and establishing a healthy work-life balance. However, development efforts at institutions that offer focused training for newly-tenured faculty include the following:

- Discussions regarding promotion and professional goals
- Improvements in faculty review processes
- Grants and sabbaticals
- Workshops, peer support, and events
IV. DISCUSSIONS REGARDING PROMOTION AND PROFESSIONAL DEVELOPMENT

“Mid-career faculty can easily reach a career plateau when opportunities for advancement decline, professional goals are less clearly articulated, and an array of attractive personal and professional options are available. The absence of motivating professional goals can cause professors to settle into a dull routine or begin to invest their energies in activities outside of their professional lives.

Roger Baldwin, et al.

Mandatory Promotion and Development Meetings

The most commonly-cited challenge associated with newly-tenured faculty professional development is the lack of thoughtful professional planning. According to faculty development professionals and contacts at University C, few faculty consciously plan their research, teaching, and service goals beyond tenure. The absence of career planning prevents faculty from proactively seeking training resources that will contribute to success as a researcher, teacher, colleague, and mentor. Several contact institutions encourage regular, thoughtful professional planning, especially regarding promotion from associate to full professor.

Mandatory Promotion and Development Meetings within Five Years of Tenure

Newly-tenured faculty at University H meet with department chairs within five years of receiving tenure, and faculty at University G meet with department chairs in the first year after tenure to discuss professional goals and steps to achieve promotion to full professor quickly. At these meetings, department chairs...

- **…explain requirements for promotion to full professor.** Contacts indicate that communication of expectations to newly-tenured faculty remains deficient on many campuses; contacts at University I indicate that newly-tenured faculty members may wish to pursue research, teaching, and service projects that do not contribute to promotion. Addressing this problem may help newly-tenured faculty maintain productivity and seek specific skills necessary for their work toward promotion.

- **…direct faculty members to appropriate campus resources.** Identification of faculty needs helps department chairs and deans direct newly-tenured faculty to resources that may help them excel as research project managers, mentors, administrative leaders, and departmental colleagues. Referral to campus resources may also increase a faculty member’s engagement with an institution, encouraging more active participation in departmental and institutional service activities.

- **…help faculty prepare proposals for grants, leaves, and other opportunities.** Contacts at University B explain that department chairs have recently placed renewed focus on helping newly-tenured faculty apply for grants, leaves, internal funds, conferences, and other opportunities that will help them gain knowledge and skills early in their tenure as associate professors.

At University G, department chairs discuss possible timeframes for promotion to full professor with faculty members after receiving promotion; according to contacts, establishing this target date for promotion review encourages faculty to remain productive and engaged, similar to the pressure applied during probationary periods. Contacts describe a collaborative process for professional planning that includes many university constituents. The following process may vary across departments, and the graphic below represents a generalized version of a reported process:

According to contacts at University G, the planning process and written plans developed provide associate professors with justification for refusals to conduct administrative service, as administrative service may hinder research productivity required for promotion.
V. IMPROVING FACULTY REVIEW PROCESSES

Annual Reviews

Faculty members at most contact institutions undergo annual review for merit-based salary increases. Annual reviews constitute the only formal, non-promotion post-tenure review at all institutions except University I, which maintains a periodic post-tenure review process.

Factors that Hinder Annual Reviews

Despite the ubiquity of annual reviews among contact institutions, contacts report significant variability in the effectiveness of annual reviews. A faculty member who receives several satisfactory annual reviews may expect to receive promotion; denied promotion review may then engender feelings of betrayal, concerns about wrongful employment practices, and disengagement from a department. Legal problems may also ensue if poor annual reviews lead to disciplinary measures. In addition, failure to conduct effective annual reviews contributes to the aforementioned lack of professional planning. A faculty member who receives negligible constructive feedback may not seek training or development resources that contribute to success as a tenured professor. Commonly-cited problems associated with annual reviews include:

<table>
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<tr>
<th>Problem</th>
<th>Details</th>
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<tbody>
<tr>
<td>Resistance by department chairs to provide negative reviews</td>
<td>Department chairs may hesitate to deliver negative reviews because they return to normal faculty positions after short terms; they then become subject to review by colleagues who may feel slighted by past negative reviews.</td>
</tr>
<tr>
<td>Lack of training for department chairs</td>
<td>Department chairs are not often formally trained to effectively evaluate and guide faculty professional development. As the primary individual responsible for these duties within all departments, this lack of preparation may cause stagnation among faculty and missed opportunities for professional growth.</td>
</tr>
<tr>
<td>No connection to meaningful outcomes (e.g., salary increases or professional development plans)</td>
<td>The recent economic downturn has prevented many department chairs from awarding annual merit-based salary increases based on annual reviews. This significantly decreases the importance of annual reviews, according to contacts. Without another type of meaningful outcome, fewer department chairs or faculty may conduct careful, thorough annual reviews.</td>
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V. IMPROVING FACULTY REVIEW PROCESSES

Strategies for Improving Annual Reviews

In order to address these challenges, contacts recommend several approaches for improving annual reviews:¹

- **Create triggered post-tenure review systems that rely on annual review outcomes:** Contacts at University B indicate that department chairs and faculty conduct more careful annual reviews to avoid time-consuming triggered reviews that result from two negative reviews in a six-year cycle.

- **Provide training for department chairs to effectively conduct performance reviews:** Faculty review can place enormous pressure on department chairs, a typically untrained cohort of faculty leaders. Without proper training, department chairs cannot help faculty learn skills such as research management, budgeting, personnel conflict resolution, and mentoring. Untrained department chairs may not value formal training in these areas, thereby creating an atmosphere in which faculty do not seek development opportunities.

- **Require department chairs to collect feedback from tenured faculty colleagues regarding a faculty member’s performance to support his or her decision.** Feedback also contributes to a department chair’s ability to refer faculty members to appropriate resources. Without comprehensive knowledge of a faculty member’s research and teaching, a department chair may fail to identify resources and individuals on campus that can assist a newly-tenured faculty member.

- **Require deans to carefully monitor annual reviews conducted by department chairs:** Contacts at University A suggest that weak annual review processes should be a concern for administrators as well as departmental faculty. Deans must hold department chairs accountable for effective reviews.

- **Ask faculty to identify challenges instead of needs:** Contacts at University I explain that deans and department chairs can identify appropriate resources to help faculty members overcome challenges to research and teaching success.

- **Evaluate annual performance against a collaboratively-created professional development plan that is continuously updated:** Each year, department chairs at University H revisit and revise five- or six-year professional plans.

V. IMPROVING FACULTY REVIEW PROCESSES

Faculty and Administrator Feedback in Review Processes

Feedback from faculty and administrative colleagues in review processes reportedly yields several benefits:

- More objective evaluation of faculty member under review through multiple perspectives
- Reduced pressure on department chair to conduct reviews with incomplete information
- More meaningful feedback for faculty member under review from faculty colleagues with knowledge of research areas
- Improved sense of collective responsibility for success of associate professors

Contacts describe several strategies to incorporate faculty and administrative feedback into review processes:

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<tr>
<th>Strategy</th>
<th>Details</th>
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<tr>
<td>Annual full professors meeting</td>
<td>Contacts at University F explain that full professors in each department meet annually to review all associate professors. This confidential meeting with the department chair encourages full professors to increase awareness of associate professors’ work. Feedback provided to department chairs in these meetings increases validity of associate professor reviews and encourages all faculty to evaluate each other more seriously.</td>
</tr>
<tr>
<td>Reading committees composed of several senior faculty</td>
<td>The aforementioned reading committees at University H increase awareness of faculty work within departments and encourage faculty to help one another with professional development. These review committees help department chairs and faculty members resolve potential problems before an associate professor undergoes a formal review for promotion to full professor.</td>
</tr>
<tr>
<td>Requirements for departmental faculty to support professional plans</td>
<td>Faculty reviews and development plans at University E include responsibilities for both the faculty member under review and for the department. Though many departmental responsibilities reside with department chairs, all faculty members are expected to participate in the development of associate professors.</td>
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VI. GRANTS AND PROFESSIONAL LEAVES

After receiving tenure, faculty members may require additional financial support and time to conduct:

- **New research projects:** According to contacts, a faculty member’s external research grant may have expired after receiving tenure, thus leaving an individual without funding to begin new research.

- **Training to acquire skills for new teaching or research endeavors:** A faculty member may wish to alter research or teaching techniques after a probationary period; this training may require some departmental funding or release time.

- **New course design:** Contacts indicate that designing new courses can consume considerable time. Granting a course release may encourage instructional innovation among newly-tenured faculty.

- **Reinvigoration of research funding** after probationary period grants expire

Sabbaticals and Leaves

Faculty at University K receive a one-semester sabbatical after five consecutive semesters of teaching. Additionally, faculty also receive a year-long sabbatical immediately before or after receiving tenure, depending on when an individual achieves tenure. Similarly, deans at University J may approve special leaves for faculty members if a dean believes that the sabbatical will benefit the faculty member and the institution. Conversely, a dean can revoke a regularly-granted sabbatical in response to poor performance.

**Family Challenges during Sabbatical Leaves**

Despite the common use of sabbaticals among contact institutions, administrators at University C suggest that sabbaticals have become less feasible as more households rely on two income earners. According to contacts, a faculty member on sabbatical may have more childcare or other family responsibilities than in the past, when faculty members may have been more likely to rely only on a single income. These responsibilities limit a faculty member’s time and ability to travel for field research.

Associate Professor Development Funds

Administrators at University H created an Associate Professor Fund, a pool of resources dedicated to helping faculty members maintain productivity and reach promotion to full professor quickly. According to contacts, the Fund initially helped long-term associate professors reach full professor, but the Fund’s purpose has shifted to helping newly-tenured faculty. Secondary research suggests that placing support funding outside of direct department control may reduce pressure on department chairs to determine grant allocations. Deans could maintain small discretionary funds and meet with associate professors to discuss using institutional grants.

**Balancing Costs and Benefits**

Contacts recognize that grants and sabbaticals impose significant costs on departments and colleges, but do not guarantee research improvement or productivity. Therefore, contacts at University K suggest that department chairs and deans collaborate with faculty members to develop defined plans for sabbaticals.

Despite challenges, encouragement through release time and small financial incentives for newly-tenured faculty may yield significant benefits in the future, especially by showing faculty members they are valued and encouraging departmental engagement. Demonstrating commitment to a faculty member may foster long-term productivity and more collegial working relationships between a faculty member and his or her colleagues. Contacts claim that engaged faculty produce more research, teach more courses, and more willingly accept administrative service responsibilities.

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VII. WORKSHOPS, PEER SUPPORT, AND EVENTS

Workshops for Newly-Tenured Faculty

Contacts at University C, University K, and University H indicate that newly-tenured faculty may require training in management, negotiation, evaluation of colleagues, and mentorship—four skills that typically constitute leadership development education. However, few newly-tenured faculty identify themselves as leaders or initially react positively to language about leadership development.

<table>
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<tr>
<th>Workshops on Leadership and Academic Life</th>
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<td>When designing workshops for newly-tenured faculty, faculty development administrators at University C renamed a workshop “Leadership and Academic Life” rather than simply leadership development. According to contacts, faculty development administrators should help associate professors understand their roles as leaders to encourage training in leadership skills. Topics discussed in the “Workshops for Faculty on Leadership and Academic Life” include:</td>
</tr>
<tr>
<td>• Mentorship</td>
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<td>• Budget management</td>
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<td>• Administrative career paths</td>
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<td>• Interpersonal negotiation</td>
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<tr>
<td>• Entrepreneurship in academic careers</td>
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<tr>
<td>• Public speaking and presentation skills</td>
</tr>
<tr>
<td>• Personal time management</td>
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<tr>
<td>Workshops at Michigan State University feature deans, associate deans, senior administrators, and faculty to provide insight from different perspectives. Diversity of experiences on workshop panels reportedly encourages attendance from faculty across many disciplines. In addition, participation of high-ranking administrators and members of promotion and tenure committees reportedly signals to newly-tenured faculty that these panels can support their long-term career development. Contacts suggest that elevating faculty development offices to associate provost rank or higher grants programs legitimacy. Administrators at University K also suggest recruiting skilled faculty and administrators to lead workshops. For example, drama and communications faculty lead workshops on public speaking and effective presentations.</td>
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<tr>
<th>Leadership and Integration in Faculty Transitions (LIFT) and Strategies toward Excellent Practice in Departments (STEP)</th>
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<tr>
<td>University H, in collaboration with a private academic leadership firm, the Kardia Group, developed two programs to help faculty understand responsibilities and skills associated with tenure and departmental obligations. These programs reportedly help faculty members adjust to new roles and encourage thoughtful consideration of career paths and skills required of tenured faculty.</td>
</tr>
<tr>
<td>• LIFT, a two-day seminar for all associate professors, focuses on many topics, including those listed above. It also helps teach faculty to consciously choose and refuse some administrative responsibilities. (Source: Education Advisory Board interviews and analysis; University H <a href="http://sitemap.umich.edu/advance/home">http://sitemap.umich.edu/advance/home</a>)</td>
</tr>
<tr>
<td>• STEP invites teams of faculty members to attend a seminar addressing common department conflicts and how to effectively navigate them. Each team develops an action plan to positively change its department. (Source: University F website)</td>
</tr>
</tbody>
</table>

3 Source: Education Advisory Board interviews and analysis; Michigan State University http://fod.msu.edu/wfl/pastsem.asp; The Kardia Group www.kardiagroup.com
VII. Workshops, Peer Support, and Events

Encouraging Attendance In-Person or Online

In-Person Attendance

Contacts report some difficulty in securing broad representation and participation in faculty workshops. Though the diversity and high rank of panel participants at University C contributes to participation, attendance remains a concern. Contacts at University H and University C suggest that department chairs and deans should communicate the benefits of participation to newly-tenured faculty during promotion discussions, annual reviews, and professional development planning meetings.

Online Training

Contacts at University C recognize that scheduling conflicts may prevent many faculty from participating in development workshops. To accommodate time constraints, administrators recently purchased access to resources through Epigeum, an online higher education training firm. Epigeum offers courses on skills required of associate professors such as research project management, personnel management, research integrity, and team leadership, among others.

Facilitated Peer Groups and Mentoring

Secondary research and contacts at all profiled institutions and indicate that newly-tenured associate professors may require attention and feedback from their faculty colleagues. This guidance can be provided through mentorship opportunities and evaluation of performance by faculty colleagues.

Confidential Peer Group Discussions

University of North Carolina at Charlotte, an institution that recently received Research University classification, created a peer mentoring program to address associate professor needs. This program provides small groups of associate professors intimate, confidential environments in which they discuss career planning, research or teaching challenges, professional skill development, conflicts with departmental and university colleagues, or other issues that affect working environments. The associate professor support program began as part of an ADVANCE grant from the National Science Foundation. This grant program seeks to expand representation of women in STEM fields. Feedback collected through surveys and interviews indicates some success among peer group participants as demonstrated through:

- Development of additional mentoring relationships
- Improved perception of promotion processes
- Reduced gender-based disparity in perceptions of promotion policies; women were previously more likely to perceive promotion policies as burdensome and difficult.
- Increased attention to career planning

4 Source: Education Advisory Board Interviews and Analysis; Kimberly Buch, Yvette Huet, Audrey Rorrer, and Lynn Roberson (2011): Removing the Barriers to Full Professor: A Mentoring Program for Associate Professors, Change: The Magazine of Higher Learning, 43:6, 38-45.; National Science Foundation ADVANCE Grants

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VII. WORKSHOPS, PEER SUPPORT, AND EVENTS

University of North Carolina at Charlotte, as well as University B\(^5\), University C and University H, institutionalized many aspects of ADVANCE grant programs after determining they could benefit all faculty. Common ADVANCE workshop and training topics are similar to those offered at University C (see above) and may also include:

- Leadership development
- Gender bias
- Lab management
- How to refuse some administrative service duties
- Negotiating with department chairs

Contacts at University I also suggest that associate professors value peer mentoring groups that facilitate candid, confidential discussions; faculty development administrators can facilitate conversations and provide some resources to create a welcoming atmosphere.

Challenges associated with programs such as these include time associated with organization, low participation rates across all associate professors, and translation of mentoring advice into evidence of improved promotion rates\(^6\).

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\(^{5}\) Brown University ADVANCE Web Portal [http://www.brown.edu/Administration/Provost/Advance/index.html](http://www.brown.edu/Administration/Provost/Advance/index.html)

VII. WORKSHOPS, PEER SUPPORT, AND EVENTS

Mentoring Networks

Contacts at University I and University H explain that associate professors may desire less intensive mentoring relationships than those experienced during probationary periods. However, guidance from more senior colleagues and from faculty outside of departments may help newly-tenured faculty navigate new responsibilities and research interests. Instead of one-on-one relationships, contacts recommend mentoring networks comprised of colleagues across an institution or external to it. University B helps women of color and women in STEM disciplines identify networks of peers to serve as mentors. The peer groups above may provide mentors, or faculty members may seek them on their own. The National Center for Faculty Development and Diversity provides one example of a mentoring network:

Map Out YOUR Mentoring Network

Family and Social Support
VII. WORKSHOPS, PEER SUPPORT, AND EVENTS

Few contacts have designed family and social support programs specifically for newly-tenured faculty. Contacts at University K explain that some newly-tenured faculty may require guidance to reestablish healthy work-life balance after pre-tenure probationary periods. According to some administrators at University D, newly-tenured faculty may have delayed childbearing until near or after tenure decisions, thus increasing childcare responsibilities during an individual’s initial years after tenure. Commonly-cited methods of addressing newly-tenured faculty work-life balance needs include:

- **Social activities for faculty**: Contacts at University K indicate that the institution has begun to offer networking and social events for associate professors; these faculty may have neglected to establish social networks, or they may be new to the institution. At University C, new and early career faculty can attend events that inform about unique features and facilities on the campus.

- **Social events for faculty families**: University K also hosts social events for faculty members to attend with their families. This helps faculty meet colleagues and build a community after spending several years focused on their own research to secure tenure.

- **Childcare grants**: Attending conferences presents unique challenges for faculty members with family responsibilities; University D offers small childcare grants for faculty who wish to travel to conferences.

- **Workshops on faculty life**: The aforementioned workshops help faculty members determine which service requirements to accept or refuse. Careful consideration of administrative responsibilities may prevent faculty members from becoming overwhelmed with new responsibilities after receiving tenure.
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