The Promotion and Tenure Process
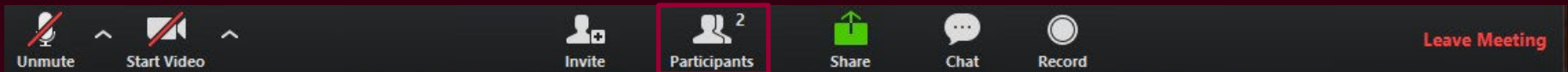
Policies, Procedures, and Best Practices

Deborah Clarke
Vice Provost for Academic Personnel
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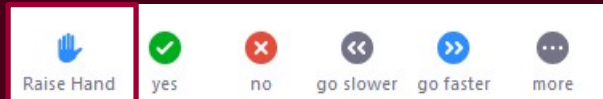
Welcome!

Some quick reminders:

- **Please mute your audio and turn off your video**
- **If you have a question, raise your hand by clicking "Participants" on the bottom of your screen.**

- **This will open the Participants to the right. Then, click the blue "Raise Hand" button. You will see a blue hand icon next to your name when your hand is raised.**

- **When I call on you, please unmute yourself while asking your question, and then lower your hand.**
- **You can also ask questions in the chat to be read aloud on your behalf.**

What we will cover

- **Differences in types of faculty personnel reviews**

- **The expectations for tenure and promotion**

- **The tenure and promotion package**

- **Tips for getting tenured and/or promoted**

- **The candidate's part of the P & T portfolio**

- **Pointers for the portfolio pieces that you prepare**

- **Possible outcomes of the process**

TYPES OF FACULTY PERSONNEL REVIEWS

LEVELS OF PERSONNEL REVIEWS

- **Unit-level review**
  - **Unit Personnel Committee**
  - **Unit Chair/Director**

- **College-level review**
  - **College Personnel Committee**
  - **Dean**

- **University-level review**
  - **University Promotion and Tenure Committee**
  - **University Provost**
  - **President**

FACULTY PERSONNEL REVIEWS

- **Annual Performance Review**
  - Unit level, with review by dean only at college level

- **Progress towards tenure**
  - Unit level, with review by dean only at college level

- **Midway Probationary Review**
  - Unit and college levels (positive and conditional reviews end with dean; negative comes to Provost)
  - Can take place in the third or fourth year

- **Tenure and/or Promotion**
  - Reviews at unit, college, *and university levels*

TENURE AND PROMOTION EXPECTATIONS

CRITERIA FOR TENURE

The university criteria for tenure are given in ACD 506-04:

Tenure is awarded on the basis of excellence and the promise of continued excellence, which is measured not only by individual achievement but also by contributions to the academic unit's and university's current and future mission and objectives;

thus the tenure review process of necessity takes into account the mission and objectives of each academic unit and the university during the assessment of the professional accomplishments of the faculty under review.
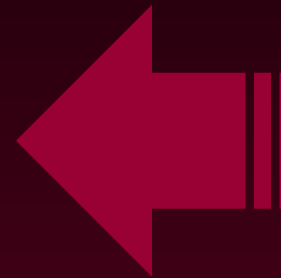
CRITERIA FOR PROMOTION

The university criteria for promotion are given in ACD 506-05:

- *The purpose of promotion is to recognize and reward accomplishment. Promotion is awarded on the basis of proven excellence. …*

- *Promotion to associate professor requires an overall record of excellence and the promise of continued excellence.*

- *Promotion to full professor must be based on an overall record of excellence in the performance of responsibilities. The candidate must also demonstrate continued effectiveness in teaching, research, scholarship and/or creative activities, and service since the promotion to associate professor and evidence of contributions at a level beyond that reflected in the promotion decision to associate professor. Generally, an overall record of excellence requires national and/or international recognition for scholarly and/or creative achievement.*

CRITERIA FOR TENURE AND PROMOTION

- **Criteria for tenure and promotion exist for all levels of review**
  - **Unit level**
  - **College level**
  - **University level (ACD 506-04)**

Familiarize yourself with these

- **Each case is assessed using these criteria**
  - The approval process for the criteria at each level requires consistency between all levels
  - Each level provides the *specific context* for assessing excellence

What does "excellence" mean?

- **Look at careers of candidates who have been recently granted promotion or tenure in your unit**

- **Identify the peer and aspirational peer departments for your unit**

  - Consider those departments as a comparison group

  - Review the performance records (CVs, etc.) from recently-tenured colleagues at these institutions

PORTFOLIO FOR TENURE AND/OR PROMOTION

PROMOTION / 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 ten 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/or creative materials**
   - Up to four can be submitted
   - Digital/electronic versions are to be submitted (or, if absolutely necessary, a copy of the material if a work is copyrighted)

PROMOTION / TENURE PORTFOLIO
(university-level review)
Candidate's Responsibility

5. **Evidence of excellence in teaching and mentoring assessed through <u>multiple</u> indicators [The unit will provide a summary of student evaluations – *necessary but not sufficient.*] Examples might include (but note item 6):**

    •   Instructional materials as specified by the unit

    •   Teaching philosophy and any professional development activities undertaken in relation to teaching and instruction

STATEMENT ON TEACHING EVIDENCE

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."

SOME EXAMPLES OF TYPES OF TEACHING EVIDENCE

- recent, objective, and substantive peer or director evaluations of teaching
- teaching or mentoring honors/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/director in consultation with the candidate
- facilitation of workshops on learning outcome assessment or other pedagogical topics

PROMOTION / TENURE PORTFOLIO
(university-level review)
Candidate's Responsibility

NOTE:

Candidates for tenure may add materials to their file until December 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.

EXTERNAL REVIEWERS

Selection of reviewers
- **Highly-respected scholars/artists active in your field of study**
  - May include scholars from different fields, depending on the interdisciplinarity of your work

How to identify potential reviewers?
- **Highly respected scholars from peer or aspirational peer institutions**
- **Prefer full professors at U.S. institutions**
- **Network: attend conferences, provide service to field, etc.**
- **Ask for advice from your dissertation chair, co-authors, friends, and your parents… but DON'T submit their names as potential reviewers**

How to help ensure high-quality reviews from strong reviewers?
- **Do good work**
- **Let potential reviewers see your work over the years (e.g., at conferences, galleries/performances)**

Provide as much information as you can about your nominees and discuss them with your chair

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PROCESS TIMELINE

- **Spring prior to the review year:** Assemble your portion of the packet – CV, personal statement, teaching materials – and suggest potential external reviewers

- **Late Spring, early Summer:** Chair/director sends the packet out for assessment by external reviewers

- **Fall Semester:** Unit and college reviews

- **Spring Semester:** University-level review by UPTC, Provost, and President

- **Late Spring Semester (by May 12):** Notification of final promotion and/or tenure decisions

ASU

PROCESS TIMELINE

1. After reviewing the file, the **chair or director** sits down with the candidate to lay out the strengths & weaknesses of the case.

2. After reviewing the file, the **dean** sits down with the candidate to lay out the strengths & weaknesses of the case.

TIPS AND BEST PRACTICES

HOW TO GET PROMOTED AND/OR TENURED

"…excellence and the promise of continued excellence…"

- **Become an effective instructor and mentor within your department**

- **Establish yourself as an important contributor within your field in ways that are clearly visible**

- **Demonstrate that you are doing high quality work, *as judged by your peers*, and that you are making an impact**

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How do you do this?

Publish/present creative activities in outlets where your work influences others and becomes known to the field

- What are the rankings of journals/competitions in your field?
- What publications (type and amount) or venues (e.g., juried, competitive commission, national gallery) are expected in your field?
- Which funding agencies/foundations are most prestigious in your field? Are certain grants expected in your discipline? What funding level?
- Are patents, licenses, etc., valued or expected?

Network

- Attend conferences and get to know senior scholars.
- Participate in professional organizations (ponder how to do this most productively).

Enhance your teaching

- Consult with senior colleagues (including peer review).
- Research best practices in your discipline.

ASU

Protect the time devoted to your scholarship/creative activities

Learn to say "no" and not feel guilty about it

- Seek advice/support from chair and senior faculty about protecting your time, using time wisely, and learning what service you should do and what you shouldn't do at this time.

Make unbreakable appointments with yourself to write, research, perform, etc.

- Your scholarship is a priority. Don't put it off or depend on others to protect your research time for you.

Preserve times when you are at your best for the most challenging work

- Figure out when you work most effectively on different kinds of tasks, and schedule that time for your scholarship.

Get good advice

Identify and talk with multiple mentors

- In your unit – ideally, each unit (department, school or college) should have a mentoring program.

- In your field, outside of ASU.

- Outside your unit and field.

Meet regularly with your chair regarding your progress towards tenure

- Annual written review

- Regular discussions

Know what is expected and how to plan

- **Review the process page on the Provost's website.**

- **Allow for extra time — it always takes longer than you expect for a piece to go through the review process!!**

PREPARING YOUR PIECES OF THE PORTFOLIO

Strategizing your portfolio

Assemble evidence to answer one of the following questions:

- **For tenure:** "*Within the context of your department and college, have you demonstrated 'excellence and the promise of continued excellence' during your probationary period at ASU?*"

- **For promotion to professor**: "*Since your promotion to associate professor, and within the context of your department and college, has your continuous excellent performance developed a significant national or international scholarly reputation in your field?*"

Your Curriculum Vitae

- **You can have more than one! Make one specifically for** internal **use (P&T).**
  - We'll discuss the internal CV here.
- **Make the CV clear and easy to interpret to those outside your field.**
- **Authorship**
  - Provide complete author list, with names in the order published
  - Indicate what author order means in your discipline
  - If multi-author, describe your contribution to the article
  - Note when co-authors are your students
- Organize **so it is clear what work is** peer-reviewed

Your Curriculum Vitae (cont'd)

- Don't mix unfunded grant activity with funded grants
- A summary of your research funding will be provided from Knowledge Enterprise. Explain any conflict between your CV and the KE figures!
- Make sure all citations are complete, with authors listed in published order.
- Make sure to include patents, licenses, etc.
- List courses taught, students mentored, etc.
- For the service section of the CV, separately list disciplinary service, institutional service, department service, and community service (based on your disciplinary expertise).
- Let others review your CV for clarity and comments.

Your Personal Statement

- **The PS is a narrative that explains and elaborates the items on your CV.** Don't just restate what is in your CV.

- **This is your opportunity to speak directly to your reviewers.** What do you want them to know?

- **Every personal statement is different, but each answers the questions:**
  - What have you done at ASU and why is that important?
  - What impact has your ASU work had on your field?
  - How does your ASU work fit into the initiatives/ programs/ future directions in your field? Of your academic unit? Of ASU?

Addressing Timeframes and Gaps

- **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.
  - You may indicate if there was a professional reason, such as a lab not being ready or a school reorganized, but don't belabor it.
- **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.

The Personal Statement (cont'd)

- **The PS is both retrospective *and* prospective.** Discuss where you have been and where you are going. Help readers see the connecting threads in your work and understand your original contributions to the field.

- **Discuss the impact of your work -** citation index, journal acceptance rate, awards, important citations in major works.

- **Get people inside and outside your unit to read your personal statement for feedback.** Remember: most readers of your PS will not be in your field or discipline.

Publications and creative materials

- **If you are going up for tenure,** you will want to select materials that demonstrate "'*excellence and the promise of continued excellence' during your probationary period at ASU*."

- **If you are going up for promotion,** you will want to select materials that demonstrate "*your continuous excellent performance [has] developed a significant national or international scholarly reputation in your field*".

Evidence of effective teaching and 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
- Not so helpful things: course syllabi and exams, student comments/testimonies

Supplemental materials

- **Assessments of your service**
- **Acceptances of work that is not yet published**
- **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 coauthored with students.***
- **Published reviews of your work demonstrating reception and impact of that work.***

*** provide excerpts, summaries, citation info, not complete document**

POSSIBLE OUTCOMES OF THE PROCESS

Possible outcomes of the promotion and tenure process

- **Lower review levels** either recommend positive action or recommend denial. *There are no other options.*

- **President makes final decision and has additional options for tenure cases:**
  - Tenure and promote
  - Promote and extend clock
  - Extend clock
  - Deny

P&T DECISIONS 2011-12 TO 2018-19
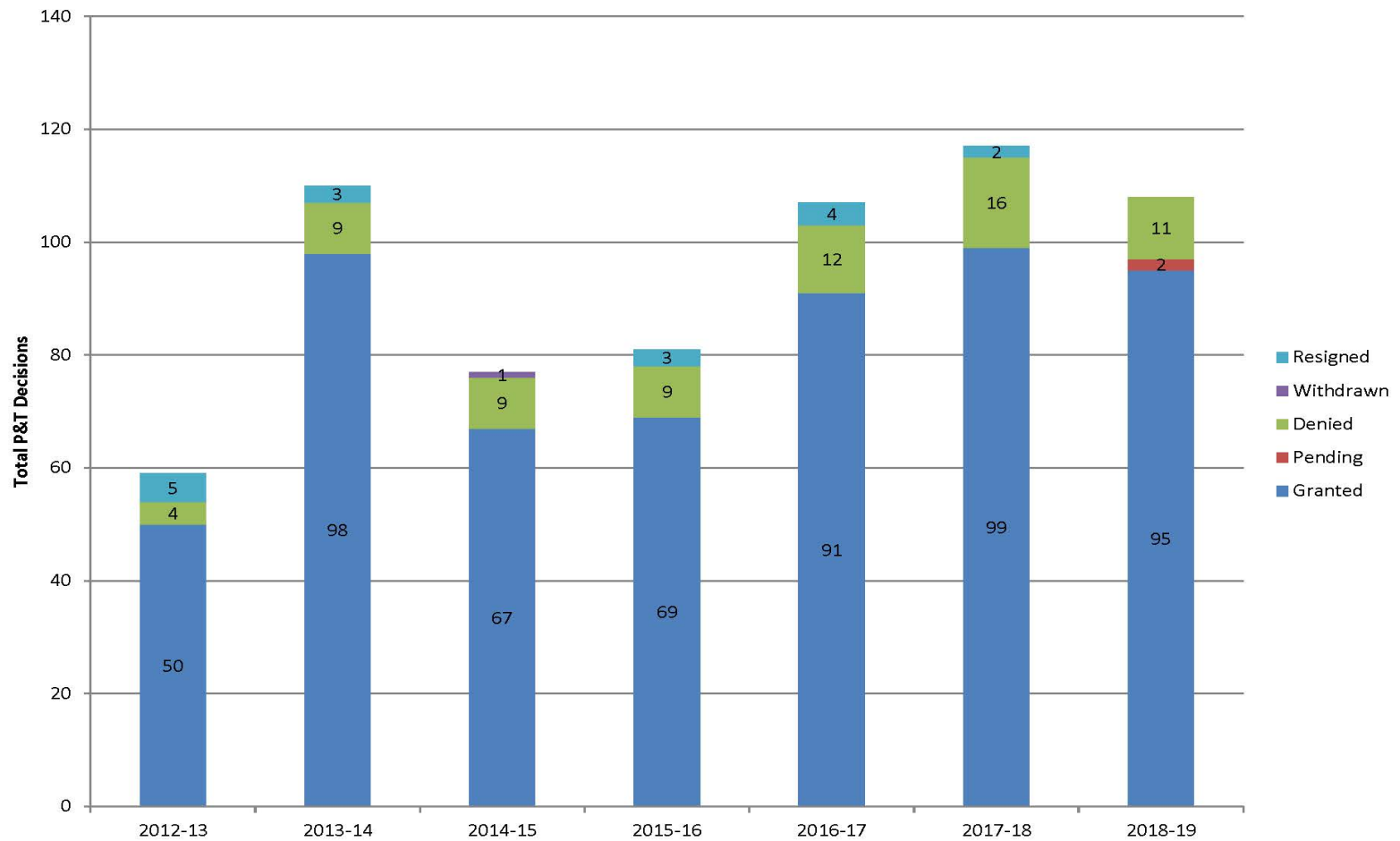
Information on the web

Information on personnel processes is on the Academic Personnel web site

http://provost.asu.edu/promotion_tenure

QUESTIONS?