Tenured/Tenure-Track (T/TT) Faculty Promotion and Tenure Workshops

Spring 2025

Fulton Schools Values

Well-aligned with activities that are part of promotion and tenure expectations

Cultivate Excellence

Contribute to a culture and environment that supports healthy growth in yourself and others; create positive impact through high quality contributions to the Fulton Schools, ASU, and beyond.

Deliver Innovation that Matters

Produce solutions that demonstrably create a greater value or overcome an existing challenge.

Encourage Bold Thinking

Contribute to a culture and environment that supports risk taking (i.e., doing something when you aren't sure what the outcome will be) and acknowledges it as part of the process of innovation that matters.

Foster a Community of Learning and Collaboration

Cultivate an environment where individuals come together to share knowledge, enhance skills, and leverage resources for mutual growth and development.

Build a Foundation for All to be Successful

Foster a culture and environment in which all members of the Fulton Schools community have access to educational and professional opportunities, feel valued and belonged, and have the support they need to achieve their full potential.

ASU Ira A. Fulton Schools of Engineering
Arizona State University

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
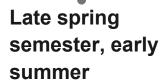
Process timeline

Spring

Spring semester prior to the review year

Assemble your portion of the packet – CV, personal statement, teaching materials – and suggest potential external reviewers

Spring – Summer

Late spring semester, early summer

The **director** sends the packet out for assessment by external reviewers

Fall

Fall semester

1.Unit review
After reviewing the file, the director meets with the candidate to lay out the strengths and weaknesses of the case

2.College review
After reviewing the file, the dean meets with the candidate to lay out the strengths and weaknesses of the case

Spring

Spring semester

University-level review by University Promotion and Tenure Committee, provost and president

Late spring semester (by May 12)

Notification of final promotion or tenure decisions

Typical Evaluation Process and Timelines

Each in-depth evaluation provides an independent perspective and recommendation

The ASU President ultimately makes the decision

Candidate/Director Work on Potential External Reviewers Lists
Mid Spring

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

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

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 a work is copyrighted)

Promotion and Tenure Portfolio

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 sufficient.] 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 mid-Nov (exact date TBD) 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** or (NEW) **candidates seeking tenure before their mandatory review year**, 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.

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
- Your unit staff has been/will be sent the Arizona University System ABOR-Approved University Peer List in addition to the [Association of American Universities Member Institutions list](#)
- 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, co-PIs, 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
- **whether or not supportive for tenure (as appropriate) and/or promotion at ASU**

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 tenure-track and tenured faculty docs – **CV section heading template – summaries for major sections for tenure-track and tenured faculty** and **FSE Q&As and best practices for tenure-track and tenured faculty** (available https://faculty.engineering.asu.edu/academic-personnel-actions/)

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 Evaluation of Instruction as required by ABOR policy.

(NEW) On the Summary of Student Evaluation of Instruction, courses with less than 5 respondents should be listed but the evaluation response data should not be included.

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)
- co-authorship with students and projects with student collaborators
- evidence of student achievments and/or career success related to the candidate's teaching or mentoring
- examples of effective teaching innovation
- 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

Evidence of effective teaching & mentoring

New emphasis and **focus is on outputs, not inputs**. What evidence indicates **effective** teaching in your discipline?

👍

Helpful things

Substantive peer reviews, evidence of student success, teaching awards, dissertations and theses, co-authorship with students, and others

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Not so helpful things

Course syllabi and exams, student comments or testimonies

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.

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 for candidates seeking tenure in their mandatory review year are **due to the Dean's office by mid-Nov (exact date TBD) 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 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 conference presentation or publications (i.e., presetation or 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 or co-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 plus several in the pipeline
  - Most successful applicants for promotion to professor with tenure have mentored at least five doctoral students to graduation plus several in the pipeline

- 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/or tenure to the associate professor level.
    - Professional service is of more importance in applications for promotion and/or 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.

- Collaboration 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 Application
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 (5+) and pipeline (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, and graduation)

Innovation and Impact (research, inventions, and 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 and contributes to inclusive excellence)

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 select external evaluators, review your case, and provide a written recommendation.
  - The substitute Director will also 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/or Tenure

Sometimes Life Events Happen

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
  - Such an exemption must be requested, in writing, no later than the fall semester of the year prior to the year their tenure review is scheduled

- 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

Addressing timeframes and gaps

Expectations

Not everyone comes up for tenure at the end of year five; some people come up early, and some get extensions for a variety of reasons, both professional and personal.

- The expectations are the same, whether you come up in year four or year six.

- You should not feel the need to explain personal reasons for an extension.

    - The assumption is that it is for a valid reason.

Significant gaps?

If there are significant gaps in your publication record, particularly if you are coming up for promotion to full, it's generally a good idea to address that, though you should avoid revealing personal circumstances.

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 are concerned of when your mandatory review dates are, please reach out to your unit admin.

Dean's Faculty Advisory Council (DFAC)

Spring 2025 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.

Possible outcomes of the promotion and tenure process

Unit Personnel Committee and Dean's Faculty Advisory Council reviews

According to ASU's Process Guide for Promotion and/or Tenure, the available voting options include: **recommend, not recommend, abstain, recused without presence,** and **absent.**

However, FSE <u>strongly</u> encourages three voting options only: **recommend, not recommend,** and **recused without presence.**

President-level reviews

President makes final decision and has additional options for tenure cases:

- **Tenure and promote**
- **Promote and extend clock**
- **Extend clock**
- **Deny**

ACD 506-03: Faculty Probationary Appointments - **https://www.asu.edu/aad/manuals/acd/acd506-03.html**
"Faculty members who desire to be considered for tenure earlier than the year designated in their offer letters should consult with their chair/director and/or deans about the possibility of being reviewed and recommended for tenure prior to their final probationary year. If an application for early tenure is denied, the faculty member may remain in probationary status with a regular contract until the mandatory tenure review is completed, or may receive a conditional contract, or may not be renewed per the provisions of ACD 508-01, "Nonreappointment.""

Thank You for Attending

- In Closing…

- The results of a P&T evaluation should never be a surprise to the applicant

- For Promotion and tenure and Teaching faculty promotion workshops visit **https://faculty.engineering.asu.edu/academic-personnel-actions/** and **https://academicpersonnel.asu.edu/promotion-and-tenure-workshops**

- Questions?

engineering.asu.edu