

## **Procedures for Evaluation of Promotion to Full Professor**

**July 4, 2022**

### **1. General Principles**

Modul University Vienna is a research university whose goals and mission require that all faculty members continually develop professionally and gain recognition within their respective discipline(s).

Personnel decisions related to reappointment and promotion must be guided by evaluation of the performance of the individual faculty member. The evaluation criteria in all cases relate to the individual's contribution to the University's tri-partite mission of basic (scholarly) research, teaching, and knowledge transfer (transfer services), plus internal service to Modul University Vienna (self-governance and administration).

The individual faculty member and the University are best served when the criteria and process for promotion decisions are clear as to what are the activities that are valuable and contribute to the missions of the University; the individual faculty member is given regular feedback about the extent of their contributions; that high levels of performance are rewarded with promotion while inadequate levels of performance are not rewarded with promotion.

### **2. Criteria for Promotion to Full Professor**

Promotion from Associate to Full Professor recognizes significant accomplishments and contributions to the University's missions in basic research/scholarship, teaching, and transfer services, plus administration. While a candidate's full record is taken into account, disproportionate weight is placed on the individual's contributions made since serving as an Associate Professor at Modul University Vienna

#### **a. Performance in Basic Research/Scholarly Activities**

Research performance is assessed by the following dimensions:

- Demonstrated individual ability to do effective and valued research on topics judged to be significant;
- Demonstrated ability to publish one's research in peer-reviewed academic journals that will advance the diffusion and impact of the individual's scholarly activities to the broader

disciplinary community;

- Demonstration of the individual's contribution to the research effectiveness and scholarly development of junior faculty and doctoral students in the University;
- Evidence of ability and motivation to maintain and enhance a high level of research and scholarly productivity after promotion to full professor.

The overall criterion for assessment in research and scholarship is the significance of the contribution to knowledge. An important indicator of this is that the faculty member is recognized as being among the leading researchers in one or more chosen topic areas. Thus, while collaboration and co-authorship is encouraged, the individual faculty member's contributions are central to the assessment of research and scholarship. The contribution of the co-authors has to be made transparent. To demonstrate leadership in basic research projects the volume of third-party funding, funding organization and role of the candidate should be documented.

#### b. Performance in Teaching

Effective teaching – the transfer of relevant knowledge and know-how from faculty to students -- is a central mission of Modul University Vienna. The assessment of teaching performance dimensional requires multiple measures. The following are suggested elements to be considered in the individual's assessment as an effective teacher:

- Appropriate course content and course design, including the development of new courses;
- Development of new and innovative teaching materials and methods of delivery;
- Contributions to the development and improvement of effective teaching by other Modul University Vienna faculty;
- Demonstrated skill and effectiveness in classroom presentations and discussion, based upon student evaluations and possibly peer evaluations;
- Contributions to the development of students outside of the classroom including supervision of theses, mentoring, and professional development;
- Evidence of motivation and ability to maintain and enhance effective teaching after promotion.

#### c. Performance in Knowledge Transfer

Modul University Vienna expects all faculty to be engaged with external organizations and constituencies who may benefit from the know-how and other expertise within the university. These can include businesses, NGOs, government organizations, community and advocacy groups. Transfer services also include providing services and leadership to one's disciplinary/professional organizations, for example serving as an elected officer of an association, as an editor of a journal, or serving on editorial boards.

The following are suggested elements to be considered in the individual's assessment in the performance of transfer services:

- Demonstrated individual ability to generate and implement applied research projects with substantive funding by industry or government organizations;
- Demonstrated ability to be invited to give presentations to external groups (scholarly or non-scholarly);
- Demonstrated ability to provide know-how, expert opinion, or commentary to external (non-scholarly) audiences in the form of, for example, invited presentations, public talks, commentaries, written publications in newspapers, industry magazines or other public forums;
- Demonstrated ability to provide leadership and service to disciplinary associations;
- Evidence of ability and motivation to maintain and enhance service in the future.

Documentation of activity in transfer services should include a short description of each service, including the name of the organization served, the time period including an estimate of the amount of effort (person-days), and (if feasible) any estimates of impact the service has had. For generated research projects the volume of third-party funding, funding organization and role of the candidate needs to be provided.

#### d. Performance in Internal Service and Administration

Universities are organizations that depend upon a high level of self-governance, and hence having faculty who are 'active citizens' in contributing to the common good of the university. Failure of any faculty to serve the common good places an unfair burden on one's colleagues for performing the time-consuming but important duties of self-governance and administration. Elements of service in internal administration include:

- Serving in leadership positions such as President, Vice-president, Dean, Program Area Director, Head of School, or demonstrating willingness to assume leadership positions;
- Mentoring students and junior faculty;
- Volunteering to serve on university-wide committees;
- Contributing to the sustainability goals of the university;
- Evidence of motivation to maintain and enhance internal service to Modul University Vienna in the future.

### 3. Overall Evaluation Process

A promotion review is triggered when an Associate Professor informs the President in writing that

they wish to be evaluated for promotion.

The President will then nominate a Promotion Committee, which in the case of a review for promotion to Full Professor; will consist of three full professors, one associate professor, and one additional faculty member. The President will also nominate one of the full professors to serve as the initial chair of the Promotion Committee. The University Assembly will vote to approve the President's nominees. One student is elected by the student union to become a member of the Committee. They will participate in all discussions of the Committee, but will be able to vote *only* on the assessment of the candidate's teaching performance.

At its first meeting, the committee members will elect a permanent chair from among the full professors. The committee will have the responsibility to carefully evaluate the evidence assembled about the candidate on each of the areas of basic research and scholarship, teaching, knowledge transfer, and administration plus other relevant material and information. Particularly to help the Committee assess the area of basic research/scholarship, at least four written, detailed external assessments from recognized, leading scholars will be solicited. A minimum of three external assessors' reports received are necessary for the committee to proceed with the evaluation.

*External assessors* will be selected (voted upon) by the Promotion Committee. The candidate will be invited to submit a list of five potential external assessors, but the Committee is *not* obligated to select from among the names on the list. The external assessors cannot include the candidate's Ph.D. supervisor or co-authors. Research collaborators are eligible as external assessors, but have to state in their assessment where and how they cooperated with the candidate, and have to refrain from assessing research output that resulted from such cooperation. Each of the external assessors should be recognized as established senior scholars/researchers in one or more of the respective research specializations of the candidate.

The candidate receives copies of the external assessors' reports and is given the opportunity to respond in writing to the assessments within three weeks. The candidate's response (if there is any) will be included in the candidate's file to be evaluated by the committee.

In addition, the Committee will ask the candidate to give a scientific presentation at Modul University Vienna on a topic relevant for the assessment and agreed among the candidate and the Committee Chair. The presentation will contribute to the assessment of basic research and scholarship.

The Committee also has the option of inviting Deans and/or Heads of Schools to provide oral or written *informal* assessments of the candidate's teaching, transfer service, and administration. After considering all of the relevant material in the candidate's file and after internal discussion, each

member of the Promotion Committee will assess the faculty candidate, *each* of the four areas of (i) basic research/scholarship, (ii) teaching, (iii) knowledge transfer, and (iv) internal service and administration, using the following grades: (1) Distinguished, (2) Excellent, (3) Effective, (4) Inadequate. *As a general guideline, a rating of 'Inadequate' on any of the four areas would be expected to result in an unfavorable overall recommendation for promotion.* Based upon these grades in the four areas of activities, each member of the committee, with the exception of the student member, will vote “Yes” or “No” on an overall assessment of whether the candidate meets the criteria for promotion or not. The student member will submit a vote only on the teaching performance. The individual committee members’ overall assessments as well their assessments on each of the four areas will be documented by the committee chair.

The chair of the committee will write and submit a report to the President summarizing the process followed, copies of the external assessor’s evaluations, the results of the grades given to each of the four performance areas of each committee member, and the voting result of the committee members on the overall assessment. All deliberations of the Promotion Committee, including the committee members’ summary ratings and the final vote of the Committee, will be kept strictly confidential except in its communication with the President.

The President will decide on whether the candidate will be promoted. The ~~final~~ decision of the President and a description of the procedures followed by the committee will be communicated in writing to the candidate by the President. In the event the President decides against the recommendation of the committee, they will write a letter to the committee and the candidate providing the reasons for the decision. The candidate may initiate a written appeal to the President and the chair of the committee, within two weeks of receiving the communication from the President, if they believe there were any violations in the procedure as stipulated in the Constitution. If there is an appeal, the chair of the committee will respond to the alleged violations of procedure with appropriate documentation and provide that to the candidate and the President. The President will make a final decision on the appeal and communicate that to the candidate and the committee chair.

Following the final decision, the President will hold a meeting with the faculty candidate and attended by the chair of the Promotion Committee to provide more detailed feedback to the candidate on the evaluation.

#### **4. The task of the External Assessor**

The External Assessor’s assessment shall provide input to the evaluation process that is not readily available to the members of the Promotion Committee. The External Assessor is expected to use

their knowledge of the respective research specialization to judge the candidate's reputation in this research area and the significance of the candidate's contribution to knowledge of this research area. In particular, external assessors are asked to compare the candidate's scholarship/research record against other junior faculty at a similar stage in their academic careers. MU expects External Assessors to express their individual assessment of the candidate along these criteria rather than just to report citation numbers and impact factors.

In their written assessment, External Assessors are expected to be transparent about any non-academic factors that may influence their assessment. Moreover, the written assessment should state clearly any aspects of the candidate's portfolio that the External Assessor cannot assess for whatever reason, and it should contain a clear recommendation to MU concerning the candidate's promotion.

## **5. The Faculty Candidate's Portfolios**

An integral part of the material to be used in the assessment is a set of portfolios covering each of the four different activities plus other relevant material and information, to be put together by the faculty candidate and submitted to the President and the chair of the Promotion Committee.

The basic research/scholarship portfolio will consist at least of an up-to-date CV, a series of publications that the candidate considers to be the most important in terms of their contributions to scholarship, and a reflective essay. The purposes of the essay are for the candidate to place their ensemble of scholarly contributions - not necessarily restricted to just the publications included in the portfolio – into the wider context of how their scholarship has been valuable to the advancement of one's disciplinary development, and to indicate their future scholarly goals in broad terms. The candidate also has the option of writing the essay only for consideration by the committee. There is no specific minimum number of publications, but the collection selected should emphasize publications since serving as an Associate Professor at Modul University Vienna. For multi-authored articles the candidate needs to provide co-author statements. The portfolio of selected articles along with the CV and reflective essay will be sent to each of the external assessors.

The teaching portfolio will consist of student evaluations, peer evaluations, course syllabi, other relevant material such as teaching awards, and an essay that reflects on the candidate's approach and philosophy towards teaching.

The knowledge transfer portfolio will consist of an annotated list of service activities undertaken, with most emphasis on service during the time the candidate has been an Associate Professor at Modul University Vienna. The candidate should write a statement that describes and discusses the significance and value of the service contributions, as well intentions for future contributions.

The administration portfolio should consist of a list of internal service activities undertaken at Modul University Vienna, and include a short statement of the potential value and importance of the activities as well the intentions for future service.

## **6. Schedule**

The chair of the committee has the responsibility of organizing the evaluation process such that a recommendation can be reached in a timely and efficient manner, but also ensuring that all relevant information is gathered and carefully considered by the committee in order to be able to make a fair recommendation (and subsequent decision by the President). The committee should make every attempt to complete its work no longer than six months from the date of receiving all required documents from the candidate. The President should aim to make the final decision within two weeks from the end of the candidate's appeal opportunity, and within the same time period, to inform the candidate of their decision.

## **7. Reapplication**

If the result of the assessment is a negative decision to promote to full professor, the candidate may be re-assessed for promotion. They, however, will have to wait a minimum of two years from the date of the negative decision to when a new assessment process can begin. In such a case, the candidate will receive detailed written feedback from the chair of the Promotion Committee, including excerpts from the reports of the external evaluators, about what areas of performance need to be strengthened in order to increase the chances for a positive re-assessment.

*Adopted by the University Senate on July 4, 2022*