# Demystifying Promotion to Associate Professor

College of Agriculture and Natural Resources  
Michigan State University  
Summer-Fall 2011

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Faculty Guide for Reappointment, Promotion and Tenure Review

Overview of the Reappointment, Promotion and Tenure Process

MSU has a multi-level review process for reappointment, promotion and tenure (RPT) decisions. Recommendations for reappointment, promotion and tenure are made in the department according to unit, college and university bylaws, policies and procedures. Recommendations that do not involve the award of tenure are reviewed successively by the dean, the provost and the president, who makes the final decision. Recommendations that involve the award of tenure are reviewed successively by the dean, the provost, and the president, who makes the final recommendation to the Board of Trustees for action.

The RPT process includes the following steps:

1. Faculty member and department chairperson/school director complete their respective parts of the Recommendation for Reappointment, Promotion or Tenure Action form.
2. External peer evaluation (letters of reference), if required by unit procedures.
3. Faculty member has an opportunity to confer with the department/school peer review group before a decision is made.
4. Department/school peer review group provides advice to the chairperson/director regarding reappointment, promotion and tenure decisions.
5. Department chairperson/school director conducts an independent evaluation, taking into consideration peer evaluation, and forwards a recommendation to the dean.
6. College-level reappointment, promotion and tenure committee provides advice to the dean about department/school recommendations for reappointment, promotion and tenure.
7. Dean independently reviews each recommendation for reappointment, promotion and tenure and forwards a recommendation to the provost.
8. The Associate Provost and Associate Vice President for Academic Human Resources and the Senior Associate Provost consult with the provost on the dean’s recommendations.
9. The Associate Provost and Associate Vice President for Academic Human Resources, the Senior Associate Provost, and the Vice President for Research and Graduate Studies jointly review each recommendation with the applicable dean and approved/disapprove the recommendation on behalf of the Office of the Provost. Approved actions that do not involve an award of tenure are forwarded to the president for final action.
10. Board of Trustees takes action on recommendations involving the award of tenure.

The RPT process is initiated by the provost each year in early November with a distribution of materials to be used for that year’s review cycle, including a list of faculty for whom tenure action is required.

Faculty Guide for Reappointment, Promotion and Tenure Review

Criteria and Standards

Decisions to promote and tenure faculty members are the most important made by the University, for they will determine MSU's reputation and prominence for many years to come. Departments, schools and colleges are expected to apply rigorous standards and to refrain from doubtful recommendations of reappointment, tenure or promotion.

Departments, schools and colleges are required to base decisions about reappointment, promotion and tenure on criteria and procedures that are clearly formulated, objective, relevant, and made known to all faculty members. These procedures are also required to include a means by which a probationary tenure system faculty member is evaluated and informed annually of his/her progress.

Faculty are reviewed according to the criteria and standards in department/school bylaws or other relevant documents, college bylaws or other relevant documents (if any), and the University's statement on "Appointment, Reappointment, Promotion and Tenure Recommendations." It is critical that faculty learn about the standards and criteria in their department/school and/or college. The department chairperson/school director should provide this information upon initial appointment in the tenure system or as soon as possible thereafter.

The University's statement requires that achievement and performance levels must be competitive with faculties of leading research-intensive, land grant universities of international scope. Expectations of excellence are embodied in the following standards for reappointment, promotion and tenure:

1. Reappointment with award of tenure: Each tenure recommendation should be based on a clear record of sustained, outstanding achievements in education and scholarship across the mission, consistent with performance levels expected at peer universities.
   a. For the faculty member appointed initially as an associate professor on a probationary basis in the tenure system who has established such a record, the tenure recommendation is effective upon reappointment after one probationary appointment period.

2. A recommendation for promotion from assistant professor to associate professor in the tenure system (with tenure) should be based on several years of sustained, outstanding achievements in education and scholarship across the mission, consistent with performance levels expected for promotion to associate professor at peer universities. A reasonably long period in rank before promotion is usually necessary to provide a basis in actual performance for predicting capacity to become an expert of national stature and long-term, high-quality professional achievement.

A recommendation for promotion from associate professor to professor in the tenure system should be based on several years of sustained, outstanding achievements in education and scholarship across the mission, consistent with performance levels expected at peer universities. A reasonably long period in rank before promotion is usually necessary to provide a basis in actual performance to permit endorsement of the individual as an expert of national stature and to predict continuous, long-term, high-quality professional achievement.

Recommendations for reappointment, promotion or tenure are based upon a faculty member's scholarly contributions. In particular, assessment of faculty performance should recognize the importance of both teaching and research and their extension beyond the borders of the campus as part of the outreach dimension, as appropriate to the particular responsibilities assigned to the faculty member and the mission of the unit.

Time Table for 2010-11 Reappointment, Promotion and Tenure Actions

This is the University schedule; departments/schools and colleges may have internal due dates.

On or Before

August 2, 2010
Office of the Provost sends advance copy of Timetable and list of faculty for whom tenure action is required, i.e., faculty whose probationary appointment ends on August 15, 2012.

November 10, 2010
Office of the Provost distributes materials electronically to initiate tenure system reappointment and promotion recommendations, including a list of faculty members for whom reappointment recommendations are required.

Date to be determined
Chairpersons and directors inform individual faculty members in a timely manner of the completed Form D "Recommendation for Reappointment, Promotion or Tenure Action" and supporting materials have been forwarded to the dean.

February 28, 2011
The following forms are sent from the Dean through the web application to Academic Human Resources:

Form A: "Tenure System Reappointment"
Faculty Guide for Reappointment, Promotion and Tenure Review

Recommendations:

Form B: "Promotion List."

Form C: "Documentation of Annual, Written, Tenure System Faculty Review."

Form D: "Recommendation for Reappointment, Promotion or Tenure Action" and an updated curriculum vitae for each faculty member listed on Form A and Form B.

Deans request chairpersons and directors to inform individual faculty in a timely manner of whether or not the dean has approved the department's recommended action and that the dean has forwarded a completed "Recommendation for Reappointment, Promotion or Tenure Action" form to the provost. Even if the dean does not approve the department's recommended action, all review materials in support of such an action will be made available for review by the provost and her/his staff.

Mar 3-April 8, 2011

Deans' conferences with the Associate Provost/Associate Vice President for Academic Human Resources, Senior Associate Provost and the Vice President for Research and Graduate Studies to review individual recommendations.

April 25, 2011

Provost notifies deans of recommendations accepted for recommendation to the president and the Board of Trustees.

May 2-6, 2011

Deans notify chairpersons and directors, who notify faculty members, of actions taken by the Office of the Provost and the president on recommendations not involving the award of tenure.

May 31, 2011

Final list of reappointments and promotions involving the award of tenure are prepared and forwarded by the Office of the Provost for recommendation to the president and for the agenda for the Board of Trustees.

June 17, 2011

June 20, 2011

Meeting of the Board of Trustees.

Notification to deans of final approval for actions involving the award of tenure; deans notify chairpersons and directors, who notify faculty members.

October 14, 2011

Date to be determined

Delayed actions (i.e., those with delayed reappointment, promotion, and/or tenure actions should be informed as soon as possible following final action by the president or Board of Trustees).

November 15, 2011

Deadline for notification to faculty who are not reappointed.

Recommendation for Reappointment, Promotion or Tenure Action Form

This (required) form, referred to as Form D, outlines many of the activities that are relevant to decisions on promotion, tenure and reappointment. It provides the opportunity to document, provide evidence for, and assess faculty scholarship in the functional areas of instruction, research and creative endeavors, and service within the academic and broader community, as well as in cross-mission initiatives.

Sections I, II and III of Form D are summary evaluations completed by the chairperson, director and/or dean. The following materials are completed and submitted by the faculty member:

1. Evidence of scholarly activities as requested in Section IV
2. A reflective essay about accomplishments over the reporting period (5 page maximum)
3. A curriculum vitae as a more complete listing of scholarly activities and works
4. Other evidence as required by the unit (such as letters from reviewers) or desired by the faculty member

Annual Review

http://www.hr.msu.edu/promotion/facacadstaff/FacGuideTenure.htm

6/5/2011
Faculty Guide for Reappointment, Promotion and Tenure Review

All tenure system faculty must be evaluated and informed annually, in writing, about their progress. The Faculty Review policy provides principles and guidelines for implementing these reviews.

Poor Review/College-Level Committee Review

Unit Level

Each department and school is required to establish procedures so that its faculty can provide advice to the chairperson/director regarding recommendations for reappointment, promotion and tenure. University guidelines for the composition of peer review committees are included in the statement on Peer Review Committee Composition and External Evaluations.

College Level

Each departmentally organized college is required to establish a college-level reappointment, promotion and tenure committee that is charged to provide advice to the dean about department/school recommendations for reappointment, promotion and tenure. College-level and Tenure Committees.

Joint Appointment

Only the primary unit will make a recommendation for reappointment, promotion or tenure for a faculty member with a joint appointment. However, the chairperson/director of the primary unit is obligated to consult with the chairperson/director of all joint units prior to submitting a recommendation.

External Letters of Reference

External letters of reference are required for all reviews of tenure system faculty involving the granting of tenure or promotion. External letters of reference are required in order to ensure that individuals recommended have an achievement and performance level that is comparable with faculty of peer institutions. The statement on External Letters of Reference provides principles and procedures that must be applied uniformly to all faculty in the unit for soliciting external letters of reference.

Confidentiality of Letters of Reference

Letters of reference, as part of an official review file, are held in confidence and will not be disclosed to a faculty member under consideration or to the public except as required by law or University policy. In all such instances, the information made available will be provided in a form that seeks to protect the identity, privacy, and confidentiality of the evaluator.

University-level Review

All recommendations for reappointment, promotion and tenure are jointly reviewed by the Associate Provost and Associate Vice President for Academic Human Resources, the Senior Associate Provost, the Vice President for Research and Graduate Studies, and the applicable dean. In addition to reviewing recommendations against the standards and criteria of the department/school and/or college and the University, the Associate Provost, Senior Associate Provost and the Vice President assess the candidate’s independent role in research and scholarship and the commitment to seek external funding, as appropriate to the discipline and assignment of the faculty member.

Additionally, the Associate Provost and Associate Vice President for Academic Human Resources and the Senior Associate Provost consult with the provost on the deans’ recommendations.

Early Promotion/Tenure

A promotion or tenure action is not considered "early" if justified by a record of performance at another university or during a fixed term appointment at MSU that is required by immigration regulations or other relevant reason, provided the performance meets MSU standards. Early promotion/tenure is based on an exceptional record of accomplishments at MSU that is based on department/school/college and University criteria. Early promotion/tenure is reserved for extraordinary cases.

Visa Status/Foreign Nationals

Foreign nationals (those holding non-immigrant status) may be appointed within the tenure system, but may not be awarded tenure unless they have acquired permanent resident status or complete a Tenure Policy Exemption Agreement.

http://www.hr.msu.edu/promotion/facacards2011/FacGuideTenure.htm
Alternatively, an extension of the probationary appointment is automatic if a tenure decision is required before permanent resident status is obtained and the candidate has been recommended for tenure.

Stopping the Tenure Clock/Extension of the Probationary Appointment

Automatic

The tenure system probationary appointment is extended automatically for one year for the following reasons:

1. Leaves of absence with or without pay that are six to twelve months.
2. Changes in appointment to 50% time or less for one year.
3. Upon request from a faculty member on approved leave of absence (paid or unpaid) for twelve weeks or longer for reasons related to the birth or adoption of a child. Automatic extensions for this reason are limited to two separate one-year extensions.
4. Immigration/visa status that does not permit the award of tenure for candidates who have been recommended for tenure.
5. An extension recommended as an outcome of a hearing and/or appeal conducted pursuant to the Faculty Grievance Policy.

Requests

Extension of the probationary appointment may be requested from the University Committee on Faculty Tenure for reasons related to childbirth, adoption, the care of an ill and/or disabled child, spouse, or parent; personal illness; to receive prestigious awards, fellowships, and/or special assignment opportunities, or other such serious constraints.

The procedure for requesting an extension of the probationary tenure system appointment is included in the statement on Implementation Practices (Stopping the Tenure Clock).

Delay in Reappointment Decision

On an individual case basis, there may be justification to delay the final reappointment, promotion, or tenure decision until the fall (final recommendations are due on or before October 15). Upon the request of or after consultation with the faculty member, the department/school chairperson/director and dean may concur that another review will be held early in the fall for the purpose of reviewing additional information and making a final recommendation. The request for a delay must be approved by the Associate Provost and Associate Vice President for Academic Human Resources.

Effective Dates

The effective date for reappointment with tenure is the first of the month following final approval by the Board of Trustees. The effective date for reappointment without tenure is August 16 of the year following the recommendation, e.g., for recommendations made in April 2006, the effective date is August 16, 2007.

The effective date for promotion with or without the award of tenure is the first of the month following final approval by the Board of Trustees.

The effective date for non-reappointment is August 15 of the year following the recommendation, e.g., for recommendations made in April 2006, the effective date is August 15, 2007.

Promotional/Tenure Base Salary Increases

Central support for promotional increments for tenure system faculty is provided at $2,000 per promotion from assistant to associate professor and at $3,500 per promotion from associate to professor. For those appointed at the associate professor rank but without tenure, $2,000 will be provided upon receipt of tenure. If unit promotional policy exceeds the above funding, units are responsible for the additional amount. Promotion/tenure salary increases are effective with the general increase, normally October 1, and are in addition to the annual merit increase.

Negative Decisions

The decision not to reappoint a non-tenured faculty member does not necessarily imply that the faculty member has failed to meet the standards of the University with respect to academic competence and/or professional integrity. This decision may be contingent, wholly or in part, upon the availability of salary funds and/or departmental needs.

A faculty member who is not recommended for reappointment must be notified in writing by the chairperson/director and/or dean as soon as possible.

http://www.hr.msu.edu/promotion/faccadstaff/FacGuide/Tenure.htm
Faculty Guide for Reappointment, Promotion and Tenure Review

as possible and no later than December 15 preceding the expiration of the appointment. Upon written request of the faculty member, the administrator of the basic administrative unit making the decision must transmit in writing the reasons for the decision.

**Appeal Procedures**

The administrative review procedure is an informal process providing an avenue for faculty/academic staff to request an independent assessment from their department chairperson/school director, dean, and Office of the Provost on personnel matters such as salary status, reappointment, promotion and tenure.

If a non-tenured faculty member believes that the decision not to reappoint was made in a manner that is at variance with the established evaluation procedures, he/she may, following efforts to reconcile the differences at the level of the basic administrative unit and the dean of the college, initiate an appeal in accordance with the Faculty Grievance Policy. The time frame for initiating a grievance begins upon receipt of notification of the negative decision from the dean or department chairperson/school director.

**Survive and Thrive in the MSU Tenure System Workshop**

The Office of Faculty and Organizational Development in the Office of the Provost sponsors this workshop each fall. This workshop is for probationary tenure system faculty to provide assistance in functioning successfully within the tenure system at MSU.

The workshop has the following objectives:

1. To expand faculty members’ understanding of key concepts, topics and issues within their department and about University reappointment, promotion and tenure procedures
2. To discuss approaches in documentation and record keeping for reappointment, promotion and tenure purposes
3. To provide practical information on making choices, balancing conflicting demands, managing departmental politics
4. To provide an opportunity for communication and problem-solving among faculty and academic administrators

**Data - 5-year Summary of Promotion and Tenure Actions University-wide**

Over the five reappointment cycles from 2005 through 2009, there have been 25 associate professors reappointed with tenure; 209 assistant professors reappointed for a second three-year probationary appointment; 208 promotions to associate professor; 163 promotions to professor; and 32 individuals not reappointed. Additionally, extensions of the probationary appointment were approved for 6 associate professors and 31 assistant professors.

Generally, at Michigan State, the tenure rate for starting cohorts is about 70%, i.e., faculty members who have resigned or are no longer appointed in the tenure system are included in the base calculation. The tenure rate is approximately 90% for faculty who are reviewed in a given year.

**Tenure/Promotion Recognition Dinners**

Each fall the Office of the Provost hosts a recognition dinner ceremony in honor of faculty members promoted to the rank of professor and for those awarded tenure.

**Post-Tenure Review**

Post-tenure review is implemented through several existing policies and procedures (contained in the Faculty Handbook), including a clarifying interpretation by the University Committee on Faculty Tenure on the meaning of the term “incompetence” in the discipline and dismissal policies. Performance is monitored through the use of annual written performance evaluations as required by the policy on “Faculty Review.” Work performance, as determined in such reviews, is to be reflected in annual merit salary adjustments and as a basis for advice and suggestions for improvement. Although not triggered by a fixed number of years of low performance, discipline in a variety of forms may be invoked under the “Policy and Procedure for Implementing Disciplinary Action where Dismissal is Not Sought.” In more serious cases, the “Dismissal of Tenured Faculty for Cause Procedure” can be invoked.

**University-level policies/forms relevant to the reappointment, promotion and tenure process**

- Administrative Review
- Appointment, Reappointment, Tenure and Promotion Recommendations
- College-Level Reappointment, Promotion and Tenure Committees
- Conflict of Interest in Employment
- Disciplinary Action Where Dismissal is Not Sought, Policy and Procedure for Implementing

http://www.hr.msu.edu/promotion/facacadstaff/FacGuideTenure.htm
Faculty Guide for Reappointment, Promotion and Tenure Review

- Dismissal of Tenured Faculty for Cause
- External Letters of Reference
- Faculty Career Advancement and Professional Development: A Special Affirmative Action Responsibility
- Faculty Grievance Policy
- Faculty Review
- Granting Tenure
- Implementation Practices (Stapling the Tenure Clock)
- "Incompetence," Definition of the Term by the University Committee on Faculty Tenure
- Non-Reappointment
- Non-Tenured Faculty in the Tenure System
- Operating Principles of the Tenure System
- Peer Review Committee Composition
- Post-Tenure Review
- Promotion of Tenured Faculty
- Recommendation for Reappointment, Promotion or Tenure Action Form
- Reference Letters for Reappointment, Promotion and Tenure Recommendations, Confidentiality of
- Salary Adjustment Guidelines, Academic
- Surviving and Thriving Workshop
- Tenure Action and Promotion

Footnote:

1 Web links to all relevant policy statements and forms are listed at the end of this document.

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MICHIGAN STATE
UNIVERSITY

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- MSU Homepage
- Contact Human Resources
- eMail HR Webmaster Last Updated: August 20, 2010

http://www.hr.msu.edu/promotion/facacadstaff/FacGuideTenure.htm
Reappointment, Promotion, and Tenure Toolkit

Reappointment, Promotion and Tenure Policies and Procedures in the MSU Faculty Handbook

Workshops, Programs and Resources on Reappointment, Promotion and Tenure

- Resources for Faculty
- Resources for Administrators

Check List of Required Practices in RP&T – Unit Guidelines

- Printer Friendly Document

Check List of Required Practices in RP&T – College Guidelines

- Printer Friendly Document

Reappointment, Promotion and Tenure Policies and Procedures in the MSU Faculty Handbook

Open Admission of the Tenure System
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/TenurePrinc.htm

Summary:
Provides principles regarding the start dates for probationary appointments, leaves of absence, notification of non-reappointment, appointments of foreign nationals, interpretation of the tenure rules and where tenure resides.

Granting Tenure
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/granttenure.htm

Summary: Faculty members with the Rank of Professor in the tenure system are granted tenure from the date of appointment.

Faculty members appointed as Associate Professors without tenure and one having served previously at MSU are appointed in the tenure system for a probationary period of, generally, two to five (2-5) years.

A newly appointed Associate Professor can be granted tenure from the date of appointment.

Faculty members appointed as an Assistant Professor are appointed for an initial probationary period of four years and may be reappointed for an additional probationary period of three years.

Reassigning Tenured Faculty
http://hr.msu.edu/documents/facacadhandbooks/facultyhandbook/facultyreassign.htm

Summary:
Tenure at MSU resides in the University. Thus, if a unit is discontinued, reassignment of the faculty is normally in another academic unit and is negotiated with the faculty member and the receiving unit.

Stopping the Tenure Clock
Implementation Practices
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/implementation.htm

Summary:
Survive and Thrive in the MSU Tenure System

(For Probationary Tenure-System Faculty)

Thursday, December 2, 8:30 a.m. - 2:30 p.m., MSU Union, Parlors B&C
8:30 a.m.-12:00 p.m., (Part I) Overview of Process and Expectations
12:00 p.m.-12:45 p.m., Lunch (Available for those attending both Part I and Part II)
12:45 p.m.-2:30 p.m., (Part II) Writing Reflective Essays for Reappointment, Promotion and Tenure Dossiers

(Part I) Overview of Process and Expectations

June Youatt, Senior Associate Provost; Theodore H. Curry II, Associate Provost & Associate Vice President for Academic Human Resources; J. Ian Gray, Vice President for Research & Graduate Studies; and a Panel of MSU Deans, Department Chairs, College Advisory Committee members and recently tenured faculty

Thursday, December 2, 8:30 a.m. to 12:00 p.m., MSU Union, Parlors BC
(Registration at 8:30 a.m.; program begins at 9:00 a.m.)

This workshop is designed for probationary tenure system faculty to provide assistance in functioning successfully within the tenure system at MSU. Workshop objectives include: 1) to expand faculty members' understanding of department and University reappointment, promotion and tenure procedures; 2) to discuss approaches to documentation and record keeping for reappointment, promotion and tenure purposes; 3) to provide practical information on making choices, balancing conflicting demands, and managing departmental politics; 4) to provide an opportunity for communication and problem solving among faculty and academic administrators; and 5) to provide a venue for questions and answers. Many faculty members find it helpful to attend this program more than once, finding different elements useful at different stages of their pre-tenure experience.

(Part II) Writing Reflective Essays for Reappointment, Promotion and Tenure Dossiers NEW!

June Youatt, Senior Associate Provost; and Theodore H. Curry II, Associate Provost & Associate Vice President for Academic Human Resources

Thursday, December 2, 12:45 p.m. - 2:30 p.m., MSU Union, Parlors BC
(Registration at 12:45 p.m.; program begins at 1:00 p.m.)

The afternoon portion of Survive and Thrive in the Tenure System has the following
Making the Right Moves: A Practical Guide to Scientific Management for Postdocs and New Faculty

Based on courses held in 2002 and 2005 by the Burroughs Wellcome Fund and HHMI, this book is a collection of practical advice and experiences from seasoned biomedical investigators. The second edition contains three new chapters on laboratory leadership, project management, and teaching and course design.

© 2006 by the Howard Hughes Medical Institute and the Burroughs Wellcome Fund.

Download the second edition

New chapters (online only)

- Writing a Letter of Recommendation
- How to Be a Member of an RO1 NIH Study Section

HHMI MEDIA

"Starting a Research Group in 1978: Are the Lessons Still Relevant?" 2002 course keynote by HHMI President and Nobel Laureate Thomas R. Cech. Advice on obtaining a faculty position and achieving tenure, leading a research team, mentoring students, balancing research and teaching, and more. View Video

You may use, copy, or distribute Making the Right Moves and this video or any excerpts provided that use is for non-commercial educational purposes. Requests beyond that scope should be directed to labmanagement@hhmi.org.

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AT THE HELM: LEADING YOUR LABORATORY (2nd edition)
By Kathy Barker
Cold Spring Harbor Laboratory Press, 2010

Editorial Reviews

Product Description
Since 2002, the first edition of this best-selling book has helped thousands of newly appointed principal investigators successfully transition to running their own labs. But changes in technology continue to transform the way science is done, affecting ways in which labs communicate and collaborate, organize data and supplies, and keep current on the latest developments. The culture of science has also evolved, as more scientists explore non-academic career paths, seek new ways to communicate information and ideas, and acquire skills and knowledge outside of their field. In the second edition of this book, Kathy Barker has substantially revised the text, offering PIs advice on adapting to the changes and challenges that the years have brought. New topics include collaboration contracts, performance evaluations, communicating with non-scientists, tips for succeeding on the tenure track, and professional development. With this book as a guide, any new or aspiring PI will be well-equipped to manage personnel, time, and institutional responsibilities with confidence. Related Titles from the Publishers: Lab Dynamics: Management Skills for Scientists (Paperback). At the Bench: A Laboratory Navigator, Updated Edition [Concealed wire binding]

About the Author
Kathy Barker received her B.A. in Biology and English, and her M.A. and Ph.D. in Microbiology, from various branches of the University of Massachusetts. She did her postdoctoral work in the laboratory of Viral Oncology at Rockefeller University and was an Assistant Professor in the Laboratory of Cell Physiology and Immunology at Rockefeller University. She is now based in Seattle, where she writes and gives workshops on various aspects of running a lab.
Annual Schedule of RTP Reviews

DEPARTMENT-SCHOOL LEVEL

RTP discussions with chair and department-school review committee  
Organizing RTP dossiers  
Solicitation of external reviews (only for 2nd reappt and prof reviews)  
Department- and school-level review of RTP candidates  
Submission of RTP dossiers to College  

(College Level)

(To go into effect Fall 2011: Preliminary presentation of RTP candidates by CANR chairs and directors to Dean and Directors, Early Fall)

CANR RTP Committee reviews  
College-level Dean and Director reviews  
***Initial feedback to candidates re status from chairs-directors to candidates  
Revision of dossiers, if needed, with resubmission to College  
Submission of dossiers, including Dean’s recommendation, to University Committee (Gray, Youatt, Curry)  

UNIVERSITY LEVEL

Dean’s meeting with University Committee to review dossiers  
***Preliminary decision from Univ review communicated to candidates by chairs-directors  
Review of Univ-level decisions by provost, then, president  
***Final decision communicated to candidates by chairs-directors  
Tenure actions taken by MSU Board of Directors  

(RTP decisions go into effect July 1 of that year; declinations of first and second reappointments result in position terminations on August 15 of the following year)
<table>
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<th>Representative</th>
<th>Department/ School</th>
<th>Term Expires August 15th</th>
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<tr>
<td>Roy Black (immediate past chair)</td>
<td>AFRE</td>
<td>2012</td>
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<tr>
<td>To be named</td>
<td>ANS</td>
<td>2014</td>
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<td>To be named</td>
<td>BAE</td>
<td>2014</td>
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<td>Pete Kakela</td>
<td>CARRS</td>
<td>2013</td>
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<td>Brian Teppen</td>
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<td>Rufus Isaacs</td>
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<td>Karen Potter-Witter</td>
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<td>2012</td>
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<td>Sharon Hoerr</td>
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PRINCIPLES FOR FACULTY EVALUATION

CANR Promotion and Tenure Committee

1. To effectively evaluate a faculty member, the Committee must consider and evaluate three major categories for excellence:
   
a. an assessment of the faculty member’s performance of assigned duties;
b. an assessment of the person’s scholarly achievements; and,
c. an assessment of the person’s service activities.

   In conducting assessments, the Committee operates on the premise that faculty excellence is a matter to be judged, not measured.

2. Assigned duties for a faculty member can include research, teaching, extension/outreach and/or administration. Because the college is a collaborative effort, contributions to collaborative works are included in the assessment of performance of assigned duties. Furthermore, it is expected that a faculty member will demonstrate a commitment to standards of intellectual and professional integrity in all aspects of faculty responsibilities. The Committee acknowledges that some faculty positions will be more disciplinary oriented with few additional responsibilities, whereas others may have extensive assigned duties in teaching, extension/outreach, advising, or administration. However, some scholarly activities are expected of all tenure-track faculty members regardless of assigned duties. The Committee assesses performance according to assigned duties, not in relation to the budgetary appointment.

3. In order to evaluate a faculty member, the Committee --- following Boyer (1990) and Weiser (1999) --- defines scholarly achievements as a creative work that is peer-reviewed and publicly disseminated. As such there are six forms of scholarship:
   
a. discovery of knowledge;
b. multidisciplinary integration of knowledge;
c. development of new technologies, methods, materials or uses;
d. application of knowledge to problems;
e. dissemination of knowledge; and,
f. interpretation in the arts.

   This definition can be applied to teaching, research, extension/outreach, service and administration duties. The Committee is interested not only in how faculty invest their time, the activities in which they participate, and who they reach, but also in the short, medium and long term results and impacts of the faculty’s scholarly efforts.

4. Service activities are implicit in the appointment of all faculty members. A faculty member is expected to demonstrate excellence in service through a continuing commitment to academic professional and public service activities.

5. A faculty member is expected to demonstrate continual improvement in his or her intellectual and performance capabilities by improving his or her effectiveness in teaching, research, extension/outreach, service and/or administration. A faculty member also is expected to make contributions to the collegial environment of his or her academic unit.

College of Agriculture and Natural Resources, Michigan State University
References


POINTS OF RELEVANCE FOR JUNIOR FACULTY
CANR Promotion and Tenure Committee

1. Review the Principles for Faculty Evaluation that the CANR P&T Committee uses.

2. Quality not Quantity. The committee emphasizes quality, impact, and that the tendency to list everything is not helpful and tends to obscure the more significant.

3. Top Journals in your Field. A part of quality is to publish at least some work in the top journals in your subject area. The Committee looks for that evidence, especially at tenure decision time.

4. Reflective Essay. This is your opportunity to show the quality of your thinking, your vision and the logic for your program, your strategy and implementation, including weaving in what you have achieved to date, your trajectory and where you plan to be in 10 years. The essay should emphasize the intellectual foundation of your work and plan in contrast to reporting or listing what you have done; the later should be well covered in the university forms and your vitae.

5. Early Promotion. The Committee looks for compelling reasons for this award, a truly an extraordinary record of scholarship. A significantly higher standard of achievement is expected than for promotion in the normal time period for the rank. Life is long and there is no great benefit to the individual and institution to rush its major stages, except for the very exceptional case.

6. Your Area of Scholarly Excellence. Begin early to think about and develop your topic of excellence, what you will be known for, and articulate this expertise in your documents. For example, your goal is for anyone in your national or international field, if asked, to identify you as a world authority on the subject (modified of course for the culture of excellence in your discipline/assignment area).
Elements of a Strong RTP Package

Guidelines were prepared by Professor Doug Landis, CANR RTP Committee, Entomology. These recommendations have been adopted by the CANR RTP Committee and are used in portfolio reviews.

Promotion to Associate Professor with Tenure

Bottom line: clear evidence that the candidate has established a program of excellence in the area(s) of major appointment and has at minimum good performance in area(s) of minor appointment.

Generally this will include evidence of national recognition from solicited letters with invited presentations at peer universities and national meetings

- **In Research**
  - Obtains sufficient funding to support and grow a program
  - Obtains funding from diverse sources, including competitive national sources (USDA, NSF, NIH etc.)
  - Attracts students/post-docs.
  - Has graduated students who obtain suitable positions
  - Has established a record of consistent publication in peer-reviewed journals
  - Publishes in the best journals available for the particular discipline as measured by impact factors and within-discipline journal rankings
  - Is achieving suitable citation rates

- **In Teaching**
  - Is recognized as an excellent teacher by colleagues and students
  - Shows passion/innovation
  - Consistently obtains excellent to very good SIRS summary scores (1's and low 2's)
  - Shows evidence of scholarship in teaching and learning

- **In Outreach**
  - Obtains sufficient funding to support and grow a program
  - Is recognized by clientele and colleagues as excellent in outreach
  - Shows passion/innovation
  - Shows evidence of scholarship in outreach

- **In Service**
  - Consistent contributor to Departmental activities
  - Contributes to University level activities
  - Consistent contributor at national level
    - Sought out as journal peer reviewer, potentially editorships
    - Sits on national (USDA, NSF, NIH) grant review panels
    - Leadership in regional/national committees
    - Organizes national symposia, meetings, workshops
CANR INITIATIVE

Strengthening faculty scholarship across the mission

Background

During Fall Semester 2007 there was a robust discussion of scholarship—what it is and how it might be evaluated—in our College. This discussion was prompted by a call from the Dean’s Office: the need to sharpen our ability to fulfill mission-related obligations as we do a better job of acknowledging and rewarding faculty for the work they do.

While faculty at MSU and CANR are expected to make contributions through research that move the frontiers of knowledge in their respective fields, they also undertake a variety of other work—undergraduate education, graduate education, and an array of Extension-outreach-engagement responsibilities, on campus, around the state, across the nation, and all over the world—that often falls outside of the conventional way that we acknowledge and reward faculty for work in the research domain. It appears some that research has become (or is becoming) the primary frame of reference for evaluating and rewarding faculty work. At issue, then, is how do we judge the quality of work undertaken across the mission (not just in research)? And, what does scholarship look like when it is expressed outside of research?

While these are important questions, it became apparent quickly that there are differences of opinion about what scholarship is and how it might be evaluated across the mission. For example, some saw virtually any work undertaken by faculty members—when that work is prepared and deployed thoughtfully (e.g., teaching an undergraduate class)—as scholarship. Others saw teaching classes as an important scholarly activity, but not as scholarship, which they saw as creating something new for a body of knowledge through peer-validation.

In addition, two primary concerns were expressed about the discussion of scholarship, generally. First, there were concerns that these discussions might lead to “one size fits all” metrics across CANR—applied to everyone, everywhere irrespective of potential differences in the work they do (e.g., teaching a study abroad course vis-à-vis involving students in an engagement experience overseas). In other words, while there is not likely to one answer to any core question (e.g., What is quality of Extension work), there probably are multiple answers to any question, with each answer fitting the nature of the work undertaken and/or the academic context in which it is being exercised. Second, concerns were expressed that emphasizing scholarship across the mission might diminish the value of work associated with teaching classes, doing Extension, and undertaking other non-research roles. If we were to emphasize work associated with scholarship in teaching, for instance, would that emphasis diminish the value of teaching classes? If so, then it might be better not to have these discussions at all.

Points of Agreement

Interestingly, while no consensus emerged about how to frame the discussion, including how to define basic terms, there was general agreement about a framework—advanced in first form in September that stayed in tact as the semester-long discussion unfolded: 1) for evaluating the quality and impact of teaching, research, and Extension-outreach-engagement activities; and 2) for defining and evaluating the quality and impact of scholarship associated with teaching, research, and Extension-outreach-engagement. Both outcomes seemed to be worthy in intent and outcome. The dual focus is expressed in the boxed-contained text that follows.
In all activities associated with teaching, research, and Extension-outreach-engagement, faculty members undertake work that is informed by an academically recognized body of knowledge, undertaken in a scholarly manner, and evaluated as having quality with impact. Scholarship across the mission—irrespective of whether it is associated with teaching, research, or Extension-outreach-engagement—involves creating something new and valuable (that is, makes a contribution) in a disciplinary, professional, multidisciplinary, or interdisciplinary field; having the work validated as such by peers; and making the work “public,” that is, is available in an academically legitimate location for use in teaching, research, or Extension-outreach-engagement work.

Undergirding this two-pronged framework—again without much disagreement, although with interpretive differences—were statements authored at various times by faculty committees at the University and CANR levels, respectively.

From MSU policy: http://www.hr.msu.edu/HRsite/Documents/Faculty/Handbooks/Faculty/AcademicPersonnelPolicies/ev-recommendations
Through its faculty, MSU will create knowledge and find new and innovative ways to extend its applications, to serve Michigan, the nation, and the international community. The faculty must infuse cutting-edge scholarship into the full range of our teaching programs. At MSU, faculty are expected to be both active scholars and student-focused, demonstrating substantial scholarship and ability to promote learning through our on-campus and off-campus education and research programs. The essence of scholarship is the thoughtful discovery, transmission, and application of knowledge, including creative activities, that is based in the ideas and methods of recognized disciplines, professions, and interdisciplinary fields. What qualifies an activity as scholarship is that it be deeply informed by the most recent knowledge in the field, that the knowledge is skillfully interpreted and deployed, and that the activity is carried out with intelligent openness to new information, debate, and criticism.

In order to evaluate a faculty member, the Committee defines scholarly achievements as a creative work that is peer-reviewed and publicly disseminated. As such there are six forms of scholarship: discovery of knowledge; multidisciplinary integration of knowledge; development of new technologies, methods, materials or uses; application of knowledge to problems; dissemination of knowledge; and interpretation in the arts. This definition can be applied to teaching, research, extension/outreach, service and administration duties. The Committee is interested not only in how faculty invest their time, the activities in which they participate, and who they reach, but also in the short, medium and long term results and impacts of the faculty’s scholarly efforts.
Dean’s-Level Expectations:

What is an Associate Professor?
(with specific reference to MSU as a research-intensive, Land Grant institution, with international obligations)

There is clear and abundant evidence that the associate professor has established himself or herself as an accomplished academic.

1. It is obvious—by declaration, evidence, and reputation—that the associate professor has established her or his “headline” of academic focus. Focus represents a targeted area of scholarship for which one is known, a domain in which a scholarly reputation is built. The associate professor’s reputation is substantiated by high-quality, nationally (and/or internationally) competitive work in at least one dimension of the academic mission.

2. There is abundant evidence that all assignments are being undertaken with attention to scholarly quality and with work completed on a timely basis. Put another way, there are no apparent weaknesses in any of the primary areas of responsibility. The faculty member is perceived to be competent and has her or his “act together.”

3. There is widespread recognition of collegial engagement and contributions. The faculty member works collaboratively with peer and takes on and completes (with quality) assignments in teams. This includes project work, team-teaching, and governance and related assignments at the unit level and beyond. In taking on these assignments, the associate professor is viewed by many peers and others (e.g., administrators) as an academic leader—a person who (with time) will have senior standing in the Academy.

4. There is evidence of contributions being made to students—undergraduate and/or graduate. These contributions include guest lecturing, teaching courses, serving as a club advisor, and mentoring-advising graduate students.

5. There is a strong conviction that the faculty member “is on the right track” with a high probability of experiencing a positive review at time of promotion to professor. Weaknesses in 1-4 are noted at the time of promotion to associate professor ... unless it is felt that the burden of evidence suggests against a reasonable chance of success at the time of the next review.

When submitting dossiers for reappointment there is documentation of evidence and alignment of commentary—from what the candidate says about himself/herself, to what the unit administrator and MSU peers say about the candidate’s work, to what external peers conclude and assert. A point of comparison is the candidate’s performance relative to what would be expected at MSU’s peer institutions.
Faculty Mentoring Policy

This policy was issued by the Office of the Provost on March 1, 2011 (to be effective Fall semester 2011); it reflects advice by the Faculty Council and the University Committee on Faculty Affairs

Academic Human Resources Policy

Each college shall implement a formal mentoring program by August 16, 2011. As a part of the college program, colleges may also require that each department or school develop its own unit level mentoring program. Effective mentoring is important to enhancing academic excellence and building a progressively stronger faculty composed of members who meet continuously higher standards and are competitive nationally and internationally. Mentoring programs will help the University achieve its goals for a high-quality faculty, diversity, inclusive excellence, and a respectful, positive work environment in which all members of the University community can thrive. While the responsibility for career development and success is ultimately that of the individual faculty member, opportunity, mentoring and the degree of environmental support that is available can affect success.

There are many forms of mentoring programs and no single model will meet the needs of all units or individuals. Each college (and/or unit) should develop a program that is most relevant to its needs based upon evidence based best practices. The practices and procedures in colleges may vary; however, all college mentoring programs must incorporate, at a minimum, the principles included below.

Principles

1. For faculty members with joint appointments, there should be one mentoring plan for the faculty member, coordinated among the units, with leadership from the faculty member’s lead unit.
2. Faculty members need different kinds of mentoring at different stages of their career. Initially, at minimum, colleges are expected to provide a mentoring program for pre-tenure, tenure system faculty, and build upon the program as capacity allows. This might include, for example, the addition of associate professors, HP faculty, or fixed term faculty for whom there is a long-term commitment.
3. Colleges, units and mentors should demonstrate sensitivity to potentially different challenges faced by diverse faculty including women, persons of color, and other facets of identity.
4. Conflicts of interest should be minimized, confidentiality protected, and all faculty members provided an environment in which they can address concerns without fear of retribution.
5. A faculty member may choose not to have a mentor.
6. Mentoring policies should be clearly communicated to all faculty members, and efforts must be made to ensure that there is clarity of both expectations and roles for all parties.
7. Mentoring excellence will be considered in the annual review of faculty.
8. Formative evaluation shall be incorporated into the design of the mentoring program to maximize benefit to each individual being mentored.
9. Colleges shall assess the effectiveness of their mentoring program on a cycle not to exceed five years.
Frequently asked questions about the MSU Mentoring Policy:

1. What constitutes a formal, college-level mentoring program? A formal mentoring program intentionally ensures that every faculty member has access to formal mentoring relationships and resources. It is written, based on best practices, incorporates the principles of the MSU policy, and is explicitly communicated to all faculty.

2. Will every department now be required to have a formal policy and/or program? This will be up to each college. Each college will be required to implement a formal program that ensures that all faculty members have access to formal mentoring. Colleges may opt to administer formal mentoring at the college-level or require that each department or school develop a program, with college oversight.

3. Will the Office of the Provost mandate specific mentoring models for colleges, department, units, or individuals? There will not be a requirement that specific models be adopted, either at the unit or mentor/mentee levels. The intent is that colleges and departments choose models that provide the highest likelihood for individual career development. Resources are available to assist in determining which models best meet a college’s needs including consultations with college appointed Faculty Excellence Advocates, ADAPP-ADVANCE team members and the Office of Faculty and Organizational Development.

4. Will every faculty member be required to have a mentor? The policy explicitly states that a faculty member may choose not to participate in the formal mentoring program. Programs should, therefore, include explicit language that specifies both no penalty to the faculty member for opting out, as well as the option to rejoin the program.

5. How will the confidentiality of mentoring conversations be safeguarded? This is not a question that can be answered a priori. However, each college is required to address the protection of confidentiality in its program.

6. Does a mentor have to be a senior faculty member from within the college or department? Can he or she be a senior leader in the field? Many mentoring models now exist in addition to the traditional single mentor/mentee dyad. The Policy does not require that specific models be adopted, either at the unit or mentor/mentee levels, but is interested in colleges and departments choosing models that provide the highest likelihood for individual career success. Resources are available to assist in determining which models best meet college and individual needs including consultations with college appointed Faculty Excellence Advocates, ADAPP-ADVANCE team members and the Office of Faculty and Organizational Development.
7. **How will mentoring programs be evaluated or assessed for effectiveness?** As the policy indicates, formative evaluation measures should be incorporated into the design of college- and/or unit-level program, in order to be responsive to needs of and maximize benefits to each individual being mentored. More broadly, the college should formally and regularly assess the mentoring program(s) in five-year cycles, at minimum. ADAPP-ADVANCE resources are available to help colleges and departments decide on assessment strategies that are relevant to their program.

8. **What resources are available to assist colleges and departments in developing formal mentor programs?** The Office of the Provost is committed to assisting colleges and departments as they implement improved or new mentor programs. For more information about the mentor policy, current or planned resources, assistance with getting started, or about the ADAPP-ADVANCE Institutional Transformation Initiative at MSU, please contact your FEA, or call the ADAPP-ADVANCE office at 353-8818, or visit www.adapp-advance.msu.edu.
Faculty Mentoring Policy
College of Agriculture and Natural Resources (CANR)

CANR is committed to the professional development and successful advancement of its faculty members. Effective mentoring is an important component contributing to successful professional development and involves activities at the university, college and unit level. University policy requires that all colleges must have a formal and substantive mentoring program for pre-tenure, tenure stream faculty. CANR recognizes both the central role that academic units play in facilitating faculty development and the broad variation in disciplines and missions among units. Therefore, to best serve our faculty, the academic units, with assistance from the college and university, should play the primary role in establishing formal and substantive mentoring programs for pre-tenure, tenure stream faculty. Support of mentoring of all faculty members in the college is provided under the direction of the CANR Director of Faculty Development.

The goals of a department mentoring program may vary by academic unit, but at a minimum should include guidance concerning:

- establishing and sustaining a leading research program
- effective teaching and engagement of undergraduate and graduate students
- establishing effective and high impact extension and outreach programs
- building institutional and disciplinary leadership skills and contributions.
- progress toward reappointment, tenure and promotion

The structure of mentoring programs may also vary among academic units but must include the following elements:

1. A written document incorporated into the unit bylaws and actively implemented, that clearly identifies and communicates program policies, goals and expectations for both the mentor(s) and junior faculty members. These must include at least the following:

   a. A description of the mentor selection process, a mechanism for ease of changes in assignment of mentors as appropriate for the junior faculty’s needs, and an alternative provision for faculty members to choose not to have mentors. One or more senior? tenured? faculty members (not the including the academic unit administrator) should be assigned for each junior faculty. Selection of mentors is not limited to the academic home of the junior faculty.

   b. For faculty members with joint appointments, there should be one mentoring plan coordinated among the units, with leadership from the primary unit.

   c. A description of expected mentoring activities with elements addressing research, teaching, extension and outreach, engagement, and leadership development.

   d. Clarity relative to the roles of both the mentor(s) and the junior faculty.
c. Clarity relative to expectations for confidentiality
f. Clarity about the role of mentor(s) in the annual evaluation, reappointment, tenure and promotions processes. Who (including the mentee) does/does not see reports should be specified.
g. A description of how mentoring activities will be reported and evaluated as a portion of an individuals service to the unit.

2. Support and leadership from the chair in integrating mentoring into departmental activities. Recognition of mentoring as a formal component of faculty service to the department and college should be incorporated into annual faculty evaluations for individuals who serve as mentors.

3. Sensitivity by units and mentors to potentially different challenges faced by diverse faculty.

The College will provide leadership and support for the unit mentoring programs through its faculty development program and resources including:

1. Provision of sources of information/link to available university resources concerning good mentoring practices
2. Organization of workshops and programs (either by the college or in conjunction with other University units such as the Office of Faculty and Organizational Development)
3. Establishment of a central location for information about mentoring policies for each unit
4. Provision of information to prepare new faculty (e.g., resources, expectations) as part of annual college orientation
5. Establishment of a confidential college mentor facilitator available to all CANR faculty. This individual will serve as a resource to identify appropriate individuals with relevant expertise for advice/consultation for professional development and/or discussion of sensitive issues.

The effectiveness of the college and unit mentoring programs will be assessed at an interval not to exceed five years.
External Letters of Reference - Faculty Handbook

IV. ACADEMIC HUMAN RESOURCES POLICIES (Cont.)

This statement was endorsed by the University Committee on Faculty Affairs on March 14, 2006 and by University Committee on Faculty Tenure on February 8, 2006; it was issued by the Office of the Provost on May 3, 2006. Implementation is encouraged during 2006-07 and is required in 2007-08.

External letters of reference are required for all reviews of tenure system faculty involving the granting of tenure or promotion. External letters of reference are required in order to ensure that individuals recommended have an achievement and performance level that is comparable with faculties of peer institutions. It is recognized that practices and procedures in units may vary; however, the process of soliciting external letters of reference must incorporate the following principles and procedures, which must be applied uniformly to all faculty in the unit. Any exception to these principles must be approved by the Office of the Provost prior to implementation.

1. External letters of reference must be submitted by regular mail on institutional letterhead and carry the evaluator signature. When timing is critical, a letter may be submitted electronically, but must be followed by a mailed original.

2. All external letters of reference solicited and received must be included in the review materials. Unsolicited letters will not be included in the review materials.

3. If an external letter of reference is solicited and the referee fails to or declines to submit a letter of evaluation, this information shall become part of the candidate’s review materials. If a reason is provided in writing, it shall become part of the candidate’s review materials unless precluded by an agreement on confidentiality.

4. College/department/school procedures will specify the minimum number of external letters (with a recommended minimum of four).

5. The department chairperson/school director/dean of a non-departmentally organized college shall form a list of external referees. Department/school/college procedures will specify the number of evaluators to be suggested by the candidate, which will then be used to form a list of external referees. Department/school/college procedures will add names. In accordance with college/department/school procedures, the chairperson/director/dean will determine which of the potential external referees will be asked to provide letters of reference. College/department/school procedures will specify the proportion or number of external letters of reference to be solicited from persons suggested by the candidate.

6. Candidates must not discuss their case with prospective or actual external evaluators at any stage of the review process, except as provided by department/school/college procedures. Soliciting external letters of reference and providing materials to the referees is the responsibility of the department chairperson/school director/dean of a non-departmentally organized college.

7. External referees must be professionally capable of evaluating the candidate’s scholarly work objectively and to comment on its significance in the discipline. Letters must predominately represent persons other than collaborators and in no case faculty formerly serving on the equivalent of the candidate’s guidance committee when the candidate was a graduate student.

8. College/department/school procedures will specify the materials sent to external referees.

9. The unit administrator’s request to an external referee must include:

   a) the unit’s statement on confidentiality, which must be consistent with the University’s statement as contained in the policy “Confidentiality of Letters of Reference for Reappointment, Promotion and Tenure Recommendations”

   b) a request to disclose any potential conflicts of interest

10. For each external referee, the unit administrator shall provide:

   a) Name, rank/title, institutional affiliation.

   b) Brief summary of the referee’s qualifications or CV

   c) Name of the person who recommended the evaluator, e.g., candidate, chairperson/director/dean, or other (specified).

   d) An assessment of the evaluator’s relationship to the candidate, including potential conflicts of interest.
THE REFLECTIVE ESSAY: PERSPECTIVES AND GUIDELINES

College of Agriculture and Natural Resources
Michigan State University

Introduction

The Reflective Essay is an integral part of the reappointment, tenure and promotion process at virtually all universities. The reason for its universal importance is that "a capacity for reflection and self-evaluation...is a critical ingredient in a professor's life" (McGovern, p. 96).

As such, the Reflective Essay holds a unique position in the candidate's dossier of supporting evidence. The CV (curriculum vitae) and Form D—no matter what the length—will be read and discussed by reviewers. Consequently, the Reflective Essay should not be a summary of evidence presented in those documents. Instead, the Reflective Essay is "an opportunity to weave a tapestry of understanding of [your] scholarly pursuits" (Smith, p. ii).

Intent and Use

The Reflective Essay serves as the "key orienting and organizing element of the [dossier]" (Froh, et. al. p. 108) with the purpose of "providing a frame of reference or context for the items submitted to the committee" (Diamond, p. 24). Consequently, the Reflective Essay is the primary opportunity the candidate will have to convey the nature and meaning of her/his scholarly work and philosophy to those reviewers from his/her and other disciplines (Millis, p. 69).

Above all, the Reflective Essay should (a) convey the candidate's vision of herself/himself as a maturing or mature scholar (including describing one's scholarly niche); (b) communicate the contributions made during the reporting period in advancing toward that vision; (c) provide an indication (evidence) of the impact of the candidate's scholarly efforts; and (d) show development-evolution of the candidate's scholarship.

The objective of the Reflective Essay "is to convey as much depth and richness as possible by [employing] selective evidence of [scholarly] accomplishments" (Froh, et. al., p. 106). Above all, candidates should remember that the Reflective Essay is "a reflection of the care (the candidate) take(s) in communicating scholarship" (Smith, p. ii).

Preparation Guidelines

The preparation of the Reflective Essay should begin early in one's MSU-CANR career, and should be updated on a periodic basis throughout the reporting period (e.g., during the annual evaluation process). Approaching it this manner will enable the candidate to prepare a document that represents a more accurate and convincing expression of the evolution of one's scholarly development.

With all of this in mind, here are 8 guidelines for the development of a Reflective Essay:

1. Because the Reflective Essay is just that—a personal reflection written in

Prepared on behalf of the College's Promotion and Tenure Committee and CANR Dean's Office by Dave Schweikardt, Professor, Department of Agriculture Food and Resource Economics, CANR-MSU, and Frank Fear, CANR Senior Associate Dean,
esssay format—it is important that it be crafted as an intellectual piece, an academic contribution in its own right, rather than as a document that reports academic accomplishments. Most of all, the essay should “demonstrate a capacity to be reflective and self-critical; hence, capable of continued growth and change” as a scholar (Diamond, p. 24).

2. The Reflective Essay should convey the candidate’s vision of himself/herself as a maturing or mature scholar. It is an opportunity to convey one’s scholarly philosophy and vision; to describe how scholarly priorities were established; to share the logic of one’s program of scholarship (and its development); to make explicit the strategy (choice making) used over the years; and to be clear about one’s future trajectory.

3. The Reflective Essay should be expressed in a manner that is consistent with CANR’s interpretation of scholarly activities and scholarship. Scholarly activities cut across the mission of teaching, research, and outreach / Extension / engagement. Activities are “things scholars do” (e.g., designing and offering an undergraduate class). While scholarship also applies to all mission dimensions, it is an outcome, not an activity. Scholarship involves creating something new; and it is designed to advance understanding by contributing something new to a body of knowledge. “Newness” is peer reviewed or validated; and products of scholarship are made available in publicly accessible forms and in publicly available locations. The worth of both scholarly activities and scholarship is evaluated in multiple ways: in terms of intellectual quality (substance-content); quality of expression (how the work is constructed and presented, particularly in terms of its relevance to intended audiences); and its impact on and/or use by intended audiences.

4. Because each candidate’s mix of assigned duties is unique, the essay should address all aspects of the candidate’s assigned duties—activities and scholarship—in a manner roughly proportionate to those duties—teaching, research, outreach / Extension / engagement, and service to MSU and profession (Lorh, et. al., p. 107). It is understood that scholarly activities and scholarship influence a wide range of audiences (e.g., disciplinary peers, scholars in other disciplines, students, public officials, industry members, members of non-governmental organizations). Consequently, just as each candidate’s assigned duties is unique, the impact of each candidate’s activities and scholarship is also likely to be unique (at the very least distinctive in nature and contribution).

5. Because the hallmark of the scholarly life is integration and connections across the mission, the Reflective Essay should demonstrate the candidate’s integration of work across her/his assigned duties (e.g., how research influences teaching; how Extension influences research).

Prepared on behalf of the College’s Promotion and Tenure Committee and CANR Dean’s Office by Dave Schwarmkard, Professor, Department of Agriculture Food and Resource Economics, CANR-MSU, and Frank Fear, CANR Senior Associate Dean,
6. The Reflective Essay "provides a vehicle for discussion of special circumstances that have affected your work to-date" (Diamond, p. 24). There are always critical times or points in an academic's life, when an academic decides to move in one way or another. Sometimes these times or points are products of one's own doing—a outcome of intent. At other times, they are either a result of opportunity ("being in the right place at the right time") or unexpected circumstance (e.g., departure of a senior collaborator from MSU).

7. The Reflective Essay also provides an opportunity for the candidate to explain "any contradictory or unclear materials in the dossier" (Seldin, p. 10). However, explanations should be reserved for unique events; and, when included in the essay, the description should not consume an undue portion of the essay.

8. A useful means of developing a Reflective Essay may be to periodically consider a series of "reflective prompts" that will induce reflection about "why we teach; why we work as we do; why we choose certain priorities in ... scholarship; why we publish in this or that field or particular topic;...[thereby leading to] meaningful inquiry into what we do and how we do it" (Zubizarreta, p. 208, italics in original; for additional useful prompts, see McGovern, pp. 103-08).

Final Comments

Remember...the Reflective Essay is the candidate's opportunity to communicate the quality of thinking, vision and logic of the program, strategy and implementation—incorporating what has been achieved to date; the trajectory of the program; and the targets and milestones anticipated in the next 10 years. The Essay must emphasize the intellectual foundation of the work and plans for the future. The Essay must not be a reporting or listing of what has been done in the past; this is well covered in Form D and the CV.

REFERENCES


McGovern, Thomas V. "Self-Evaluation: Composing an Academic Life Narrative." In Evaluating Faculty Performance: A Practical Guide to Assessing Teaching,


Tenure Statement

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In this document, I summarize my achievements and future plans in teaching, research, and service at Michigan State University (MSU) for my tenure case.

Becoming a Construction Management Scholar
“The whole secret of life is to be interested in one thing profoundly and in a thousand things well.” - Horace Walpole

During graduate school, I found Construction Management to be full of simple and powerful ideas, clever techniques, challenging projects and problems. But the experience of graduate school did more than just convert me to a learned construction manager. It made me realize that I have a knack for sharing information about construction management and making it more accessible to a wider audience. I also recognized, through research assistantships and professional experiences, how much I enjoyed the discovery and application of new ideas, methods, and techniques. This affinity for teaching and research crystallized into a professional aspiration of becoming a bona fide scholar of teaching and research in Construction Management. Therefore, I left a secure position at Ford Motor Company to join the Construction Management Program at MSU as an assistant professor.

Upon joining MSU, I realized that the scholarship I have been trained to do at the University of Michigan contained two basic features (Diamond and Adam 1993)¹:

- The activity requires a high level of discipline-related expertise, breaks new ground, is innovative, can be replicated or elaborated, and has significance or impact.
- The work and its results can be documented, and can be peer-reviewed.

This definition of scholarship was disheartening to me because it seemed to encompass only one type of scholarly pursuit (that of the discovery of new knowledge), at the expense of other forms such as teaching. This was particularly important to me because I had no prior teaching experience and I wanted to be the best teacher that I could be. As a consumer of great and terrible teaching, I thought I knew exactly what my teaching should be, but quickly realized that I didn’t know how to do it in a genuine and authentic way. I intuitively believed that the way to approach pedagogy should be no different from approaching research problems, i.e., through the scientific process. This meant I have to be a scholar of teaching as much as one of construction management. However, I have long heard that in academia, instruction does not get the same rewards as disciplinary scholarship.

I found solace after reading the reference “Scholarship Reconsidered: Priorities of the Professoriate” by Ernest L. Boyer², wherein he defined the following forms of scholarships: Discovery, Integration, Application, and Teaching. To me, Boyer captures the epitome of scholarship, one that is observed and practiced in every aspect of academic life. That is the type of scholarship I have been working towards in the past five years and look forward to continue pursuing at MSU in the future.

Teaching at MSU

“Education is not to teach men facts, theories or laws, not to reform or amuse them or make them expert technicians. It is to unsettle their minds, widen their horizons, inflame their intellect, teach them to think straight, if possible, but to think nevertheless.” - Robert M. Hutchins.

I believe that each teacher has to arrive at his/her own style of instruction that is commensurate and compatible with their own personality. I, therefore, worked on a statement of teaching philosophy to guide me in the design and delivery of instruction. Basically, I am fully in favor of a topic-based approach where students and teacher all form a “circle” around the topic and have vigorous discussions about it. I also want every student to leave my class at the end of the semester saying, “I didn’t know that I could work so hard, and I didn’t realize that I could learn so much.” Anything less is unacceptable. Upon sharing this position on teaching in the first class, students are typically not sure how to react to because they have been socialized to be passive learners during most of their education years. An open discussion regarding this philosophy helps them to realize how it will be achieved.

My teaching assignment in the program has been the undergraduate and graduate courses on construction scheduling, BCM411 and BCM811, respectively. BCM411 is offered as a 2-hour lecture section with multiple 2-hour lab sections. BCM811 is similar to the 411 model. Also, as part of my teaching assignment, I was to develop a new graduate course on a topic of my choosing. I have developed this course and it is titled “Lean Construction Principles and Methods”. The course has been well received by students and will become a regular course offering as of the academic year 05/06. During the academic year 04/05, I also taught the Commercial Capstone course, BCM436, and supervised the Professional Internship class, CMP493. The average SIRs score I received in all the classes I have taught at MSU is 1.4 (1 = superior and 5 = inferior), and the sum of the SIRS scores received was between 1.18 and 1.86.

As I continued to attend more and more teaching seminars at MSU and through independent readings, my curiosity about the scholarship of teaching and learning grew. Consequently, during the academic year 02/03, I applied and was accepted to the MSU Lilly Fellowship program. The main goal of my Lilly research project was to enhance teaching delivery methods in the Construction Management Program through a study of teacher-student learning style disparity. I successfully completed the Lilly Fellowship year with a detailed report about the project I conducted and a published paper in the Journal of Construction Education - an on-line peer-reviewed journal published by the Associated Schools of Construction. Although I benefited tremendously from the project, the longer-lasting impact of the Lilly Fellowship on me was in the re-orientation and transformation of my perspective on teaching and learning that occurred through mentorship under Dr. Steve Yelen, the guidance of the Lilly leaders Dr. Karl Smith and Dr. Cathy Bristow, and the thoughtful conversations with the other Lilly Fellows.

Advising graduate students brings me particular enjoyment because of the immediate change and influence one can see in the students. My strategy in advising graduate students is to clarify early on what will constitute a win-win outcome for both of us. We discuss and agree upon the following five elements of a win-win agreement, which are adopted after Covey (1990): (1) Desired results (goal, objectives, and outcome); (2) Guidelines (boundaries and deadlines); (3) Resources (those needed against those available); (4) Accountability (measurements of progress and accomplishments); and (5) Consequences (what happens if win-win is achieved or not achieved).

Future Teaching Plan
Student feedback has been a great source of inspiration and validation for my efforts to improve my teaching. I regard the content I choose to teach as mostly quite fascinating, very exciting and fundamentally important. To me that this sense of fascination, excitement and importance is the core of much of what students respond to most positively in my teaching.

To date, I continue to work on improving class content and delivery methods to keep the students engaged and to direct classroom activities towards the development of critical thinking. I have also invited a teaching consultant to attend class. I also continue to attend teaching and learning workshops, symposia, or similar programs. My long-term teaching plans focus on experimenting with new teaching methods, and instructing in other existing courses and developing new ones. In addition, I am planning to pursue research in the scholarship of teaching and learning based on ideas from

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observations during and reflection after the Lilly Fellowship year. In particular, I am interested in
developing a framework to assist students in arriving at better studying strategies based on their
preferred learning style.

Research at MSU

"Do not go where the path may lead, go instead where there is no path and leave a trail."—Ralph
Waldo Emerson

To me, research follows the motto of the Tiger Cubs (first level for Boy Scouts), which I helped my son
commit to memory and practice: "Search, Discover, and Share". This simple phrase helps my graduate
students orient themselves to the process of research. It also provides them with a roadmap to what
needs to be accomplished in their individual research projects.

When I arrived at MSU, I had an overarching research goal that was shaped by job experiences at Ford
Motor Company. In particular, my training as a Lean Production subject matter expert made me
recognize that the Construction Management field lacked a theoretical framework that was capable of
fully explaining problems that arose in practice. In essence, the conceptual models of construction
management were unable to consistently deliver on the mantra of completing a project ‘on-time, on
budget, and at desired quality’. This inability was also evident from empirical data indicating that
construction projects were low efficiency systems with high rate of injuries and fatalities, endemic
quality problems, and rising litigation.

I surmised that the crux of the problem was in the production paradigms that dominated and guided the
thinking about the construction process. I concluded that a paradigm shift was clearly needed in how
construction as a process was conceptualized, similar to how lean production, as originally practiced by
Toyota Motor Company and now by many others, evolved from craft and mass production. However, I
was not convinced that construction management only needed an additive change; rather it needed one
that was "ecological" wherein everything had to change.

Given that the scientific process is a social process, and not a solo adventure, I realized that this
research goal cannot be achieved without the creation and involvement of an entire community of
scholars. After a couple of months of critical literature review, I found that, as is always the case,
other researchers were working on the same goal. The two primary entities that were active in
research in this area were the International Group for Lean Construction (IGLC), formed in 1993 and the
Lean Construction Institute (LCI), a non-profit organization that was formed in 1997. I immediately
began the ‘search’ phase and read most of the available literature that both organizations produced. I
also attended two workshops run by LCI that provided an overview of Lean Construction thinking and
insights into teaching the topic in undergraduate and graduate programs.

Since discovering this community of researchers and practitioners interested in changing what we build
and how we build it, I have been intrigued by the study of construction projects as project-based
production systems. Another term for project-based production systems is Lean Construction wherein
production is conceptualized in three complementary ways, namely, as a Transformation (T) of raw
materials into standing structures, as a Flow (F) of the raw material and information through various
production/assembly processes, and as Value (V) generation and creation for owners through the
elimination of value loss (realized outcome versus best possible) by ensuring customer needs and wants
are captured and challenged.

Lean Construction principles inform and guide my primary research interests in the discovery,
exploration, and application of new theories and methods to:

1) Protect and safeguard construction workers from occupational injuries and fatalities. Specifically, I
am interested in the following three main topics of research:
   o Prediction techniques for physiological demands during construction work.
   o Construction worker’s hazard perception models.
   o Construction Accidents Causation models.
(2) Develop construction production planning and control models.

After five years of working according to the research plan outlined above (tracks A and B), I have supervised 7 Plan A masters students (with 5 completed), published 4 refereed journal articles, 2 paper closures, and 17 refereed conference papers, and 2 research reports. A search on Google’s scholar database (http://scholar.google.com/) reveals that my publications have been cited in 14 scholarly works (excluding self-cited work), and listed as recommended readings on a number of sites.

I have also received a 3-year NIOSH grant in the amount of $143,173, a one-year Consumers Union Southwest Regional Office - Manufactured Housing Research Initiative grant in the amount of $45,000 (co-Investigator). In 2004, I was extensively involved in the launch of the Lean Construction Journal (http://www.leanconstructionjournal.org/), an on-line peer-reviewed journal published by the Lean Construction Institute. I currently serve as co-editor for the Lean Construction Journal and as chair of the Lean Construction Institute Academic Forum. I also review for 10 different peer-reviewed journals and conferences (to date, I have reviewed a total of 76 papers).

Future Research Plan
"Just because something doesn’t do what you planned it to do doesn’t mean it’s useless."—Thomas A. Edison

During the past five years, I have developed 9 full proposals based on findings from the NIOSH grant, the Consumers Union project, and various Master’s theses, as well as numerous pre-proposals. While these proposals were not successful, I am learning valuable lessons from writing each one, specifically from the peer-review feedback received. For example, I realize now that on large grants, the presence of two or more principal investigators, both from MSU and from other institutions, is critical. In addition, I have learned that establishing a professional working relation with the granting agency is equally critical, e.g., through presenting seminars about ongoing research efforts and engaging agency staff early-on in discussions regarding the relevance and significance of the proposed research topic to the agency’s research priorities. I also need to target smaller grants offered by construction trade associations and other professional associations, which will create a track record that would be valued by federal and state funding agencies. These grants will also allow me to focus on a particular construction domain wherein I can apply and focus my disciplinary expertise (occupational safety and production planning).

In the years to come, I will continue to conduct research in the two tracks mentioned earlier. This is not in defiance or denial of the outcomes of my grant seeking efforts thus far. This is primarily driven by the fact that all the proposals I have submitted have been found to have merit. However, without compromising my idealist views and belief in the power of ideas in changing people and the world, my approach will be vastly different in seeking funding based on the lessons learned explained earlier. I believe also that the launch of the Construction Management PhD program in fall 2005 as well as the planned addition of more faculty to the program will help tremendously in being more prolific in scholarly pursuits and more successful in grant-seeking activity.

I will continue to establish strong presence and name recognition in Construction Safety and Lean Construction through publications in peer-reviewed journals and attending conferences, conventions, professional meetings, colloquia and seminars. I also intend to organize/chaire/host conferences on Construction Safety and/or in Lean Construction at Michigan State University.

As of the writing of this statement, the following is brief listing of ongoing and planned research projects:

Current Projects:

Future Projects:

- Assessment of Alertness Levels During Construction Work Activities Using Ambulatory Electroencephalography (EEG)
- Ergonomic Evaluation of Manufactured Housing Production Operations
- Validation of Energy Expenditure Production Models for Construction Work Activities
- Work-Rest Cycle Management to Improve Worker Performance in Construction
- Production Planning Assessment During Manufactured Housing Installation Operations Using Lean Production Principles
- Improving quality of pre-fabricated wood truss elements using Six-Sigma techniques

Service

"One act of beneficence, one act of real usefulness, is worth all the abstract sentiment in the world" - Ann Radcliffe

I enjoy working with students and colleagues on matters important to the program, college, and university. Interaction with industry through outreach has also been a source of great insight and validation of the importance of the research ideas that I am pursuing.

In general, my approach to service is the same as my approach to teaching and research. Regardless of the service engagement, I find delight in researching the topic(s) at hand, identifying a strategy to address issues, and bringing rigor to the process and outcomes. An example of this is the outreach project that the Construction Management Program (CMP) was requested to develop by Haworth, Inc. (a Michigan-based manufacturer). The project consisted of development and delivery of five 4-day construction management workshops, to be offered in 2005. I served as the project manager for this outreach program. In that capacity, I developed the program proposal (including content, delivery formats and structure, and budgets), and coordinated and managed training logistics, training materials, and instructors. In working with my colleagues on selecting content and delivery formats, I read available literature on andragogy because of the type of audience we expected to have. I found it interesting to see how the learner, the learner’s experience, readiness to learn, and orientation to learning have been portrayed as having different characteristics in pedagogy compared to andragogy (Hanson 1996)4. These factors were all taken into consideration, and Haworth considers this program one of their best offerings. This outreach project generated $115,000 in revenue to CMP. Another round of workshops is being seriously considered by Haworth for 2006.

In the future, I will continue to participate in all dimensions of service when requested as well as proactively seek and engage service opportunities and develop outreach events for professionals.

Final Thoughts

"Not everything that can be counted counts and not everything that counts can be counted." - A. Einstein

After five diverse, challenging, emotionally and professionally enriching, and rewarding years at MSU, I believe that my efforts are consistent with the forms of scholarships described by Boyer (1997) - Scholarship of discovery, integration, application, and teaching. I believe that my accomplishments reflects this by showing: (1) a demonstrated record of effectiveness as a teacher; (2) a record of peer-reviewed publication and peer-reviewed creative activity which has contributed to the field of Construction Management, to my intellectual development, and to the quality of the Construction Management Program; (3) a record of professional service, which is proportionally appropriate to my appointment, to the program, college, university, and the construction industry; and (4) promise of growth in teaching and research.

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No one, at least among the people I know, springs full-grown from the brow of Zeus. I came to MSU capable of certain things and full of promise to do others, and I am getting better all the time. I am very proud of what I have been able to accomplish at MSU. I realize I need to, and I will, bring my grant activity to be on par with my scholarly productivity in teaching, research, and service. I believe that I am on track towards fulfilling my overriding mission of spreading and contributing to the body of construction knowledge as a teaching and research scholar of Construction Management. That is why I look forward to being a part of Michigan State University.