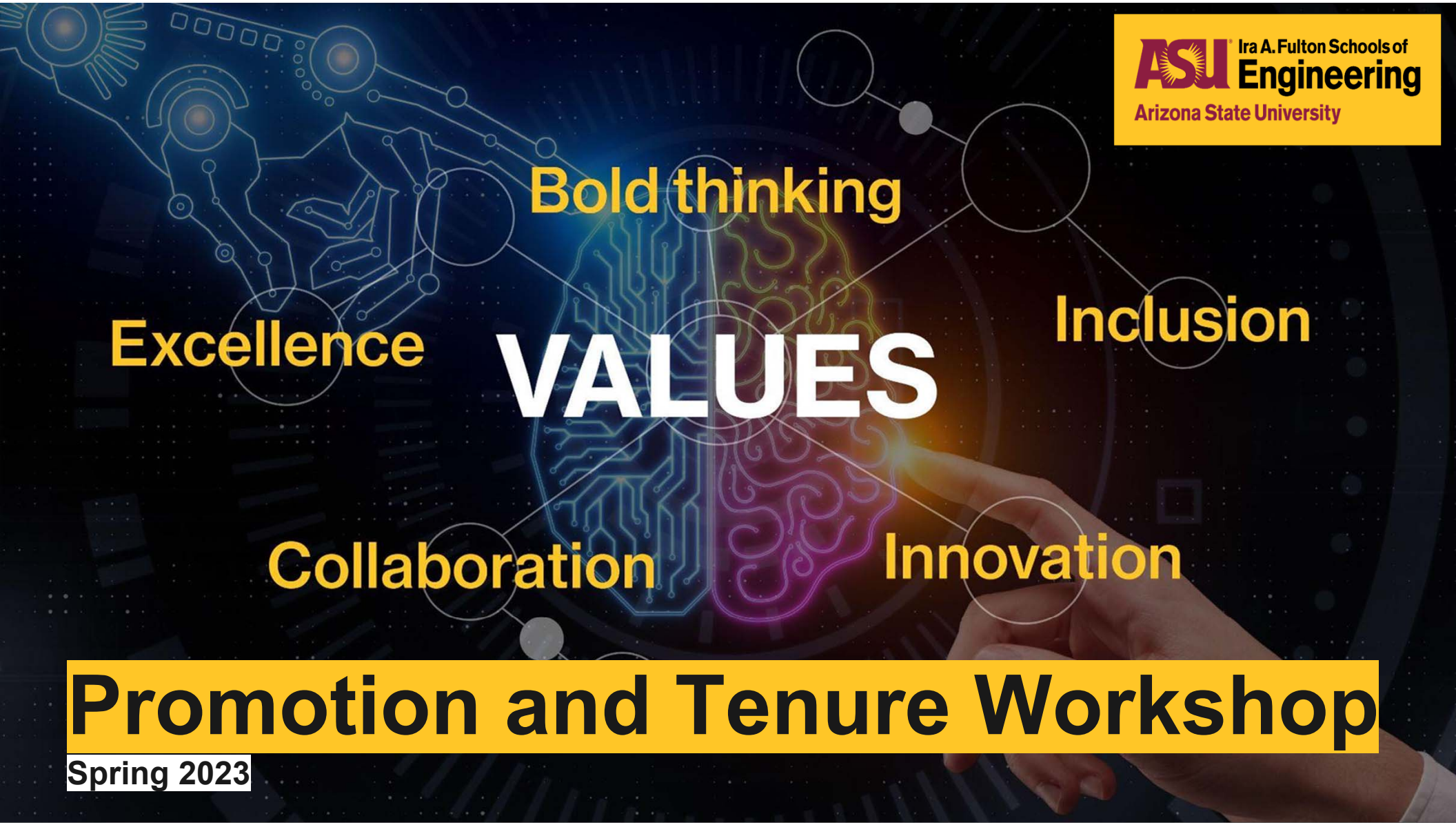

Ira A. Fulton Schools of Engineering
Arizona State University

Promotion and Tenure Workshop

Spring 2023

FSE P&T Evaluations for Tenured/Tenure Track Faculty

Resources

Forms, detailed information and instructions for each personnel process provost.asu.edu/academic-personnel/personnel-processes

Engineering P&T Criteria academicpersonnel.asu.edu/personnel-processes/bylaws-criteria-documents

School Directors

School Personnel Committees (PC)

Dean's Faculty Advisory Council (DFAC)

New Faculty Advisory Council faculty-resources.engineering.asu.edu/nfac

Monitoring In the Loop for various opportunities

Today's workshop

Process Overview and Application Preparation

Philosophy, Expectations and Insight

Dean's Faculty Advisory Council (DFAC)

Q&A

Process Overview and Application Preparation

Typical Evaluation Process and Timelines

Each in-depth evaluation provides an independent perspective and recommendation

The ASU President ultimately makes the decision

Application Preparation
Late Spring/Early Summer

External Reviews (8-10)
Summer

School-Level Reviews (PC and Director)
Early Fall

Candidate/Director Strengths and Weaknesses Discussion
Mid/Late Fall

Schools-Level Reviews (DFAC and Dean)
Late Fall

Candidate/Dean Strengths and Weaknesses Discussion
Late Fall

University Reviews (Provost's Committee)
Early Spring

President/Provost Decision
Late Spring

Promotion and Tenure Portfolio

University-level review

Candidate's responsibility

1. **List of 10 names of potential external reviewers**
   - See ACD 506-04 eligibility requirements
   - Five of these 10 names must be at peer or aspirational peer institutions as defined by the unit, college or university
2. **A full and comprehensive CV**
3. **A personal statement**
4. **Publications and creative materials**
   - Up to four can be submitted
   - Digital versions are to be submitted (or, if absolutely necessary, a copy of the material if the work is copyrighted)

Provost Office P&T Workshop, Spring 2023

Promotion and Tenure Portfolio

University-level review

Candidate's responsibility

5 **Evidence of excellence in teaching and mentoring assessed through multiple indicators** [The unit will provide a summary of student evaluations – necessary but not enough.]
Examples might include:

- Instructional materials as specified by the unit
- Teaching philosophy and any professional development
- Activities undertaken in relation to teaching and instruction

6 **Candidates for tenure may add materials to their file until Dec. 1 of that year.** Anything that comes in after that date will not be considered unless the dean specifically requests an exception from the provost's office and that exception is approved.

Candidates for promotion only should have their file intact before they apply. No additions will be accepted to their file once the internal review process has begun unless the dean makes a request for an exception from the provost's office and that exception is approved.

Provost Office P&T Workshop, Spring 2023

Potential External Reviewers

You should supply 10 potential external reviewer names to your director

Eligibility requirements are described in ACD 506-04; in short these are:

- Five of these ten names must be at peer or aspirational peer institutions as defined by the unit, college, or university
- Peer Institutions can be found at the Office of the University Provost website:
  - Arizona University System ABOR-Approved University Peer List
  - Association of American Universities Member Institutions
- Peer school or programs should be tracked within the unit
- Reviewers should not have a close professional or personal connection with you
- It's a good idea to seek advice for potential reviewers from your dissertation chair, friends and/or co-authors but do not submit their names as potential reviewers

External Reviews

Identify the **leaders in your field** early on and invite them for seminars, or find other routes to engage them.

Different reviewers on your **Associate > Professor** application relative to your **Assistant > Associate** application is desirable

Having reviewers in the same University and/or School or Department is not recommended

Strong preference for **Professors at U.S. institutions**

External Reviewers **typically comment on**:

- significance and impact of research
- research productivity
- comparison to applicant's peers
- potential for success at the Reviewer's institution

Advice for Application Preparation

Follow the Process Guide for Promotion and/or Tenure on the Provost website

provost.asu.edu/academic-personnel/personnel-processes

Invest time in your personal statement

- Make your case. Have someone else review.
- Your personal statement is a good place to explain inconsistencies or issues in submitted materials.

Use the **Engineering-specific CV template** (available through your unit staff)

Don't leave out effort!

- **Include proposals not funded** though keep unfunded grant activity separate from funded grants

Don't inflate productivity or filter the data (student reviews, recognition on proposals, co-mentoring students)

- "The easiest way to sabotage your case is to submit material that has errors, inconsistencies, ambiguities, embellishments, or any information presented in a manner that is likely to be misinterpreted by a reviewer." - DFAC

Make it look like **you care**

- Avoid reviewer comments such as "their CV had several spelling errors, including their last name in most of the publications"

Don't wait until the last year to try to meet the goals (it's not a bar – consistency is important)

Choose publications that have **impact, reflect your effort**, particularly at ASU, and in which you and your students are the key contributors – **quality over quantity**

Evidence of Excellence in Teaching & Mentoring

The dossier must include at least three (3) different types of evidence of teaching excellence, one of which must be the candidate's Summary of Student Evaluations as required by ABOR policy.

Examples of teaching evidence include:

- recent, objective and substantive peer or director evaluations of teaching
- teaching or mentoring honors and awards
- scholarship with a focus on pedagogy
- evidence of student success through a sequence of courses
- evidence of mentoring such as student theses and dissertations (especially to completion)
- papers co-authored with students and projects with student collaborators
- evidence of student career success related to the candidate's teaching or mentoring
- examples of effective teaching innovation by the candidate
- peer review of student portfolios or other evidence determined to be appropriate by the chair or director in consultation with the candidate
- facilitation of workshops on learning outcome assessment or other pedagogical topics

Adapted from Provost Office P&T Workshop, Spring 2023

Supporting and Addendum Materials

Supporting Materials (Optional)

Assessments of your service

Work that promotes the success of ASU students in ways not covered earlier (advising student groups, voluntarily leading special study sessions, etc.)

Examples of popular articles authored that communicate your work to a lay audience.

Examples of articles co authored with students.

Awards, Certificates, Official Mentions etc. attesting the visibility and impact of your work. *Provide excerpts, summaries, citation info, not a complete document.*

Addendum Materials (Optional)

All addenda to **cases of Tenure** are **due to the Dean by December 1 of each year.** The addenda must include a related statement by each prior level of review.

In truly exceptional cases, for example if a significant new achievement occurs after the internal deadlines, the dean can seek approval from the provost office for adding the related documentation.

Philosophy, Expectations and Insight

Philosophy

Engineering's promotion and tenure criteria are aligned with its attributes, aspirations, and output metrics:

- From the Philosophy as written in Engineering P&T Criteria
  - Engineering aspires to have a faculty that overall is known for its creativity, collaborative nature, excellence in student instruction and mentoring, scholarly productivity, entrepreneurial activities, and impact to society and the world.
- Output metrics that are visible and of importance to the external community:
  - The number, quality, preparedness, and success of our students,
  - The external reputation and recognition of the achievements of our faculty,
  - The impact that our innovations, inventions, and discoveries ultimately have on transforming society,
  - The magnitude and reputation of our externally-funded research enterprise, and
  - The generation of intellectual property, inventions, and new companies

Expectations

Expectations for Advancement from Assistant Professor/Associate Professor Without Tenure to Associate Professor with Tenure

In brief, those receiving favorable recommendations will have a **record of accomplishments** such that evaluators conclude that the applicant is capable of, and will continue to contribute to the goals of Engineering and ASU at a level expected of associate professors.

More specifically…

- **dedicated and quality student instruction** at both the undergraduate and graduate level, and at instructional loads expected of junior faculty,
- **successful graduate student mentoring**, with an emphasis on completion of doctoral students,
- substantial output from **research and entrepreneurial activities**, at the level expected of assistant professors,
- **innovative and impactful research** and/or entrepreneurial activities,
- the ability to attract **external resources** needed to support a research and/or entrepreneurial program of the scale desired by the Ira A. Fulton Schools of Engineering,
- **positive interactions** and collaborations with other faculty,
- **professional service contributions** typical of assistant professors that enhance the faculty member's visibility and the visibility of the school, Engineering, and ASU, and
- a **record of accomplishments** that provides evaluators with confidence that the applicant for promotion and/or tenure will sustain the above and advance professionally

Expectations

Expectations for Advancement from Associate Professor or Professor Without Tenure to Professor with Tenure

In brief, those receiving favorable recommendations will have achieved **recognition of leadership** status in their field, in Engineering and at ASU.

In addition, the successful applicant's record of accomplishments will be such that evaluators conclude that the applicant is capable of, and will continue to contribute to the goals of Engineering and ASU at a level expected of professors.

More specifically…

- a **substantial record** showing dedicated and quality student instruction at both the undergraduate and graduate level, and at instructional loads expected of professors,
- **substantial success** with graduate student mentoring, with an emphasis on completion of doctoral students,
- substantial output from research and/or entrepreneurial activities, at the level expected of associate professors,
- **national and international recognition** of innovative and impactful research and/or entrepreneurial activities,
- **sustained success** at attracting external resources needed to support a research and/or entrepreneurial program of the scale expected of professors in the Ira A. Fulton Schools of Engineering,
- **a history** of positive interactions and collaborations with other faculty,
- **substantial service,** including **leadership roles,** to the school, Engineering, and/or ASU, and
- substantial and **leadership-oriented professional service contributions** typical of professors that enhance the faculty member's visibility and the visibility of the school, Engineering, and ASU.

Indicators – Instruction

Dedicated and quality student instruction include:

- student feedback (quantitative and qualitative)
- teaching portfolio – containing examples of course materials
- teaching statement – explaining the applicant's philosophy for instruction, their self-assessment, and their contributions to the academic program(s)
- teaching awards
- out-of-classroom contributions to academic program enhancement (i.e., participation on committees focused on curriculum reform; mentoring Fulton Undergraduate Research Initiative (FURI) and Master's Opportunity for Research in Engineering (MORE) students)
- relevant publications (i.e., textbooks or scholarly articles related to instructional efforts)
- participation in courses and development activities to improve as an instructor

"Given the **importance of student success**, applicants with poor to mediocre teaching and mentoring records should not be recommended for promotion and/or tenure." *- Engineering P&T Criteria*

Indicators – Mentoring

Success with graduate student mentoring:

- Graduation of graduate students for whom the applicant is the dissertation committee chair.
  - While both masters and doctoral graduates are considered, **the emphasis in Engineering is on the graduation of doctoral students.** *Reminder: your students should submit their iPOS*
  - Most successful applicants for promotion to associate professor with tenure have mentored at least one doctoral student to graduation
  - Most successful applicants for promotion to professor with tenure have mentored at least five doctoral students to graduation
- Outputs from research and entrepreneurial activities (i.e., journal papers, conference papers, conference presentations, patent applications, patents) that are co-authored with graduate students.
- The pipeline of graduate students (the number being mentored at time of application) is considered to be an indicator of the sustainability of successful graduate student mentoring.
- Engineering's expectation is that, on average across Engineering, its faculty should be mentoring four to five doctoral students.

Indicators – Research

Output from research and/or entrepreneurial activities, and recognition of innovative and impactful research and/or entrepreneurial activities:

- Engineering recognizes all innovative and impactful research, no matter where it falls in the fundamental/basic - translational - applied research spectrum.
- It also recognizes research that crosses and extends beyond traditional disciplinary boundaries.
  - This is necessary to achieve its goals related to intellectual fusion, societal impact, and the magnitude and external recognition of its research enterprise.
- Additionally, intellectual property development with associated technology or knowledge transfer, especially to commercial entities that are able to develop and deploy commercially viable technology or products, reflects innovation, impact, and contributions to entrepreneurship.

Indicators – Research (continued)

- Peer-reviewed archival publications, including journal articles, book chapters, and monographs*,
- Peer-reviewed conference presentations/publications,
- Use of the output from the applicant's research and entrepreneurial activities by others for their research and entrepreneurial activities,
- Successful proposals for external support of research activity,
- Development of special facilities to support research activity,
- National and international awards for research activity,
- Invitations to give talks at national or international meetings,
- Invitations to give talks at other institutions,
- Invention disclosures, patent applications, and patents,
- Creation of new commercial entities or organizations that will incubate, develop, and deploy technologies resulting from research or transfer results from research into existing commercial entities, and
- Meaningful contributions to science and technology policy debate, development, and deployment.

* Leaders in your field should concur on the significance of the venues that you choose for disseminating research results…

Indicators – Resource Generation

Ability to attract external resources needed to sustain a research and/or entrepreneurial program of the scale desired by the Ira A. Fulton Schools of Engineering

- External funding is viewed by Engineering to be a critical enabler of graduate student mentoring and innovative and impactful research and entrepreneurial output.
- All sources of external funding are considered.
- While there are not specific quantitative expectations for funding levels, the funding needs to be sufficient to support graduate students and to build and sustain research programs of the magnitude and impact desired by Engineering.
- Engineering's goal is to have a research enterprise of the collective scale of the top engineering schools in the United States, and it recognizes that funding norms vary by discipline and type of work (i.e., laboratory vs. modeling work).
- In assessing an applicant's record of external funding, these factors are considered as well as how the applicant contributes collectively to Engineering's overall goal for the scale and impact of its research enterprise.

Indicators – Service

Professional Service

- By the very nature of their positions, involvement by all faculty members in professional service activities is expected and required.
  - Professional service is a necessity for building one's reputation; however, service activities are weighted more lightly in applications for promotion and tenure to the associate professor level.
  - Professional service is of more importance in applications for promotion and tenure to the professor level as service activities frequently reflect one's standing in his or her field.
- In the case of applicants for promotion and/or tenure to the associate professor level, reviewers are looking for service activities that enhance the faculty member's visibility and the visibility of the school, Engineering, and ASU.
- In the case of applicants for promotion and/or tenure to the professor level, reviewers are looking for substantial service, including leadership roles, to the school, Engineering, and/or ASU.
- The significance and impact of service activities are assessed by evaluators, and the expectations are different for applicants for promotion and/or tenure to associate professor vs. to professor.

Professional Service Leadership

Professional Service – Associate to Professor

- Reviewers are looking for substantial service, including leadership roles, for example:
  - editor or associate editor of a scholarly archival journal
  - chair of a University or Engineering or School Committee
  - organizer of a national or international professional meeting
  - officer, or other substantive leadership position, in a national or international professional organization
- Service in national advisory boards and committees,
- Service to the university through shared resource acquisition and development or development of research or teaching infrastructure,
- Organization, submission, and acquisition of training grants to support education activities, and
- Input from confidential external reviewer letters, written by experts in the applicant's field, that attest to the significance and impact of the professional service activities.

Collaborative Work

- It is recognized that **research may involve multiple collaborators from a range of disciplines,** and that some faculty member's research programs may be highly collaborative.
- This is **encouraged in Engineering** and reviewers should consider this to be a positive attribute in evaluating applications for promotion and/or tenure.
- Engineering expects its faculty members to be **capable of contributing to multi-investigator efforts** in both lead and supportive roles.

Developing a Strong Appplication

Assistant >> Associate

A solid Assistant >> Associate P&T application always stands out

- Above-average teaching evaluations in both UG and Grad courses, and with typical teaching load
- PhD student graduation (1+) and pipeline (4-5)
  - *your students should submit their iPOS as soon as possible*
- Significant proposal-writing efforts, sufficient success to support student pipeline
- Consistent rate of papers/presentations/inventions/etc.
- Collaborative efforts (lead and supporting investigator)
- External reviews that attest in detail to awareness and impact of the work
- Good program/school/schools-team player
- Professional service contributions typical of assistant professors that enhance the faculty member's visibility and the visibility of the school, Engineering and ASU

Developing a Strong Application

Associate >> Professor

A solid Associate >> Professor P&T application always stands out

- Consistency in all metrics (teaching, research and service)
- PhD student graduation and pipeline (5+, 5+)
  - *your students should submit their iPOS as soon as possible*
- Consistent resource generation capable of supporting research and creative activities
- National awards and recognition
- Internal and external leadership roles
- Well-respected internally and externally
- External reviews that have awareness, respect and understand the impact of your work and your leadership

Assessing Your Contributions

You should continuously assess how you contribute to Engineering's attributes, aspirations, and metrics

Students (recruitment, retention, persistence, development, graduation)

Innovation and Impact (research, inventions, entrepreneurship)

Differentiation (academic programs, research, etc.)

A Distinguished Faculty (that contribute to the above)

Resources (enabling the above)

Culture (that celebrates and enables the above)

Conflict of Interest (COI)

- COI arises when a reviewer has a close professional or personal connection with you.
- When supplying 10 potential external reviewer names to your Director, it is important to disclose any COI's you may have with them.
- If you have a COI with your Director, the Dean will assign a substitute director to review your case and provide a written recommendation.
  - The substitute Director will provide *an oral statement of the strengths and weaknesses of the case to you based on the reviews at the academic unit level.* – ASU Process Guide for Promotion and/orTenure

Sometimes Life Happens

Leave's effect on Promotion and the Probationary Period

Refer to ACD 707: Leave of Absence without Pay *http://www.asu.edu/aad/manuals/acd/acd707.html*

- A one-semester or one-year leave of absence granted for purely personal reasons having no significant relationship to the professional activity of the employee may be exempted from the probationary period
  - There should be no commentary in the promotion materials concerning the leave
  - Such an exemption must be approved, in writing, at the time the leave is granted
- A one-semester or one-year leave granted for professional reasons, such as fellowships, visiting appointments, and research grants, may not interrupt the sequence of probationary years

University Wide “Good Cause” Extensions

- Two university wide “good cause” extensions occurred in March 2020 (AY 2019-2020) and March 2021 (AY 2020-2021)
    - For those untenured faculty members employed during AY 2019-2020 and/or AY 2020-2021 should have received an email communicating the “good cause” extension year(s) from either your Director or the Dean. If you feel like you should have received a note but did not and/or concerned of when your mandatory review dates are, please reach out to your unit admin.

Dean's Faculty Advisory Council (DFAC)

Spring 2023 Member List
faculty.engineering.asu.edu/governance

Shall advise the Dean in personnel matters involving promotions, tenure and retention of faculty. The Council shall consist of two tenured faculty representatives from each School within the Ira A. Fulton Schools of Engineering. The members of the Council are either directly elected by the faculty of their School, or appointed by an elected body, such as the unit's Personnel Committee.

Council's Suggestions:

Strictly **follow the guidelines and format recommendations** and be careful about the dossier that goes to external reviewers.

Plan the candidate's **selection of external reviewers with enough advance time** to allow for sufficient review time.

Thank You for Attending

- In Closing…
- The results of a P&T evaluation should never be a surprise to the applicant
- Questions?

Ira A. Fulton Schools of Engineering

Arizona State University

engineering.asu.edu