

THE TENURE TRACK SYSTEM “FROM GOOD TO GREAT”

A review and recommendations by the Assistant Professors at EPFL

**On behalf of Tenure Track Assistant Professors at EPFL
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Prepared by

Hilal A. Lashuel
Faculty of Life Sciences

Rizlan Bernier-Latmani
Faculty of Architecture, Civil
and Environmental Engineering

Carlotta Guiducci
Faculty of Engineering

Yury O. Tsybin
Faculty of Basic Sciences

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Abbreviations

EPFL	ÉCOLE POLYTECHNIQUE FÉDÉRALE DE LAUSANNE
ENAC	Faculté de l'Environnement Naturel, Architectural et Construit Faculty of Architecture, Civil and Environmental Engineering
FSB	Faculté des Sciences de Base Faculty of Basic Sciences
FSV	Faculté des Sciences de la Vie Faculty of Life Sciences
FIC	Faculté Informatique et Communications Faculty of Computer and Communication Sciences
STI	Faculté Sciences et Technique de l'Ingénieur Faculty of Engineering
CDM	Collège du Management de la Technologie College of Management and Technology

Definitions

Faculty	Corresponds to "Faculté"
Institute	Administrative unit within a Faculty headed by the Institute Director
Section	Teaching unit within a Faculty headed by the Section Head. Section does not necessarily perfectly overlap with any Institute. Professors pertaining to a given Section may be administratively affiliated with disparate Institutes.
Tenure	"entitlement of Faculty members to continue in their academic position unless dismissed for a good cause" ¹
PATT	Tenure-track assistant professor at EPFL
Faculty	corresponds to faculty members EPFL-wide. The French equivalent is 'Corps Professoral'
EPFL CPA	'Comité de promotion académique' which corresponds to the EPFL-wide tenure and promotion committee
Direction	Office of the EPFL president
Dean	Head of a Faculty

¹ http://www.tamucc.edu/provost/faculty_handbook/section%202/222.pdf

Executive Summary

This report presents a thorough review of the tenure-track system at EPFL and was conducted by the tenure-track assistant professors (PATTs) at this institution with emphasis on current practices in each Faculty regarding 1) clarity, transparency and implementation of the tenure promotion procedure; 2) pre-tenure evaluation procedures (annual and midterm reviews) and 3) mentoring and support of junior faculty. The focus was on the process leading to the official tenure evaluation rather than the tenure evaluation itself. Detailed polling of the PATTs was conducted and analyzed; the salient results are presented in this report. The primary objective of this exercise was to propose recommendations to improve clarity, transparency and practice where needed. The complete survey results, graphs and analyses, best practices and examples of adapted implementations for EPFL are presented in the appendices. Below is a summary of the main findings and recommendations by the PATTs.

Job and career satisfaction

The majority of PATTs indicated that they were very satisfied with the overall hiring process, their career advancement and the efforts made by EPFL and their respective Faculties to help them establish their research programs. The results from the PATT survey indicate that more progress could be made to improve interactions between junior and senior faculty. Implementing an EPFL-wide mentoring program would partially address this issue.

Clarity and transparency of the tenure process

A study of the tenure process at top research universities, carried out by the Collaborative On Academic Careers Higher Education (COACHE), revealed that a clearly defined path to tenure and academic promotion is a key factor for job satisfaction and success of junior faculty, and an effective tool for faculty recruitment and retention. The survey polling PATTs at EPFL was in line with the results reported at other institutions. The PATTs as a group see as beneficial the creation of a document stating clearly and comprehensively, to the extent possible, the expectations for PATTs and detailed procedures for pre-tenure evaluations and the final tenure review.

Annual Reviews

Current EPFL regulations require that the Deans conduct and maintain a written record of an annual performance interview. In this report, the annual performance interview was defined by three criteria (Appendix 1). As such, this procedure is not being implemented in most of the Faculties at EPFL (except ENAC and IC). PATTs recommend the implementation of a structured two-step annual review procedure that encourages the PATTs to critically assess their academic and research accomplishments, teaching duties and performance as well as progress towards tenure. The first step (informal) applies to the time period prior to the midterm review, and the second (formal) to that after the midterm review.

Midterm Reviews

A midterm review of PATTs is not currently required as part of the tenure evaluation process at EPFL. Several Faculties have initiated midterm evaluation procedures, but the objectives and mechanisms of implementation vary significantly from one Faculty to another. The PATTs recommend the implementation of a formal midterm evaluation process that resembles the actual tenure process, but not necessarily including the solicitation of letters from outside experts. The aim of this process should be to 1) provide the PATT with critical feedback concerning their progress towards achieving tenure; 2) identify red flags and alert the PATT to potential problems that could negatively impact their chances of achieving tenure and 3) identify how the Institute and/or Faculty could support the PATT to address these issues.

Mentoring

In contrast to other top research universities and engineering institutes, no mentoring program is in place at EPFL, with the exception of the Faculty of Basic Sciences (FSB). The mentoring system at FSB is one-on-one and formal; i.e., mentors are assigned to PATTs by the Institute Directors, typically without consultation with the PATT. PATTs recommend establishing a voluntary but well-structured, two-step mentoring program at all EPFL Faculties. The first step is designed to facilitate the integration of PATTs into the EPFL community during the first year of their employment. The second step is intended to provide them with assistance and guidance to excel in their field and achieve their career goals, including tenure promotion. Senior faculty should be strongly encouraged to actively participate in mentoring by their Dean. The PATTs also see the mentoring program as an important strategy for maximizing the return on the substantial investment made by EPFL for each PATT as well as a means of fostering a sense of community across campus.

General Recommendations

1. Adherence to the written rules should be ensured.
2. The timelines of the process according to the written rules should be respected.
3. A set of shared EPFL values as well as transparent and fair processes should be integral components of the tenure process in each Faculty.
4. An annual and midterm review process should be implemented in each Faculty in a manner appropriate for that particular group of faculty members.
5. An EPFL-wide mentoring program should be established.
6. A Faculty Handbook containing all relevant information but, most importantly, a tenure and academic promotion section should be assembled.

The PATT initiative

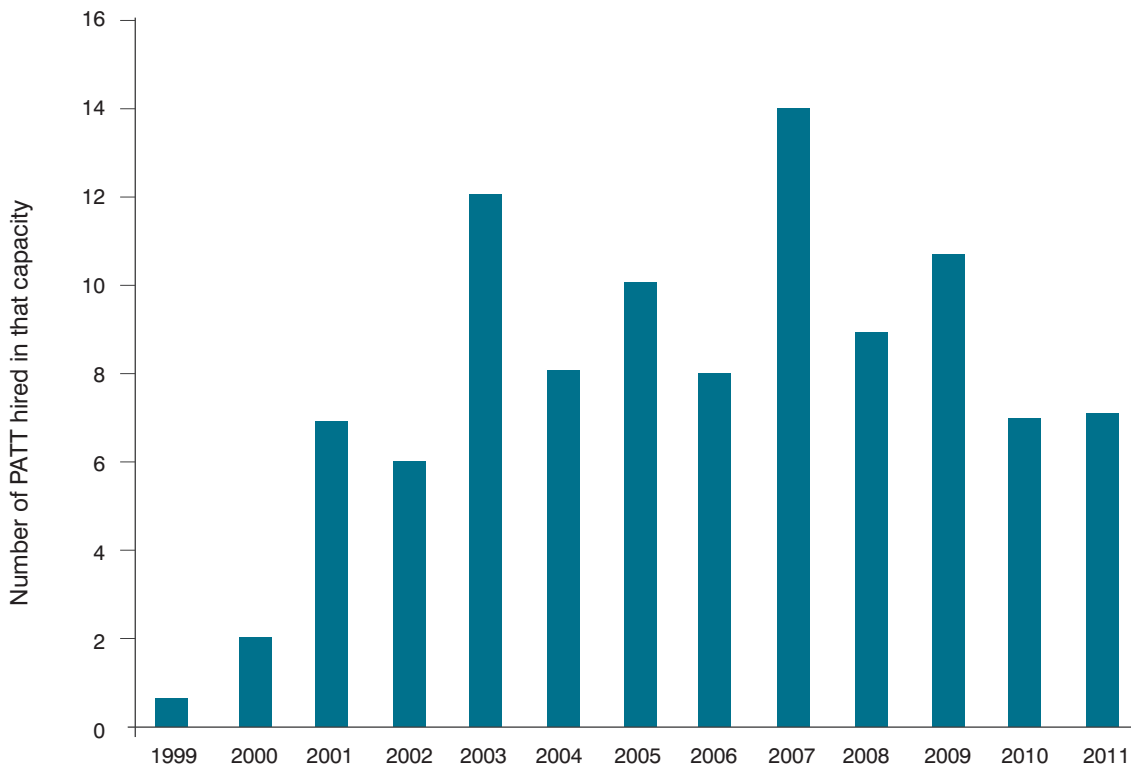


Figure 1: Number of PATTs hired in that capacity per calendar year. Note that the data for 2011 only includes nominations made by January 2011

The concept of tenure-track junior faculty is a relatively recent development at EPFL. The first PATT to be hired in that capacity started in 1999. Increasingly, PATTs are hired after a post-doctoral stint but prior to having obtained any experience as a faculty member at another institution. Because the tenure-track process is new, it is not possible to extract meaningful statistics on the tenure retention rate as of yet. However, the number of PATTs is increasing rapidly (**Figure 1**). At the writing of this report, PATTs number 60, corresponding to ~ 20% of all faculty members at EPFL.

The community of PATTs has reached a critical mass and development stage that enable it to participate in shaping the policies that influence the future of EPFL. PATTs should be given the opportunity to provide feedback on pre-tenure evaluation procedures and implementation of mentoring programs in their Faculty. Thus, the PATTs came together as a group and identified priority issues they felt were important for their career, their overall job satisfaction and the continued success of EPFL. The priority issue that was identified first and foremost was the lack of clarity and transparency of the tenure process at EPFL. The PATT initiative was born out of this initial meeting.

Objectives of the PATT initiative

The primary objectives of the PATT initiative are to **identify** aspects of the tenure process that can be improved in order to ensure clarity, transparency and fairness within each Faculty and across the EPFL campus and to **make recommendations** for best practices regarding mechanisms for supporting tenure-track faculty at EPFL and the implementation of the tenure promotion process.

The four cornerstones of the tenure process were presented succinctly by others²:

Clarity

The availability of detailed written information about the expectations and procedures related to the tenure process

Transparency

The availability of information – formal and informal – during the actual process of tenure evaluation

Uniformity

The homogeneity and consistency with which faculty members are evaluated across campus

Assistance

The availability of help for junior faculty members in the form of mentoring or pre-tenure feedback (such as annual and midterm reviews)

Thus, the specific goal of this initiative is to establish a process that inherently incorporates these four principles.

We considered the following:

1. How uniform are the pre-tenure and tenure promotion processes across Faculties?
2. How readily available is information about procedures and expectations for PATTs?
3. To what extent are the current regulations concerning tenure evaluation and promotion being followed by each Faculty?
4. How can the tenure process be made as transparent as possible without taking away the confidentiality that is inherent to the process and while maintaining a measured level of candor in the assessment of candidates?
5. Is there a need for a mentoring system and if so, what form of mentoring would best provide the necessary guidance and support for PATTs without interfering with their freedom to direct and manage their research and career advancement?

² J. Waltman and C. Hollenshead. Creating a positive departmental climate: Principles for best practices. Prepared for NSF advance University of Michigan, 2005.

The Process:

To explore these issues in the different Faculties, the following four steps were undertaken:

1. A meeting was held on February 5th, 2010, to which all PATTs were invited, and during which a member of each Faculty presented an overview of the current practices regarding pre-tenure evaluation and tenure promotion in their Faculty. The presentations and discussions among the PATTs highlighted considerable disparities among the different Faculties in the implementation of pre-tenure evaluation procedures. These processes ranged from no formal pre-tenure evaluation to written feedback on a yearly basis including an extensive midterm review. Furthermore, these discussions demonstrated the lack of clarity on the tenure process for PATTs and the need for documenting the procedures involved at each step of the process.
2. A task force composed of four PATTs (Rizlan Bernier-Latmani (ENAC), Carlotta Guiducci (STI), Hilal A. Lashuel (FSV), and Yury O. Tsybin (FSB)) was formed and charged with gathering more detailed information from all the PATTs and administrators in each Faculty.
3. The task force conducted its mission in three phases:

Phase 1 focused on conducting, in consultation with the PATT community and the Deans, an initial general survey of current practices in each Faculty. The group identified differences among the different Faculties concerning 1) the practice of pre-tenure evaluation procedures; 2) the mentoring of junior faculty; 3) the structure of the Faculty CPA; 4) the role of the Deans and Institute Directors. The text of this survey is available in **Appendix 1**.

Phase 2 involved conducting a **detailed online survey (Appendix 2)**; the survey was split into two online surveys for practical reasons) to solicit feedback from PATTs on all aspects of the existing tenure process, their experience at EPFL, and their input and recommendations concerning the tenure process. Particularly, the PATT online survey focused on assessing: 1) the global satisfaction of PATTs within their Faculty and at EPFL; 2) the pre-tenure evaluation procedures and practices at each Faculty at EPFL; 3) the clarity and transparency of the different aspects of the tenure promotion process, including the criteria and standards; 4) the existing mentoring and support mechanisms available to PATTs; 5) the PATT expectations and recommendations on pre-tenure evaluation and mentoring of junior faculty. **The response rate to the online surveys was 86% and 76%, respectively.**

Phase 3 entailed the analysis and discussion of survey results and the formulation of specific proposals and recommendations to improve the tenure process.

At the end of each phase, the task force called for and convened a meeting to present the outcome of each phase, to which all PATTs were invited. At those meetings, the task force sought PATT feedback and input concerning the next steps and strategy for the next phase. In addition, the task force consulted with senior faculty and members of the EPFL CPA and Direction to seek their input and advice concerning the final recommendations.

4. Based on the survey data and the plenary discussions, the task force prepared the present final report, for which feedback was sought from all PATTs.

Guiding Principles of the PATT initiative:

1. A clearly defined path to tenure and academic promotion is an essential factor for junior faculty job satisfaction and their success, as well as an effective tool for faculty recruitment and retention.
2. EPFL makes a tremendous investment in each PATT. Offering support and guidance to PATTs to help them reach their full potential and excel in their field is essential to maximize the return on investment made by the EPFL and ensure the continued success of this institution.
3. The PATT initiative focus is on reviewing the processes of pre-tenure evaluations and not standards and criteria for tenure promotion in each Faculty.
4. Some aspects of the tenure and promotion evaluation may vary between the different Faculties due to differences inherent to the various disciplines. However, a set of shared values, transparent and fair processes should be integral components of each approach.
5. The proposals, examples and models of best practices presented in the appendices of this report are intended to serve as suggestions that could be modified and adapted according to the needs and wishes of each Faculty and the Direction.
6. The results and recommendations of the PATT initiative are to be presented and discussed at a full faculty meeting in the presence of members of the Direction, Deans and EPFL faculty.
7. The sustained, long-term greatness of a university is in large part attributable to the dynamism, excellence and engagement of its faculty members. One of the goals of this initiative is to encourage a new generation of professors to be involved and engaged in university affairs.

Clarity and transparency in the tenure process

The tenure process inherently includes uncertainty and a certain amount of anxiety because the final decision to grant tenure is not pre-ordained. It is also probably true that maintaining a certain amount of pressure on PATTs ensures higher productivity and success. However, unnecessary and counterproductive anxiety arises from a real or perceived lack of clarity and transparency. If action can be taken to preclude that unnecessary angst without compromising the integrity of the process, it would be beneficial to all parties. The goal of this section is to suggest how such action could be implemented.

As mentioned earlier in this document, an overwhelming result of a study of tenure at top universities was that all pre-tenure faculty polled indicated that a key factor in their professional success is a clearly-defined path to tenure³.

Main findings of the online survey of EPFL PATT

The survey polling PATTs at EPFL was in line with the results reported by other institutions. In response to the question, ‘would you like to see a clear definition of the role and expectations of PATT at EPFL be implemented as part of the tenure process?’, the response was overwhelmingly in favor (**Figure 2**) and indicated clearly that this type of information was not yet available (few responses indicated that it was already in place). The high response rate (86%) of PATTs to this survey in itself is an indication that PATTs are overwhelmingly not at ease with the process. This could be a reflection of individual insecurity that comes with tenure-track positions but it could also be due to a lack of clarity in the tenure process today.

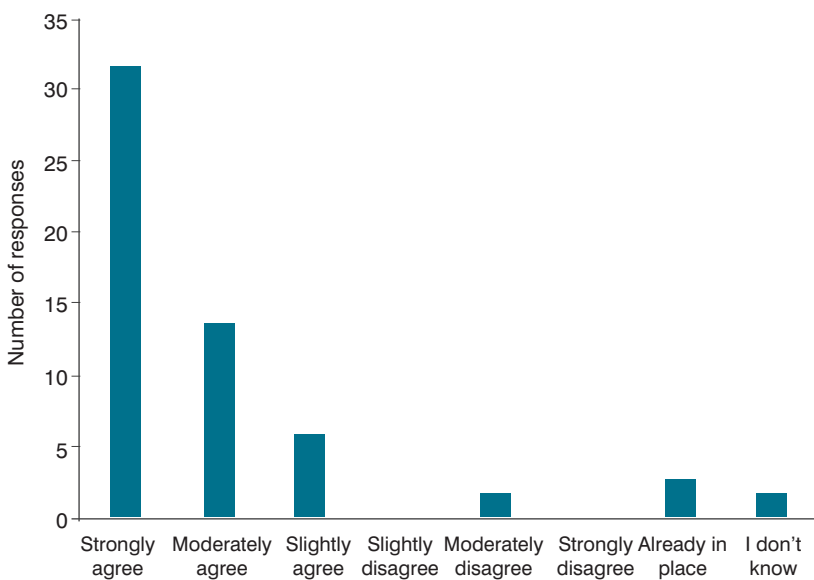


Figure 2: Response of PATTs to the question ‘would you like to see a clear definition of the role and expectations of PATT at EPFL be implemented as part of the tenure process?’

When asked what they would like to see implemented as part of the tenure process, the majority of PATTs indicated they would like to see guidance on the content and structure of a good tenure dossier and a description of the relative importance of the criteria applied for the evaluation (**Figure 3**). Thus, it is very clear that the PATTs as a group see as beneficial the preparation of a document stating clearly and comprehensively, to the extent possible, the expectations for PATTs as well as the procedures put in place for the pre-tenure evaluations and the final tenure review. In most leading universities, such information is typically found in the faculty handbook (**Table 1** and **Appendix 5**).

³ Perspectives on what pre-tenure faculty want and what six research Universities provide. A report of the collaborative on academic careers in higher education (COACHE), 2008.

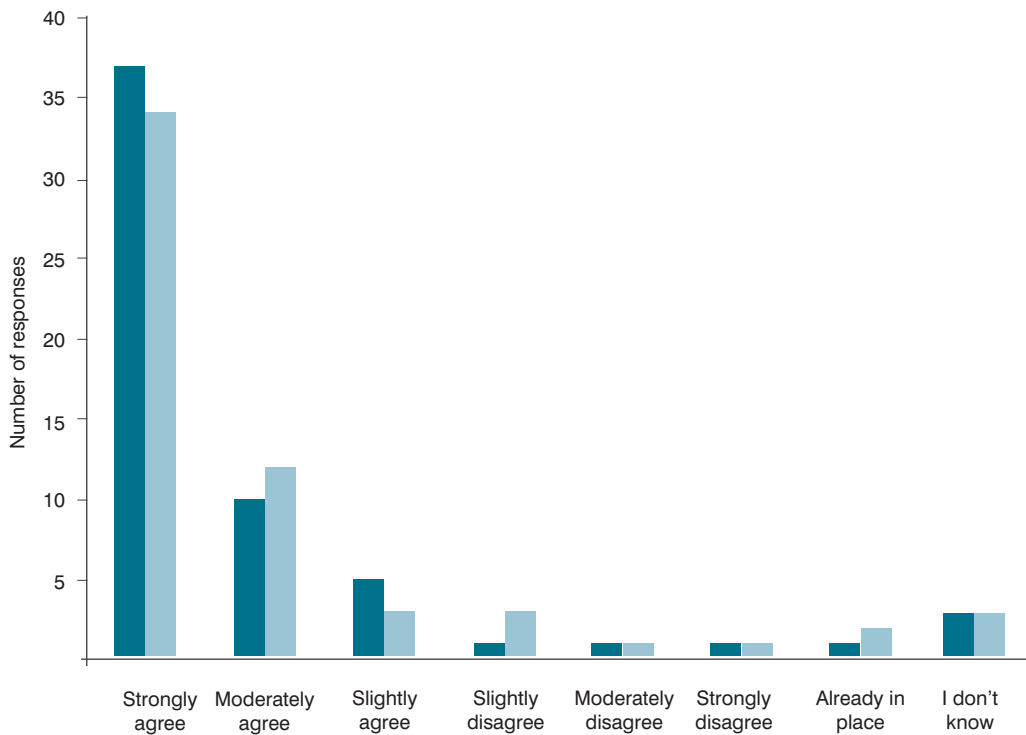


Figure 3: Responses of PATTs to the questions ‘would you like to see guidance on the content and structure of a good tenure dossier (blue) or a description of the relative importance of the criteria applied for the evaluation (lighter blue) be implemented as part of the tenure process?’.

University	Link to their faculty handbook
Stanford University	http://facultyhandbook.stanford.edu/
MIT	Organized per School; for example Earth and Planetary Sciences: http://eapsweb.mit.edu/resources/Faculty_Handbook.pdf
Harvard University	Not available online but can be obtained by mail
Caltech	http://provost.caltech.edu/faculty_handbook.html
Johns Hopkins University	http://www.sais-jhu.edu/bin/q/l/FacultyHandbook_2010-2011.pdf
University of California	http://www.ucop.edu/acadadv/acadpers/handbook/
Yale University	http://provost.yale.edu/
Cornell University	http://theuniversityfaculty.cornell.edu/handbook/handbook_main.html

Table 1: List of websites that allow access to the faculty handbook at various leading universities.

Additionally, when asked whether they understood the role of the Dean, the Faculty CPA or the EPFL CPA in the tenure process, a surprisingly high number indicated that they did not fully understand these roles (**Figure 4**). This is probably at least partially attributable to new PATTs who have not yet had the chance to experience or learn about the process. Nonetheless, this is a glaring result that suggests PATTs are not sufficiently well informed of the procedure of tenure evaluation, even though it is a critical step in their career. While some of this information is available in the 'Rules and regulations concerning EPFL tenure-track professors', questions raised from PATTs regarding specifically the role of Dean and the role of the Faculty CPA relative to the Dean illustrate that either the document is insufficiently detailed or there is divergence between policy and current practices.

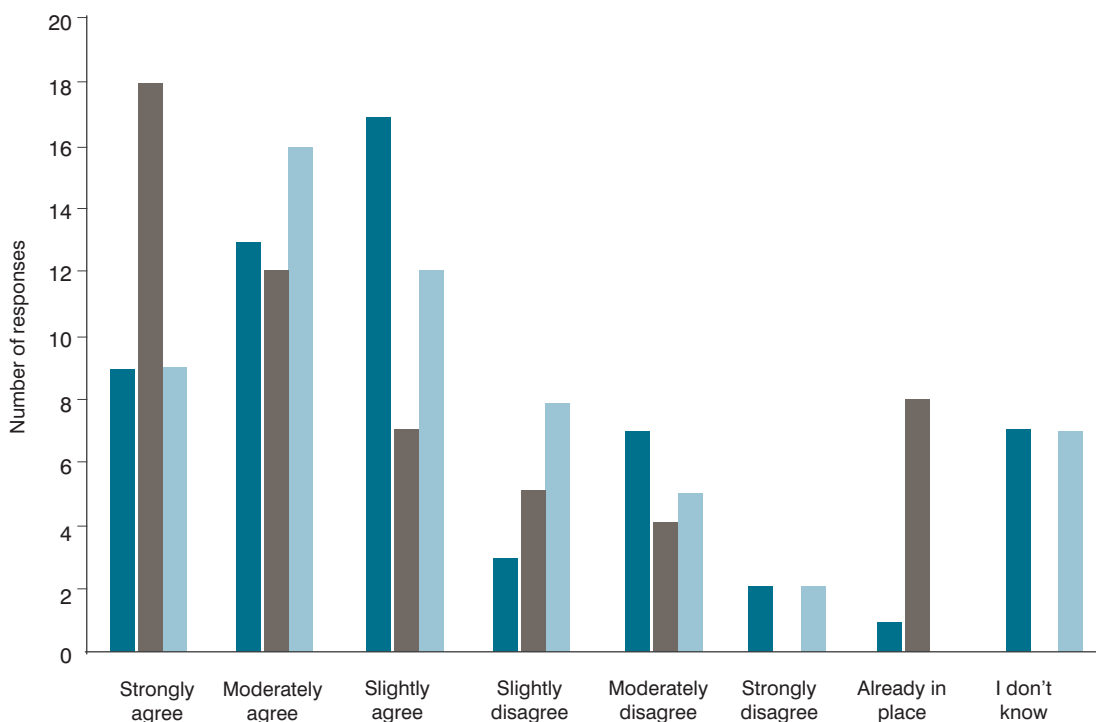


Figure 4: Responses to the questions 'I understand the role of the Dean (blue), Faculty CPA (grey) or EPFL CPA (light blue)'.
 Note: The 'Strongly disagree' category for the grey series (Faculty CPA) has 0 responses.

As for teaching, the PATT feel that their teaching load is adequate and the support they receive in the form of teaching assistants (TAs) is appropriate (**Figure 5**). However, the clarity and transparency with which teaching assignments are meted out is clearly out of step with the other measures of satisfaction with teaching at EPFL (**Figure 5**). The PATT singled out this process for overall lack of satisfaction.

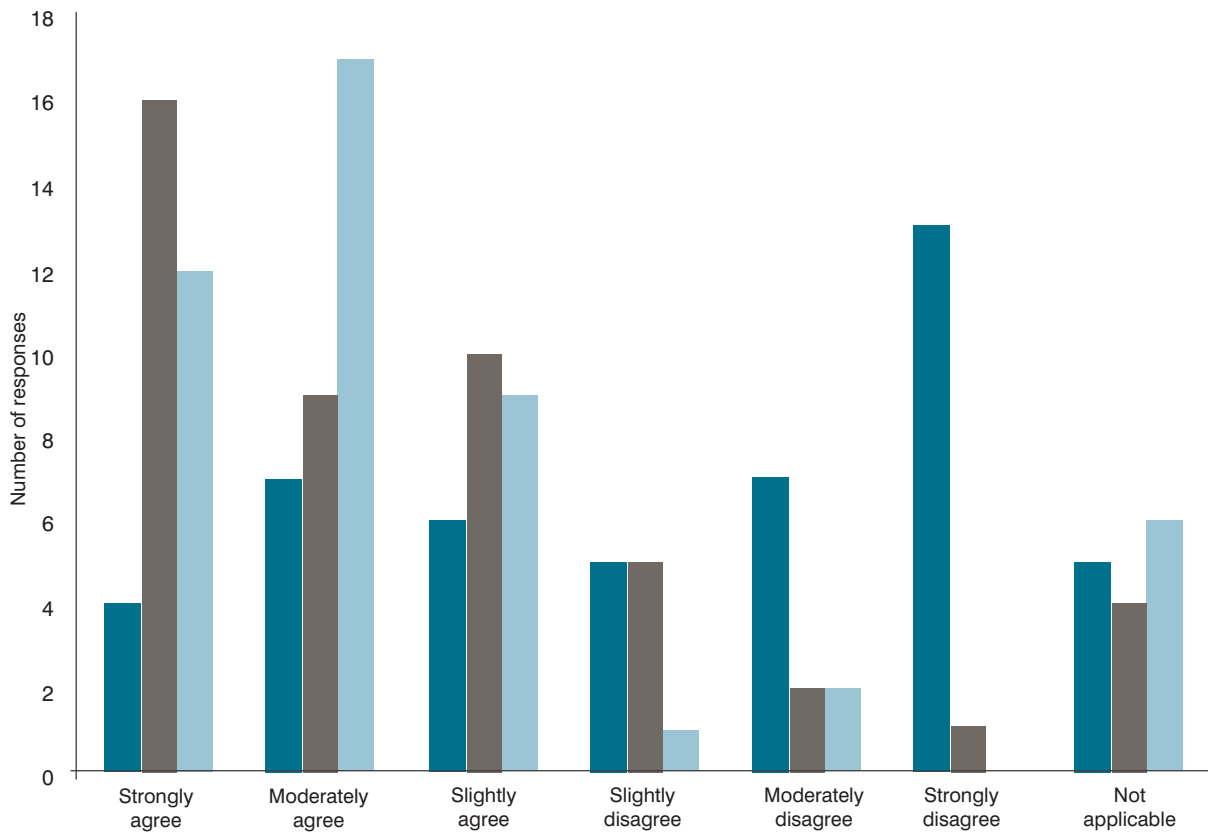


Figure 5: Responses to the statements: “The process by which classes are assigned to professors is clear and transparent” (blue); ‘My teaching load is adequate’ (grey) and ‘I have sufficient teaching support (e.g., TAs)’ (light blue).

Clarity and transparency best practice at leading universities

The online survey underscores the need for increased clarity and transparency in the tenure process at EPFL. Fortunately, other universities have grappled with the same need and have blazed the trail and established best practices for clarity and transparency in the tenure process.

Clarity

Clarity in the tenure process can be achieved readily by establishing a faculty handbook that serves as a repository for all the information that faculty members may need at any point during their career. The section on tenure and promotion would be targeted to clearly describe the procedures and the deadlines important for the tenure process. The present report includes an example of what this section may contain (**Appendix 3**).

Transparency

Transparency is more challenging to implement than clarity but it remains an essential ingredient to ensuring a productive tenure review system that does not provoke unnecessary angst among candidates and pre-tenure faculty and that does not require an adversarial attitude from the decision-making bodies. We have identified three aspects that could be addressed:

a) Understanding the qualitative aspects of the tenure review:

While expectations for pre-tenure faculty can be laid out very clearly in the faculty handbook, there remain a significant number of harder-to-define, qualitative aspects for each field that cannot be described in writing. The most difficult aspect is that pre-tenure faculty are “assembling a dossier and preparing for a review process that they have not experienced first-hand” . The most likely sources of information for these details are colleagues in the same Institute as well as the tenure and promotion committee (at the Faculty and University level). The best way to get an intuitive understanding of what aspects of the tenure dossier are discussed in tenure and promotion committees is to give PATTs the opportunity to participate in a meeting of that committee. Some universities have implemented programs to invite tenure-track faculty to participate in one such meeting as observers⁴.

- › *“As faculty discuss practices that assist in understanding the tenure process, they often point to opportunities to participate in or at least observe the work of evaluation committees. They make statements such as “And every first year faculty is part of this [tenure portfolio] committee...I saw an entire portfolio,” or “...all junior faculty members serve on the P&A committee before their own packages are due to be evaluated.” What the junior faculty are telling us is that the best way to fully understand the requirements involved in achieving tenure is to actually hear the discussions that occur around evaluations: the weighing of various factors, the shared departmental understanding of the relative value of different publication venues, the importance of external comments, and so forth.”⁴*

The confidentiality of the dossier content is maintained because the pre-tenure faculty member does not have access to it but he/she acquires the invaluable experience of understanding the nature of the discussion and the qualitative weight of the various factors that will influence the decision.

b) Reporting at each step of the review:

An important aspect of alleviating unnecessary anxiety for the candidate is the prompt transfer of information at each step of the evaluation process. There should be a strict schedule -outlined in the faculty handbook- that is followed scrupulously. A mechanism should be in place whereby the PATT is able to follow the process and status of his tenure promotion case.

⁴ Developing a transparent tenure process, Center for the Education of Women University of Michigan, Ann Arbor, 2008.

c) Teaching

As indicated in the main findings of the survey, the assignment of teaching loads is not always carried out in a transparent fashion. This fact can be a source of unnecessary friction and antagonism that could be addressed by a few measures. For example, the process by which such assignments are made should be available in writing and should include clauses that ensure a distribution that is as fair as possible given the constraints available. Information about how credit for teaching and teaching-related activities is allocated (e.g., advising, teaching large vs. small courses, teaching at Bachelor vs. Master vs. Doctoral level, etc.), how excellence in teaching is determined and the extent to which excellence in teaching influences tenure should all be made available to faculty.

“Departments seeking to increase transparency regarding teaching [...] may benefit from sharing information regarding: average teaching loads for faculty (by rank) within the department, and the number and type of courses taught by each faculty member each year.”⁵

Recommendations to enhance the clarity and transparency of the tenure process at EPFL:

- Establish an EPFL faculty handbook (example content shown in Appendix 5)
 - › Clear set of procedures with specific deadlines and responsibilities of the candidate and the Faculty.
 - › Make this information readily available to all faculty members.
- Ensure that the policies outlined in official documents are implemented in practice
- Ensure an appropriate flow of information to the candidate regarding outcome of various steps in the tenure review (formal and informal channels)
 - › Set-up channels through which the candidate can be informed of the progress of his/her dossier as well as the recommendation of each level of evaluation according to a schedule.

Pre-tenure reviews (annual and midterm)

Annual reviews

EPFL Rules: Although the current rules do not specify procedures for annual review or evaluation of PATTs, the rules clearly state that the Dean's responsibilities include conducting an annual performance interview with each PATT and keep a written record of these interviews.

*"He (the Dean) conducts regularly (approximately once a year) performance interviews with the tenure-track assistant professor **and keeps a written record of them**"⁵*

Current Practices: Our initial assessment of current practices concerning the annual review process revealed different practices and interpretations of what constitutes an annual performance review in each Faculty. In some Faculties the process consists of an informal meeting/lunch with the Dean, while in others the process seems to be more structured and consists of submission and review of the PATT's CV and teaching evaluation for the year and may include written feedback to the PATT. To assess more accurately the existing practices, a questionnaire was sent to the PATTs and Deans in each Faculty asking each to indicate whether or not their Faculty conducts an annual review and if written guidelines about the annual review procedures are provided to the PATTs (**Appendix 1**). **An annual review was defined by at least three criteria and the participants were given the opportunity to indicate if other criteria are applied in their Faculty.** The three criteria were (a) submission of a file summarizing the PATT's data is requested, is structured as a personal assessment and follows a recommended template; (b) the file is reviewed by the Dean and/or the institute director in concert with the Section Head (Teaching); (c) written feedback is provided to the PATT after the review.

Main Findings of the first survey:

1. There is a discrepancy between the written EPFL-wide rules and practices in each Faculty with regard to annual reviews. Currently, none of the Faculties provide clear guidelines concerning the annual review/interview process. The objectives, expectations and role of the PATT, the Dean and the Institute Director in the annual review process are not well defined. The majority of the PATTs learn about the process as they experience it.
2. In all Faculties, the Dean meets with each PATT at least once a year, but in Faculties that do not conduct annual reviews, these meetings are not structured to assess/evaluate the performance of the PATT and in some cases focus more on discussions related to space allocation, budget, and challenges faced by the PATT.
3. Only IC and ENAC conduct an annual review process that fulfills the three criteria defined above. The PATTs are asked to prepare their dossier following the same guidelines used to prepare the tenure promotion dossier.
4. Teaching evaluations are not taken into account in a consistent manner
5. If the PATTs desire to receive annual feedback/assessment of their progress towards tenure, the Deans have indicated that they are willing to discuss the possibilities for implementing a process that achieves this objective

Main findings of the online survey: The PATTs view the annual review as an opportunity to 1) reflect on the progress they have made towards meeting their research goals and achieving tenure; 2) receive feedback and guidance from the Institute Director and/or the Dean; 3) highlight problems or challenges that could negatively impact their research; 4) receive concrete feedback concerning their teaching and how to improve their teaching performance.

5 Rules and regulations concerning EPFL tenure-track assistant professors

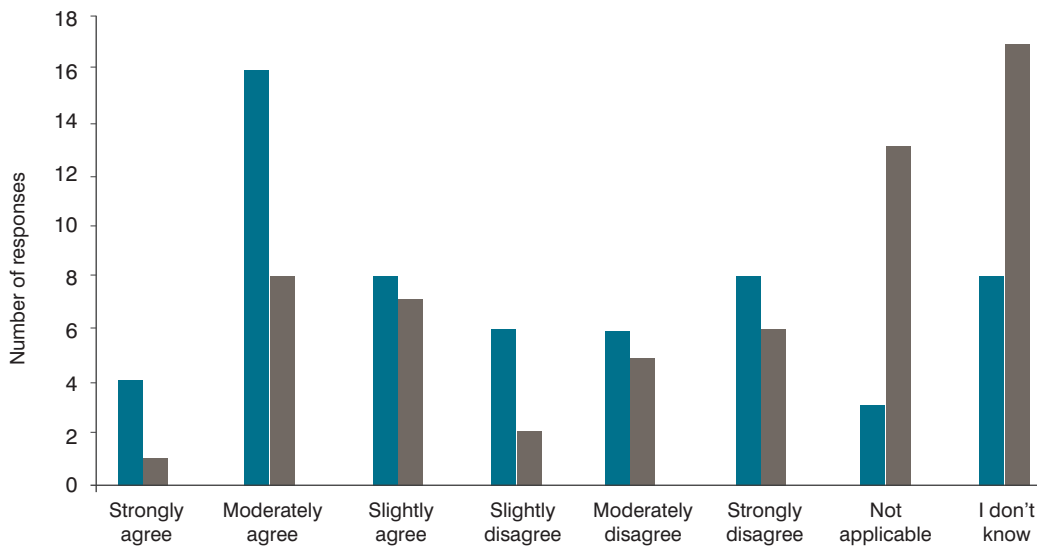


Figure 6: Responses to the statement 'I receive adequate feedback on my progress towards tenure in the form of annual (blue) or midterm (grey) review'.

The majority of the PATTs indicated that they do not feel that they are receiving adequate feedback on their progress towards tenure in the current form of annual or midterm reviews (**Figure 6**). While the PATTs feel that their informal meetings with the Deans/Institute Directors are helpful, there is consensus that an informal, but more structured annual review process would be favored (**Figure 7**) (**Appendix 4**). To facilitate and encourage open discussion and critical feedback, the majority of the PATTs feel that keeping a written record of annual reviews as part of their tenure dossiers is not necessary during the years preceding the midterm review. In addition, there was an agreement that the PATTs should be more proactive in the process by asking specific questions, highlighting specific issues on which they would like to receive feedback, and seeking advice from colleagues and experts in their field

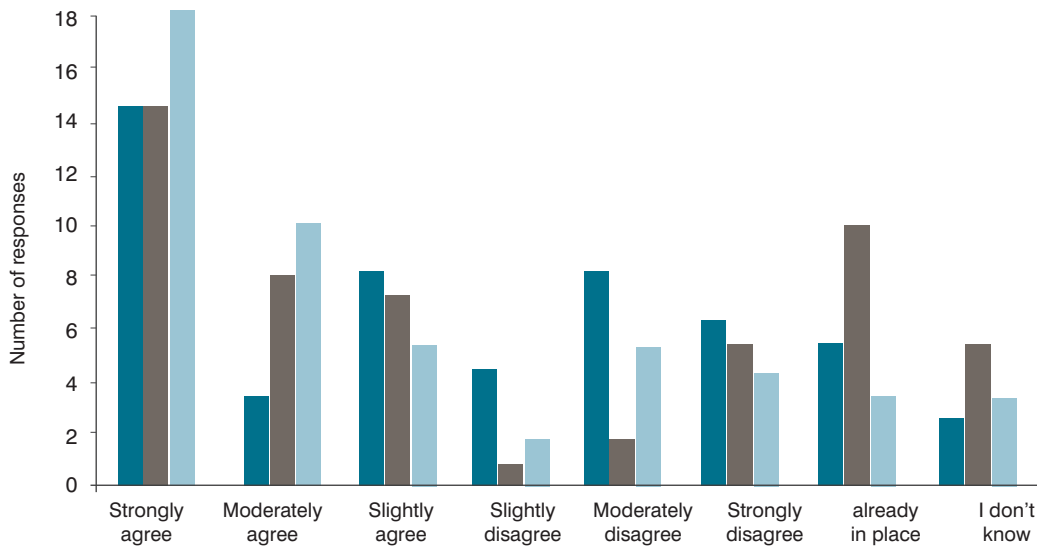


Figure 7. Responses to the questions: ‘What would you like to see implemented as part of the tenure process at EPFL: A formal annual review on progress towards tenure (blue); An informal annual review on progress towards tenure (grey); or a formal midterm process that include the participation of external experts (light blue)?’

Recommendations of annual reviews

1. Develop an informal but structured annual review process for each Faculty that discusses the progress of the PATTs, provides guidance and supports their effort to achieve their research and teaching goals (an example is provided in **Appendix 4**). The objectives of the process, the role of each participant (PATTs, Institute Directors, and the Deans), and the steps involved should be clearly defined. PATT feedback and input on the detailed procedures should be sought.
2. The annual review process should be driven by a careful self-evaluation of the PATT and constructive and critical feedback from the Institute Director, Dean and senior colleagues. It should be structured in a way that encourages and supports the PATT to critically assess their academic and research accomplishments, teaching duties and performance, and service to the community for the year and establish goals in each area for the next year.
3. The annual reviews are conducted in a two-step process. The first step occurs prior to the midterm review and is informal and does not require a written record. The second step is formal and entails a written record and an evaluation of whether milestones set in the midterm evaluation are being met.

Midterm Review

EPFL Rules: Currently, a midterm evaluation of PATTs is not required by EPFL rules and procedures for tenure promotion.

Current Practices: During the past two years, some Faculties within the EPFL initiated midterm evaluation processes of PATTs during the third or fourth year after their appointment at EPFL. To accurately assess current practices within the different Faculties, we sent out a brief questionnaire to the Deans asking them to answer the following questions.

1. Does your Faculty conduct a midterm review of the PATTs?
2. Which criteria are applied?
3. Does the Faculty provide specific written guidelines describing the process and its requirements?
4. Does this process include teaching evaluation and formal/informal interview of the Dean or Institute Director?

Given that some of the PATTs have gone through the midterm review process, we asked them to respond to the same questionnaire and provide their feedback. All participants were asked to indicate which of the following criteria is used in their Faculty and were provided the opportunity to indicate if criteria other than those listed below are applied.

(a) Submission of a full tenure dossier prepared following the EPFL tenure dossier template and summarizing the PATT's achievements to date;

(b) the dossier is reviewed by the Faculty CPA or its equivalent, the Dean and/or the Institute Director in concert with the Section Head;

(c) written feedback is provided to the PATT after the review process is completed;

(d) takes place within year 4 of the PATT's employment;

(e) peer review letters are obtained or an (or several) external expert(s) in the field is (are) involved in the review

Main Findings of the first survey:

1. Only ENAC and FSV have implemented midterm reviews during the past two years. In both faculties, the five criteria listed above are applied, including the participation of external experts. Currently, there are no written guidelines or description of the process or the criteria used in the review provided by either Faculty. FSV provides a description of the process, but the objectives and role of each participant are not defined in this document.
2. More recently, STI has begun implementing a midterm review of PATTs. Only two PATTs have gone through the process.
3. The college of management and technology (CDM) has adopted procedures for a midterm review that include all the criteria listed above, but this procedure has not been implemented yet.
4. Teaching evaluations are not taken into account in a consistent manner

Main findings of the online survey:

The PATTs view the midterm review as a crucial process and an opportunity to **assess and evaluate** their performance, achievements, and future plans and to seek the feedback and guidance of their colleagues and experts in the field concerning their progress towards achieving tenure. The PATTs understand that the outcome of the midterm review process does not determine the final outcome of the actual tenure review and a commitment or recommendation to grant tenure will not be made at this stage. However, there is a consensus among the PATTs in favor of a **formal midterm evaluation** process that resembles the actual tenure process and includes the participation of selected external experts, with or without the need for external letters. The aim of this process should be to 1) provide the PATTs with critical feedback concerning their research progress, teaching performance and whether or not they are on the right track towards achieving tenure; 2) identify red flags and alert the PATT to potential problems that could negatively impact their chances for achieving tenure; and 3) identify how the Institute and/or Faculty could support the PATTs to address these issues.

Recommendations for a midterm evaluation

- › The midterm review should take place during the first six month of the fourth year from the time of appointment as a tenure-track assistant professor. The format of the midterm review should mirror that of the tenure review process, including the submission of a complete dossier and the participation of experts from the field. At this stage, solicitation of outside letters may not be necessary.
- › The midterm review should provide clear feedback to the PATT if he/she is on track to achieving tenure. When the record or achievements in research, teaching and service permits inference that the PATT is facing challenges or appears to be unable to meet the standards and requirements for tenure, then the committee should provide clear feedback to the candidate and make efforts to explore possible mechanisms by which the Institute and Faculty could assist the PATT to meet these challenges. The committee should establish concrete milestones and objectives for the next three years that would provide an indication to the PATT as to whether or not he/she is advancing towards achieving tenure.
- › Each Faculty, in consultation with its Institute Directors, must establish and publish its own guidelines outlining their procedures for midterm reviews (an example is provided in Appendix 4). These guidelines should state the objective of each procedure, and provide clear instructions concerning the structure of the process and the expectations from each participant (i.e. the PATT, Dean, Institute Director, internal and external experts). These procedures must be consistent with the school-wide rules and policies for tenure and academic promotions. The guidelines for the annual and midterm review should be made available to the PATTs during the hiring process and distributed to the participating faculty and outside experts. PATT feedback and input on the detailed procedures should be sought.

Mentoring: helping junior faculty succeed

Job and career satisfaction: The majority of PATTs indicated that they were very satisfied with the overall hiring process, their career advancement and the efforts made by EPFL and their respective Faculties to help them establish their research programs. The results from the PATT survey indicate that more progress could be made to improve interactions between junior and senior faculty within Institutes (**Appendix 2**).

Why have a mentoring system?

Mentoring of junior faculty (PATTs, mentees) by experienced senior faculty (Associate and Full Professors, mentors) is a dynamic way of facilitating PATT personal and professional development. The success of the junior faculty in earning tenured positions and in doing so under the most comfortable conditions is in the interest of all Faculties as it ensures the overall long-term success of the institution. Supporting PATTs with an effective mentoring program is an important means of maximizing the return on the investment made by EPFL for each PATT. The expectations, as well as suggestions on why and how to participate in the mentoring program for both, mentees and mentors, are described in **Appendix 6**.

The world's top universities recognize the importance of young faculty mentoring and are strongly committed to supporting PATTs in their professional development through establishing well-developed mentoring programs (**Table 2**). There are a number of well-defined mentoring models from which EPFL may select the most appropriate (described as part of the survey in **Appendix 2**).

University	Mentoring program website
University of Cambridge	http://www.admin.cam.ac.uk/offices/hr/cppd/opportunities/mentor/
University of Oxford	http://www.learning.ox.ac.uk/oli.php?page=75
Imperial College London	http://www3.imperial.ac.uk/staffdevelopment/lcd/planning/mentoring
Massachusetts Institute of Technology	http://web.mit.edu/facultyworklife/newfaculty/mentoring.html
Harvard University	http://www.faculty.harvard.edu/development-and-mentoring
Eindhoven University of Technology	http://w3.tue.nl/en/services/dpo/education_and_training/mentoring/
UC Berkeley	http://academic-senate.berkeley.edu/committees/swem/advancement-and-promotion-junior-faculty-uc-berkeley
Stanford University	http://facultymentoring.stanford.edu/
University of Washington	http://faculty.washington.edu/olmstd/research/Mentoring.html
University of Southern California	http://www.usc.edu/academe/faculty/essential_guides/assistant_professors/index.html
University of California Los Angeles	http://www.faculty.diversity.ucla.edu/mentor/index.htm

Table 2: List of websites that allow access to the mentoring programs at various leading universities.

The goal of this section is to describe the current mentoring practices at EPFL, provide the main findings made by EPFL PATT surveys on mentoring and recommend a specific plan of action to meet the needs of junior EPFL faculty.

EPFL rules. Mentoring procedures and guidelines are not described in the official EPFL documents and regulations provided to the PATTs.

Current Practices. With the exception of the Faculty of Basic Sciences (FSB), a mentoring program is not in place at EPFL. The mentoring system at FSB is obligatory, which means that a mentor is assigned to the PATT by the Institute Director. In contrast to other top universities, including Harvard University, MIT, Universities of Cambridge and Oxford, EPFL has neither a mentoring program webpage nor a published mentoring guide (see **Table 2** for examples) to provide assistance to PATTs before their arrival at EPFL and during their tenure-track career development

Main findings for the online survey. Most of the PATTs at EPFL do not have a senior faculty member whom they would consider as a mentor. However, the majority of PATTs believe that mentor support is particularly important and required for understanding the relative importance of the criteria applied for the evaluation, the preparation of the tenure dossier, navigating internal politics of the Faculty and overall at EPFL, as well as for advice on receiving external funding (**Figure 9**).

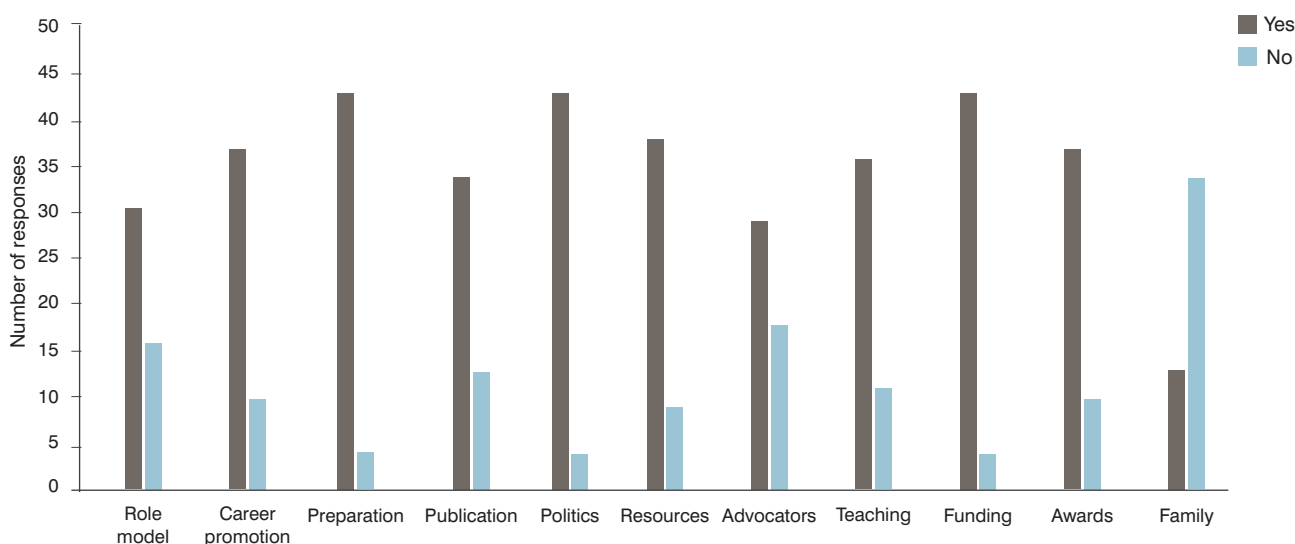


Figure 9. PATTs responses to the statement ‘indicate the areas for which you would seek a mentor’.

Despite its perceived importance, the amount of support PATTs receive today from mentors, integrated over the entire EPFL, is limited (**Figure 10**). In some cases, mentors serve as role models for the PATTs and provide some assistance in tenure dossier preparation, politics at Faculty/EPFL level and receiving external funding. However, the current mentoring needs are clearly not met. The PATTs responses reveal that they receive the least input from mentors in the following areas; 1) recognition in the field (e.g. awards); 2) advice on publishing; and 3) balancing family-career responsibilities (although PATTs do not feel they need advice in the latter).

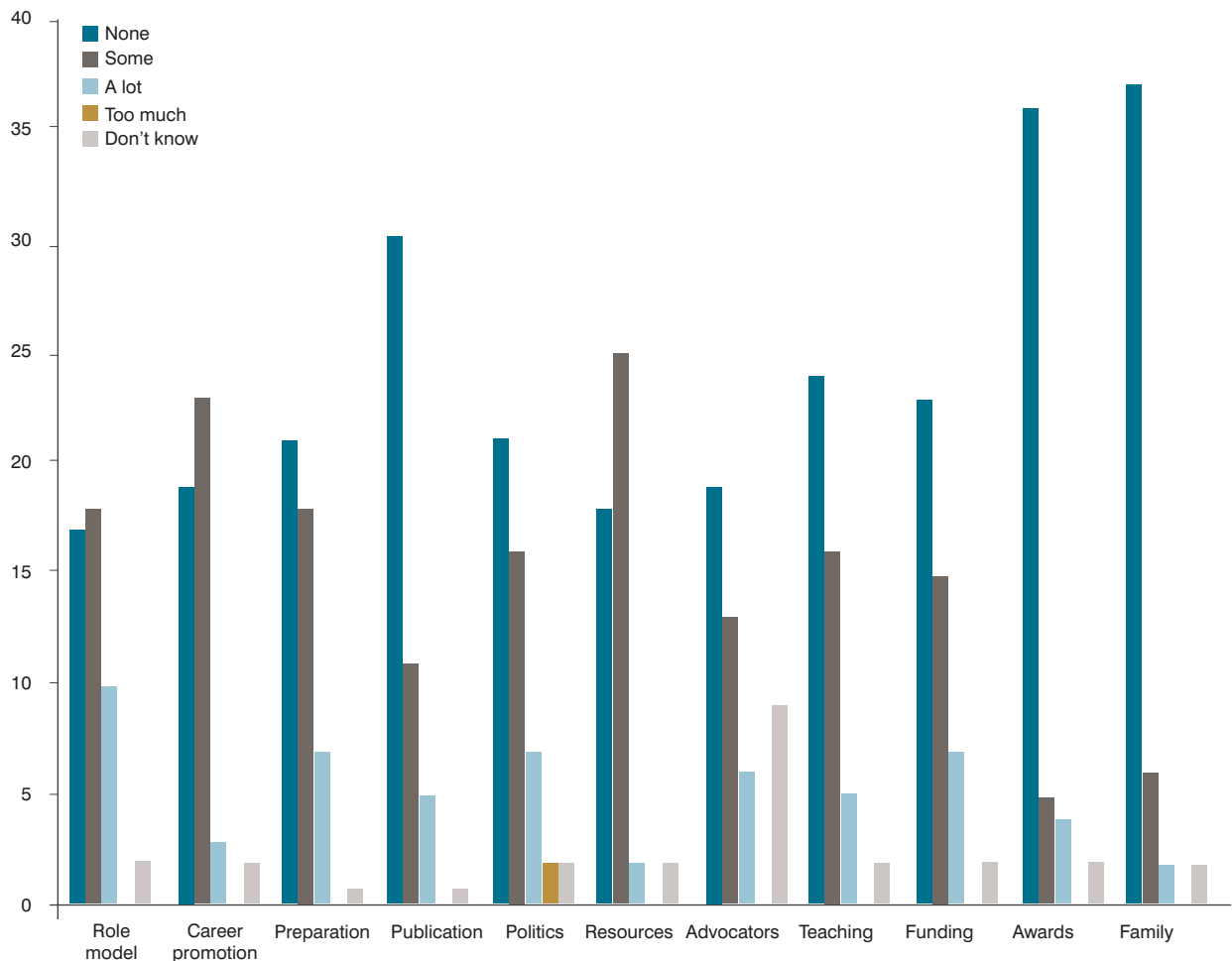


Figure 10. PATTs responses to the statement ‘indicate how much mentorship you are currently receiving in each area’.

Mentoring programs at universities worldwide are typically based on a set of well-developed mentoring models (described as part of the survey in **Appendix 2; Table 2**). Using the specified classification of the mentoring models, namely informal mentoring; one-on-one formal mentoring; cluster mentoring; unit oversight mentoring; and network mentoring, EPFL PATTs clearly indicated a preference for the informal and one-on-one mentoring models (**Figure 11**).

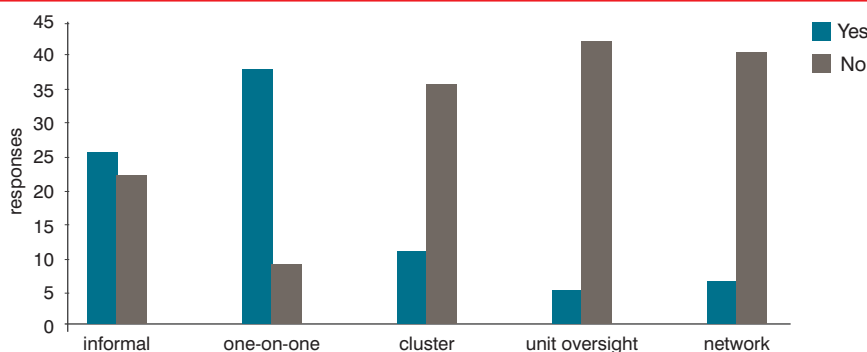


Figure 11. EPFL PATT responses to the question: ‘what type of mentoring system would you like to see implemented at EPFL?’. Considered mentoring models are described in detail in the online survey (Appendix 1).

Recommendations for mentoring

1. Establish an informal, one-on-one mentoring program across EPFL. This entails establishing a pool of mentors by soliciting volunteers among senior faculty members or Associate Professors who went through the tenure process at EPFL. These volunteer mentors will receive adequate training and will clearly understand their role (see below). It is expected that the pool of mentors will grow as more PATTs successfully go through the tenure process.
2. Develop a dedicated website for an EPFL Mentoring Program. The website should contain all related information and documents and a list of volunteer mentors established as described above. The newly hired PATT should be informed about the Mentoring Program at EPFL and the website in the offer letter. The website should include an online discussion forum to facilitate sharing of information and experiences between PATTs and mentors.
3. A two phase mentoring program is recommended, based on the analysis of current practices in top universities

Phase 1 (integration and start up): As part of the offer letter, every new PATT should be assigned an integration mentor by the Institute Director/Dean or the search committee. Such a mentor can either be a PATT who already went through his/her midterm evaluation or an Associate Professor. The role of the integration mentor will be to 1) facilitate the integration of the new faculty member into his/her Faculty and the EPFL community; 2) advise the PATT with critical questions such as setting-up a laboratory, administrative issues, funding opportunities (**Appendix 6**).

Phase 2 (career planning and guidance): After approx. 9-12 months the PATT identifies a career development mentor from the Faculty or EPFL mentoring pools. The mentee can choose more than one mentor (e.g., for different purposes). The mentor should be a senior faculty member who has volunteered to be in the mentoring pool. (S)he should be familiar with the tenure system at the Faculty and EPFL levels, the teaching requirements for PATTs, the funding system in Switzerland/Europe, and the standards and expectations for achieving tenure or will receive training to meet those requirements.

4. Develop clear guidelines that explain the objectives and mechanism of implementation of the mentoring program as well as the expectations, and role and responsibilities for the mentor and mentee (see example in **Appendix 6**). The general information on EPFL Mentoring Program should be a part of the Faculty Handbook.
5. Mentors should receive coherent and clear information from Institute Directors and Deans on the mentoring practice at a particular Faculty. Senior faculty should be encouraged to participate in the EPFL-wide program and join the pool of mentors. Information seminars and/or workshops on mentoring for senior faculty could be organized. This could also be achieved by inviting experts to speak at school-wide faculty gatherings such as 'Journée Scientifique et Pédagogique' (JSP).

Overall recommendations for the tenure process at EPFL

In keeping with the themes of clarity, transparency, uniformity and assistance, the following recommendations are put forth:

Clarity

Establish an EPFL faculty handbook.

Transparency

Ensure an appropriate and timely flow of information to the candidate regarding outcome of various steps in the tenure review (formal and informal approaches).

Uniformity

- › Formalize a two-step annual review. The first step is informal and takes place prior to the midterm review. The second step is formal and designed to help the PATT reach milestones.
- › Ensure that the tenure process outlined in official documents is implemented in practice.
- › Ensure that feedback during the pre-tenure review process is provided in a timely manner.

Assistance

- › Formalize a midterm process to take place in the fourth year. This is an evaluation of the PATT and involves outside expert(s).
- › Establish an informal, two-step, one-on-one mentoring program across EPFL. This entails establishing a pool of mentors by soliciting volunteers among senior faculty members or Associate Professors who went through the tenure process at EPFL. These volunteer mentors will receive adequate training. The first step of the mentoring starts at the PATT arrival and is focused on 'integration and start-up', whereas the second step starts a year after arrival at EPFL involves potentially a different mentor and is centered around 'career planning and guidance'.

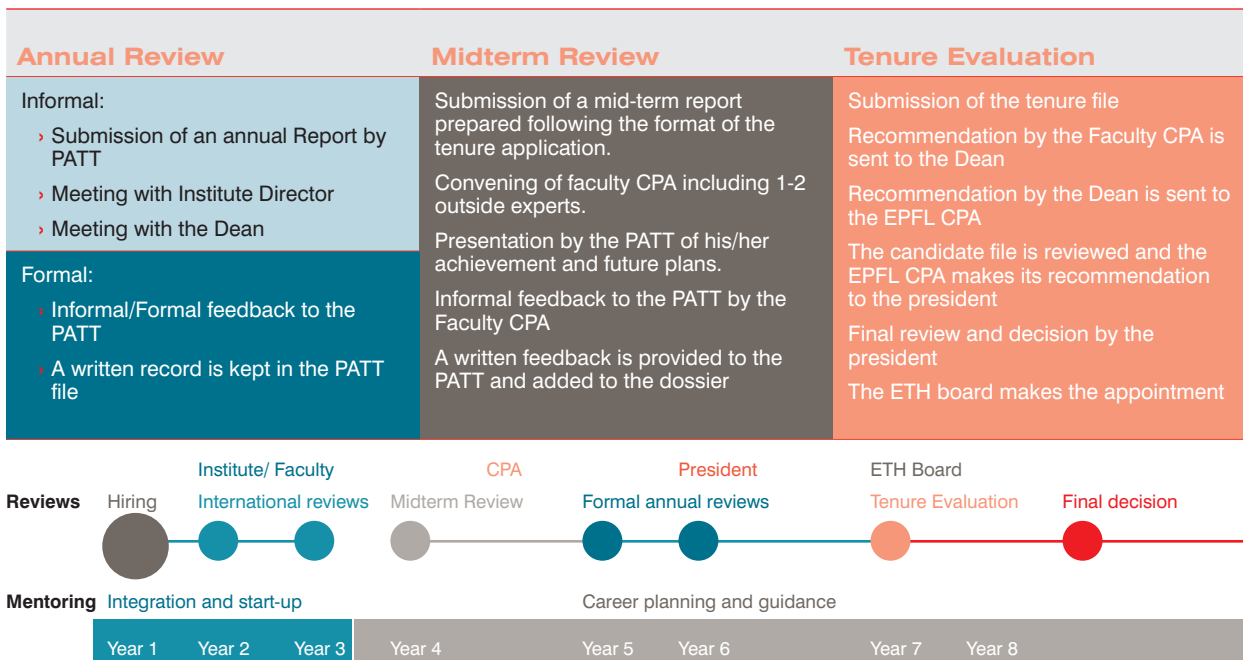


Figure 12: Diagrammatic representation of a proposed format for the implementation of the tenure process.

These recommendations could be implemented in phases rather than all at once. In addition, it would be beneficial to gauge progress in the pre-tenure process by carrying out a similar survey of the PATTs in five years. Finally, a survey of professors who have already gone through the tenure process at EPFL would enlighten both the administration and the PATTs on the actual experience and on ways to streamline and improve it.

Acknowledgements

We would like to acknowledge the technical assistance of David Bréchet and Pierre Dillenbourg to prepare the online survey. Additionally, we are grateful to Dr. Hassan Sadeghi for his availability and willingness to provide information about the tenure process at EPFL.

Appendices

Appendix 1: Initial general survey

The following is a copy of the email and questionnaire sent to the PATTs and Deans to assess current practices regarding annual and midterm reviews and mentoring

Dear xxx,

This survey is intended to accurately summarize the current practice for tenure evaluation and mentoring at EPFL. We have asked all PATTs to fill it out for their Faculty and are also seeking input from the person in charge of tenure at each Faculty. We will compile the data and put together a summary. This summary will be presented and discussed during the next PATT meeting (October) and will serve as the basis for PATT's recommendations for improving the overall tenure procedure.

Thank you for taking the time to fill this out.

Annual Review

An **Annual review** is defined by **three criteria**:

- (a) submission of a file summarizing the PATT's data is requested, is structured as a personal assessment and follows a recommended template;
- (b) the file is reviewed by the Dean and/or the institute director in concert with the Section Head (Teaching);
- (c) written feedback is provided to the PATT after the review.

If the annual review process in your faculty includes one or several of the above, please indicate that by inserting the corresponding letter(s) in the column entitled 'which criteria applied'.

Annual review	Which criteria applied?	Guide-lines? (Y/N)	Teaching evaluation? (Y/N)	Informal interview w/ Dean/Institute Director (Y/N)	Comments
Faculty					

Table 1: Current practice across Faculties at EPFL regarding the PATT annual review process.

Definitions of the column headings are:

Guidelines refer to specific written guidelines available to the PATT and to the evaluators stating the goal and scope of the annual review.

Teaching evaluation refers to whether a teaching evaluation, in the form of a written report or a documented interview with the section head, is included as part of the annual review process.

Informal interview with Dean/Institute director: Is such an informal meeting (that does not include criteria a, b or c) held in lieu of an annual review?

Midterm Review

A **Midterm review** is defined by **five criteria**:

- (a) submission of a full tenure file prepared following the EPFL tenure file template and summarizing the PATT's achievements to date;
- (b) the file is reviewed by the Faculty CPA or its equivalent, the Dean and/or the institute director in concert with the Section Head;
- (c) written feedback is provided to the PATT after the review process is completed;
- (d) takes place within year 4 of the PATT's employment;
- (e) peer review letters are obtained or an (or several) external expert(s) in the field is(are) involved in the review

If the midterm review process in your faculty includes one or several of the above, please indicate that by inserting the corresponding letter(s) in the column entitled 'which criteria applied'.

Midterm review	Which criteria applied?	Guide-lines? (Y/N)	Teaching evaluation? (Y/N)	Informal interview w/ Dean/Institute Director (Y/N)	Comments
CDM					

Table 2: Current practice across Faculties at EPFL regarding a PATT midterm review. Definitions of the column headings are:

Guidelines refer to specific written guidelines available to the PATT and to the evaluators stating the goal and scope of the midterm review.

Teaching evaluation refers to whether teaching evaluations are requested as part of the midterm review.

Informal interview with Dean/Institute director: Is such an informal meeting (that does not include criteria a, b, c, d or e) held in lieu of an annual review?

PATT Mentoring Program

A Mentoring program refers to a program (Faculty- or EPFL-wide) that is designed to provide the opportunity for mentoring to PATTs. This definition pertains to formal programs that are in place independently from whether a PATT requests a mentor or not.

Mentoring program	Exists? (Y/N)	Voluntary or obligatory	Guidelines? (Y/N)	Comments
Faculty				

Table 3: Current practice across Faculties at EPFL regarding PATT mentoring. Definitions of the column headings are:

Voluntary or obligatory: “Voluntary” refers to the fact that the PATT selects his/her mentor from a pool of available mentors and “obligatory” refers to the fact that the Dean or Institute Director appoints the mentor.

Guidelines refer to specific written guidelines available to the PATT and to the mentors stating the goal and scope of the mentoring activity.

The following responses were received from the Deans

	Written feedback	Oral feedback
ENAC	x	
FSV	x	
FSB		x
IC	x	
CDM	x	
STI		x

Annual Review: Feedback from the Dean and PATTs

Annual Review	Which Criteria applied?	Guide-lines? (Y/N)	Teaching evaluation? (Y/N)	Informal interview w/Dean/Institute Director (Y/N)	Comments
IC	a, b, c	Y	Y		<ul style="list-style-type: none"> IC follows the EPFL rules The PATT submits CV and teaching evaluations are requested and discussed in the promotion committee (which includes section directors). The dean has a meeting with the PATT, and written minutes are established and signed by the dean and the PATT
SB	N/A	N	N		<ul style="list-style-type: none"> SB - No annual reviews The dean holds an annual informal meeting with the PATTs. if PATTs desire to receive feedback on their progress, the dean is willing to arrange for this.
SV	None	N	N	informal	<ul style="list-style-type: none"> SV - No annual reviews The dean holds an annual informal meeting with the PATTs. Interviews with institute director and dean with oral feedback/recommendations.
ENAC	a, b, c	Y	Y	Y (both) Informal: to discuss the letter and recommendations given to the candidate.	<ul style="list-style-type: none"> ENAC follows the EPFL rules The PATT submits CV and teaching evaluations are requested and discussed with senior professors and the final recommendations serve as the basis of the report given to the PATT. The dean has a meeting with the PATT, and written minutes are established and signed by the dean and the institute director.
STI*		N		Y	<ul style="list-style-type: none"> Written feedback at the end on an interview is provided. (*Feedback form the coordinator of CPA-STI)
CDM	a, b, c	N	Y	N	<ul style="list-style-type: none"> Written feedback is provided to the PATT

Summary of the feedback received from the Dean's on current practices regarding annual and midterm reviews and mentoring

Mid-term Evaluation: Feedback from the Deans

Mid-Term Evaluation	Which Criteria applied?	Guide-lines? (Y/N)	Teaching evaluation? (Y/N)	Informal interview w/Dean/Institute Director (Y/N)	Comments
CDM	a, b, c, d	N	Y	Y (informal)	
ENAC	a, b, c, d	Y	Y	Y (Formal) Feedback is given immediately in the presence of the experts	<ul style="list-style-type: none"> External expert(s) participate in the evaluation the PATT makes a presentation to the ENAC CPA and outside experts
IC	N/A	N	N	N	<ul style="list-style-type: none"> IC does not conduct Mid-term Evaluation
STI	N/A	N	N	Y	<ul style="list-style-type: none"> STI conducts Mid-term Evaluation, at least two PATTs have gone through this process. No external experts.
SB	N/A	N	N	N	<ul style="list-style-type: none"> SB does not conduct Mid-term Evaluation
SV	a, b, c, d	Y	Y	Y	<ul style="list-style-type: none"> Ad hoc committee with two external experts. The PATT is consulted on the selection of the experts. The PATT makes a presentation to the adhoc committee and/or the advisory board of the institute.

The survey showed that there is currently no mentoring program at EPFL that includes written guidelines stating the goal and scope of the mentoring activity. The only mentoring program at EPFL is at FSB and is an obligatory mentoring in which a mentor is assigned to each PATT.

Appendix 2: Detailed Online Survey

a- Survey questions

About you

1. Please respond to the following questions

- a. Number of Ph.D. students you currently supervise
- b. Number of Ph.D. students you have graduated
- c. Number of post-docs you currently supervise
- d. Number of years you have been at EPFL
- e. Number of EPFL committees in which you are currently active
- f. Average number of teaching hours per year (which you fulfill personally)
- g. Number of children
- h. Percentage of time your spouse/domestic partner is employed
- i. Percentage of time you and your spouse/domestic partner receive help with household and family duties (besides daycare and/or school)
- j. Are you satisfied with access to daycare for your infant/toddler(s)? (Y/N)

Comments:

Overall view of EPFL

2. How satisfied or dissatisfied are you, in general, with the following subjects?	Very satisfied	Moderately satisfied	Slightly satisfied	Slightly dissatisfied	Moderately dissatisfied	Very dissatisfied	Not applicable
a. The position (i.e., PATT) you hold at EPFL							
b. The way your career is progressing							
c. Amount of intellectual and scientific exchange you experience at EPFL							
d. Amount of professional interaction with members of your Institute							
e. Amount of professional interaction with members of your Faculty ¹							
f. Availability of external funding for your research or creative efforts							
g. The quality of the work environment from a scientific point of view							
h. The quality of the work environment from a personal/social point of view							
i. Current salary							
j. Amount of money you are given for hiring secretaries and maximum percentage you are allowed to get.							

¹ Throughout this questionnaire, Faculty refers to one of the six Faculties: CDM, ENAC, IC, SB, STI, SV

The hiring process at EPFL

3. Please indicate how satisfied or dissatisfied you are regarding the hiring process you went through at EPFL	Very satisfied	Moderately satisfied	Slightly satisfied	Slightly dissatisfied	Moderately dissatisfied	Very dissatisfied	Not applicable
a. The overall hiring process							
b. The infrastructure the Faculty provided for me							
c. The effort faculty members in the Institute/Faculty made to integrate me							
d. The start-up package I obtained							
e. How clearly the expectations for a PATT at EPFL were described to me during the interview process and upon my start at EPFL							

About the tenure process

4. Indicate your agreement/disagreement with the following statements about your Institute/Faculty	Strongly agree	Moderately agree	Slightly agree	Slightly disagree	Moderately disagree	Strongly disagree	Not applicable
a. I receive adequate feedback on my progress towards tenure in the form of annual reviews							
b. I receive adequate feedback on my progress towards tenure in the form of a midterm review							
c. I understand the criteria for achieving tenure							
d. I receive reduced teaching or service responsibilities so that I can build my research program							
e. I am aware of assistance available to pre-tenure faculty (e.g., workshops, mentoring)							
f. I understand the role of the Dean in the tenure process							
g. I understand the role of the Faculty CPA in the tenure process							
h. I understand the role of the EPFL CPA in the tenure process							
i. Overall, I receive adequate information/help/support for the tenure process at EPFL							
j. The criteria for tenure are the same as when I started at EPFL							

5. What would you like to see implemented as part of the tenure process at EPFL? (select 'already in place' if this aspect is already implemented)	Strongly agree	Moderately agree	Slightly agree	Slightly disagree	Moderately disagree	Strongly disagree	Already in place
a. A clear definition of the role and expectations for PATT at EPFL							
b. A voluntary mentoring program							
c. A formal annual review ² on progress towards tenure							
d. An informal annual review ³ on progress towards tenure							
e. A formal midterm tenure review that includes input from external expert(s)							
f. Guidance on the content and structure of a good tenure file							
g. Knowledge of the relative importance of the criteria applied to evaluate the tenure file							
h. Indication of the strategic importance of your research in your Faculty							
i. Mandatory full-length teaching evaluations at least once during the tenure process							
j. Other (please specify):							

² A formal annual review is defined here as including submission of a file, review by the Dean and/or institute director and section head and written feedback.

³ An informal annual review is defined here as a meeting with the Dean with no written record.

Metrics of excellence

6. In your opinion, what are the most reliable and informative indicators of excellence in your area of research?	Critical	Very important	Important	Moderately important	Not important	Irrelevant
<p>Funding</p> <ul style="list-style-type: none"> › Total Swiss Franc amount of external grants (PI or co-PI) › ERC starting grant › Number of Industrial contracts <p>Publications</p> <ul style="list-style-type: none"> › Number of articles published in refereed academic or professional journals › Quality of the publications in academic or professional journals › Number of books edited › Number of book chapters › Number of citations of your work › Number of patents › H index <p>External measures of esteem</p> <ul style="list-style-type: none"> › Number of external (non EPFL) Ph.D. exam committees › Number of invited talks at international meetings › Ranking relative to peer group <p>Prizes/awards won</p> <ul style="list-style-type: none"> › Training and Teaching › Number of Ph.D. students graduated › Number of M.S. students › Number of post-docs supervised › Success of students and post-docs trained <p>Number of EPFL Ph.D. exam committees</p> <ul style="list-style-type: none"> › Teaching performance › Teaching load <p>Service</p> <ul style="list-style-type: none"> › Service on EPFL committees › International symposia or conferences organized › Service to the research field (e.g., reviewership, editorship) <p>Other (please specify): _____</p>						

Mentoring

7. In the chart below, please indicate the areas for which you would seek a mentor and how much mentorship you are currently receiving in each area.

Part 1	Input you seek from a mentor? (Y/N)	Are you currently receiving?			
		None	Some	Too much	Don't know
Serves as a role model					
Promotion of my career through networking					
Advice about preparation for advancement (e.g., promotion, leadership positions)					
Advice about getting my work published					
Advice about Faculty/EPFL politics					
Advice about obtaining the resources I need at EPFL					
Advocates for me					
Advice about teaching					
Advice about obtaining external funding					
Advice about award nominations					
Advice about balancing work and family					

Other
(please specify):

Part 2

Is there anyone at EPFL whom you currently regard as a mentor and someone who gives advice and counsel on career issues and/or sponsors or advocates for you?	Yes	No
What fraction of your mentoring needs do you feel are being met by this person?	%	

Part 3

What type of mentoring system would you like to see implemented?	Yes	No
a. Informal mentoring		
b. One-to-one mentoring		
c. Cluster mentoring		
d. Unit oversight mentoring		
e. Network mentoring		

Teaching

8. Please indicate how much you agree or disagree with each of the following statements about teaching at EPFL	Strongly agree	Moderately agree	Slightly agree	Slightly disagree	Moderately disagree	Strongly disagree	Not applicable
a. Teaching is prioritized							
b. Teaching is valued by my Faculty							
c. I receive adequate feedback on my teaching							
d. I am satisfied with the level of the Bachelor's and Master's students I teach							
e. The Ph.D. students I attract are very good							
f. The process by which classes are assigned to professors is clear and transparent							
g. My teaching load is adequate							
h. I have sufficient teaching support (e.g., TAs)							
i. I am satisfied with the quality of the teaching support I receive							

Five Approaches to Faculty Mentoring¹

Informal mentoring		
Description		Benefits and issues
Mentoring system	Implementation and practices	
<p>Definition</p> <ul style="list-style-type: none"> › Informal mentoring arising spontaneously, as individuals interact during normal professional activities. <p>Assumptions</p> <ul style="list-style-type: none"> › Formalized mentoring may be detrimental as it adds to faculty workloads. › Natural interactions allow junior faculty to seek out advice in accord with their individual needs. › The department is available as the definitive source of information, opportunities and resources. 	<ul style="list-style-type: none"> › Mentors are not formally assigned. Instead, mentoring arises as people interact during: <ul style="list-style-type: none"> › Committee meetings › Collaborations in research or teaching › Casual encounters: lunches, coffees, hallway conversations, and social gatherings. › Ad hoc meetings are initiated by senior or junior faculty (open-door policy). <p>Junior faculty are the usual initiators</p> <ul style="list-style-type: none"> › Junior faculty solicit advice from senior faculty that they select. › Junior faculty develop their own interaction networks. › Junior faculty interact with one another, for peer support and networking. › Junior faculty seek information and advice from Department sources. 	<p>Benefits</p> <ul style="list-style-type: none"> › Mentoring relationships are not imposed; instead, they develop naturally. › Faculty become self-sufficient and interact without suffering from imposed formal arrangements. › Mentoring strategies are flexible and thus are adaptable to each department. <p>Issues</p> <ul style="list-style-type: none"> › The onus is largely on junior faculty to seek mentoring. › Junior faculty may be reluctant to seek out senior colleagues. › Junior faculty may not know their needs, be able to articulate their needs, or understand what resources are available to address their needs. › Senior faculty may not view mentoring activity as an important component of their work or the department's mission. › Interactions may not develop naturally. › The unique needs of special faculty groups may be overlooked.

¹ Source: Faculty mentoring study by the University of Michigan
http://www.provost.umich.edu/reports/faculty_mentoring_study/appendix_b.html

One-on-one Mentoring

Description

Benefits and issues

Mentoring system

Implementation and practices

Definition

- › In this system, mentoring is formally established as a one-on-one relationship between junior and senior faculty. Terms are variable and may include:
 - › Long-term commitments
 - › One-year terms
 - › Rotating assignments changed at regular intervals
 - › The mentoring may incorporate individual or departmental reviews.

Assumptions

- › The administration is committed to mentoring.
- › A single mentor can best satisfy the needs of junior faculty.
- › Senior faculty have the knowledge needed to serve as mentors.
- › Junior faculty benefit from interactions with someone familiar with their work.
- › Faculty have sufficient time to foster meaningful mentoring relationships.
- › Mentors and mentees can find areas of compatibility.
- › Both junior and senior faculty benefit from mentoring relationships.

Ways of assigning mentors

- › Formally assigned based on research interests.
- › Junior faculty selects mentor.
- › Senior faculty selects mentee.

Activities

- › Meetings are regular and periodic.
- › Issues are defined jointly or arise from either the mentee or the mentor.
- › Junior faculty needs, timeframe, and expectations are discussed formally.
- › Research and publications are discussed formally.
- › The mentor oversees progress towards tenure.
- › The mentor aids networking in the research field.
- › The mentor facilitates participation in professional activities, grant writing, and reviewing. The mentor and mentee may collaborate in research and teaching.

Benefits

- › This system can lead to long-term professional relationships and friendships.
- › Junior faculty may gain an ally and advocate.
- › Senior faculty may become reenergized or more invested in the department.

Issues

- › Dyads may be incompatible.
- › Changing partners can be awkward.
- › One mentor may not satisfy all needs.
- › Time constraints may prevent regular interactions.
- › Senior faculty may lack incentives to invest time in mentoring.
- › Departments may have too few mentors who are knowledgeable and willing to serve.
- › Competitiveness may hinder good mentoring.
- › Interdisciplinary appointments can complicate mentoring arrangements.

Unit oversight mentoring

Description

Benefits and issues

Mentoring system

Implementation and practices

Definition

- › In oversight mentoring, the chair (or unit director), perhaps in consultation with a committee, mentors junior faculty and monitors their progress.
- › Mentoring focuses on tenure and promotion.
- › Existing tenure and promotion criteria provide specific guidelines.

Assumptions

- › Administrative leadership symbolizes departmental interest in junior faculty development.
- › Focusing on tenure and promotion is the most appropriate framework for mentoring.
- › The chair is the most appropriate individual to mentor.
- › The chair is the most accurate and relevant source of information for mentoring.
- › Junior faculty benefit from ongoing interactions with the chair.
- › Junior faculty can access campus resources as needed.

Ways of assigning mentor

- › The mentor is the unit chair.
- › The chair may mentor in conjunction with a standing or ad hoc committee.

Activities

- › Meetings are regular and periodic.
- › Research and publications are discussed.
- › The chair and mentee jointly define junior faculty needs, timeframe, and expectations.
- › The chair oversees progress towards tenure, grant writing and teaching.
- › The chair aids networking in the field and facilitates participation in professional activities.
- › The chair may provide assistance with personal concerns such as balancing work and family obligations.
- › The chair serves as the gateway for unit, school/college, and university resources.

Benefits

- › Chairs are actively engaged in junior faculty development.
- › Junior faculty receive feedback and information pertinent to their own unit.
- › The emphasis on tenure and promotion keeps the mentee focused on activities that support professional development.

Issues

- › Linking mentoring to tenure and promotion could marginalize unassociated career development activities.
- › Chairs may have a heavy burden if they are wholly responsible for the professional guidance of all junior faculty members.
- › Other issues, such as personal concerns, may be ignored.

Cluster mentoring

Description

Benefits and issues

Mentoring system

Implementation and practices

Definition

- › In this system, a group of senior faculty is formally assigned to each junior faculty member, to give advice on both personal and professional concerns.
- › Mentees may meet with the entire committee, or with individuals.

Assumptions

- › The administration is committed to mentoring.
- › Senior faculty are preferred as mentors.
- › Senior faculty may lack sufficient time to foster meaningful one-on-one interactions.
- › No single individual possesses all the knowledge necessary for mentoring.
- › Junior faculty need to receive multiple perspectives.
- › Both junior and senior faculty benefit from mentoring relationships.
- › Personal concerns can have an impact on professional development and are thus a valid issue for mentoring.

Implementation

- › The composition of the group may reflect the diverse needs of mentees.
- › Committee members may be chosen based on research and teaching interests or other relevant experience.
- › Assignments may be made yearly.
- › Committees and junior faculty may be reviewed periodically.

Activities

- › Meetings are regular and periodic.
- › Meetings jointly define junior faculty needs, timeframe, and expectations.
- › Research and publications are discussed.
- › The committee oversees progress towards tenure.
- › Committee members aid networking in the field and facilitate participation in professional activities.
- › The mentors and mentee may collaborate in research and teaching.
- › The committee addresses personal concerns such as balancing work and family obligations.
- › The group serves as the gateway for unit, school/college, and university resources.

Benefits

- › Junior faculty can access the knowledge and resources of several senior faculty.
- › The aggregate strengths and knowledge of several senior mentors provides a more holistic experience.
- › Having multiple potential mentors makes it easier to schedule a one-on-one meeting with a mentor.
- › If rapport is not established with one mentor, others are readily available.
- › Group dynamics facilitate interactions that may enhance research and teaching of all committee members.

Issues

- › Senior faculty members may not interact well with one another.
- › Conflicting advice may obscure what is important and confuse mentees.
- › Oversight is needed to resolve conflicting advice.

Network mentoring

Description

Benefits and issues

Mentoring system

Implementation and practices

Definition

- › In network mentoring, the culture supports continuous mentoring, so that people within the unit serve as mutual resources for one another.
- › This system blends administrative leadership, departmental involvement, and junior faculty initiative.
- › This system is not an explicit mentoring program; instead, mentoring arises through ongoing academic work.

Assumptions

- › Junior faculty mentoring is a unit responsibility.
- › No one individual possesses all the knowledge needed for mentoring.
- › Senior faculty may have insufficient time to foster meaningful mentoring relationships on their own.
- › Junior faculty are expected to take advantage of resources that are available.
- › Senior faculty and administrators are expected to readily assist junior faculty.

Implementation

- › A collaborative system arises through normal departmental activities.
- › Junior and senior faculty work together on projects, committee work, and in professional societies.
- › Structures can be flexible:
- › Particular faculty may be responsible for providing particular types of information.
- › An open-door policy can facilitate junior faculty willingness to seek advice.
- › Senior faculty can periodically check up on the progress of junior colleagues.
- › Chairs and directors can oversee junior faculty progress.

Relationships

- › Interactions can range from traditional dyads to collaborative partnerships with multiple colleagues.
- › This system also promotes peer support and interactions among junior faculty.
- › This system seeks to build a culture that incorporates mentoring into natural departmental functions.

Benefits

- › Mentoring becomes viewed as a collective responsibility.
- › This system fosters greater collegiality among all members.
- › Junior faculty become socialized to embrace collegial development and to serve in turn as mentors.
- › Junior faculty receive multiple perspectives on professional issues, rather than relying on a single individual or group for guidance.
- › All faculty make connections across a broader spectrum of professional interests.

Issues

- › Junior faculty must be willing to initiate contact.
- › Senior faculty and administrators must be committed to continually participate in mentoring.
- › Senior faculty commitment may be hampered by a lack of incentives.
- › Responsibility for tracking progress of junior faculty may become too diffused.

b- Summary of results

About you

1. Please respond to the following questions

a. Number of Ph.D. students you currently supervise

b. Number of Ph.D. students you have graduated

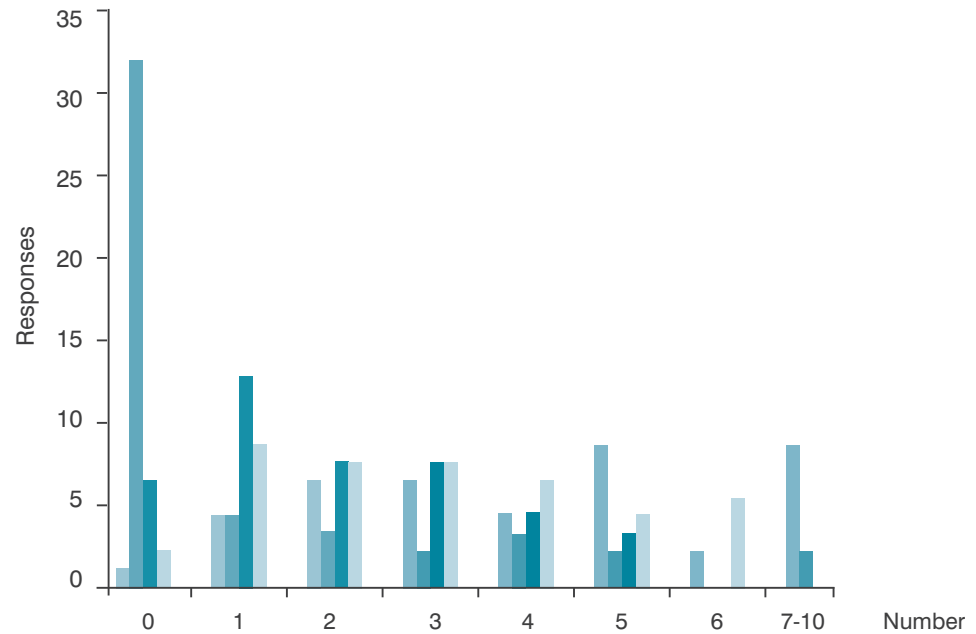
c. Number of post-docs you currently supervise

d. Number of years you have been at EPFL

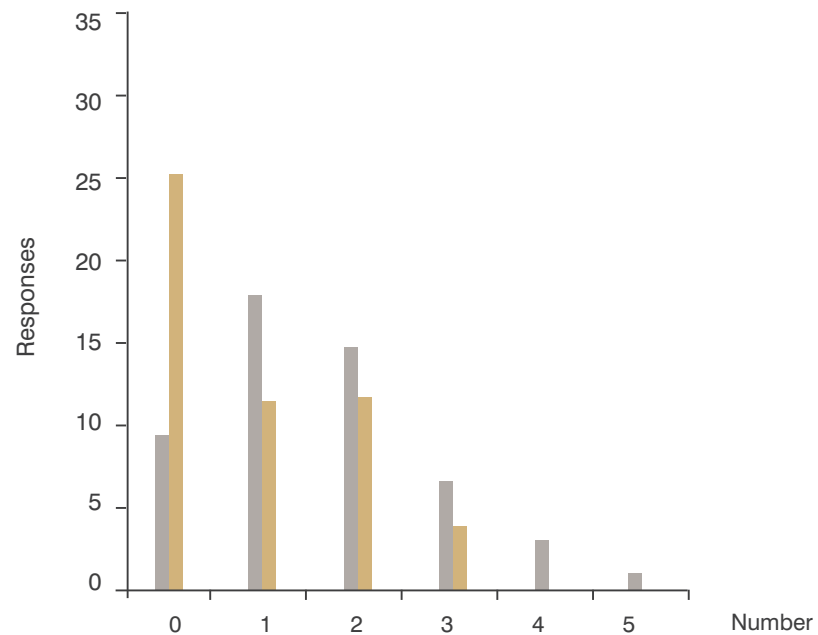
e. Number of EPFL committees in which you are currently active

g. Number of children

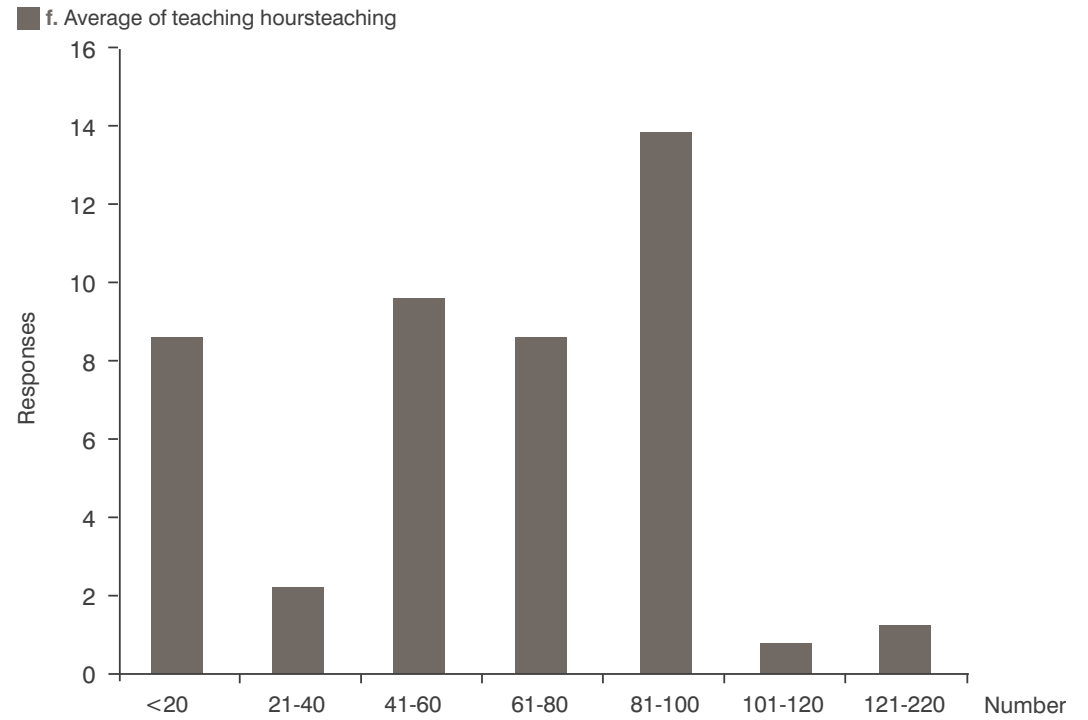
■ a. Number of PhD students ■ b. Number of PhD students Graduated
 ■ c. Number of Post-docs ■ d. Number of years at EPFL



■ e. Number of EPFL Committees ■ g. Number of Children

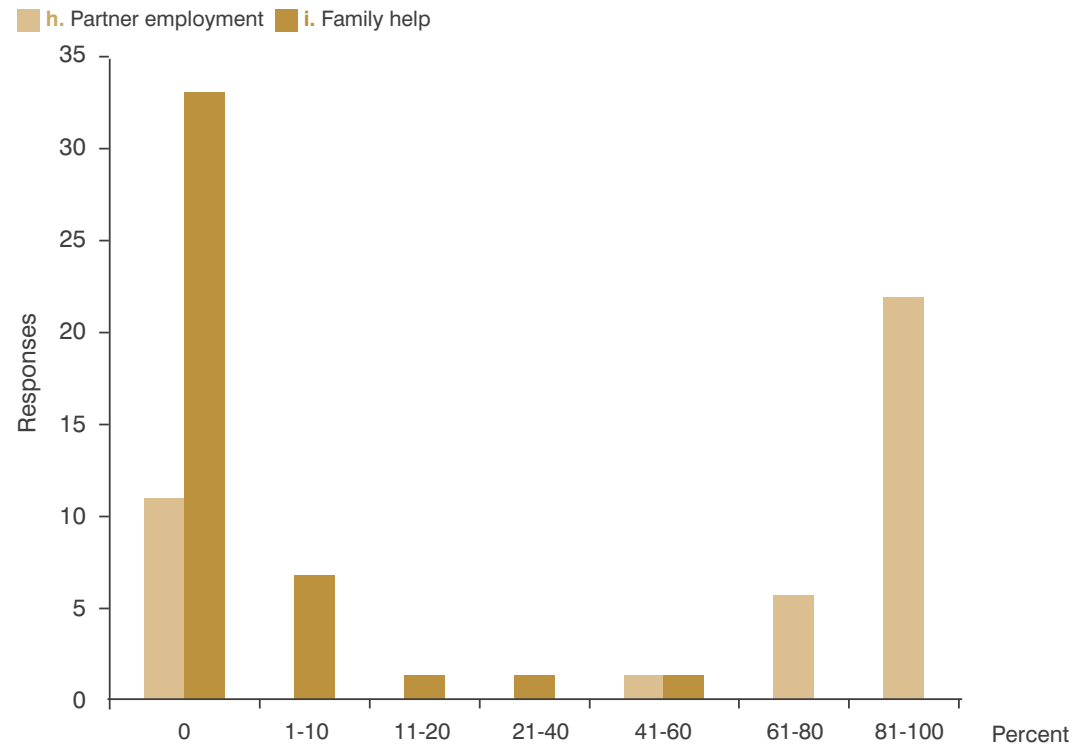


f. Average number of teaching hours per year (which you fulfill personally)

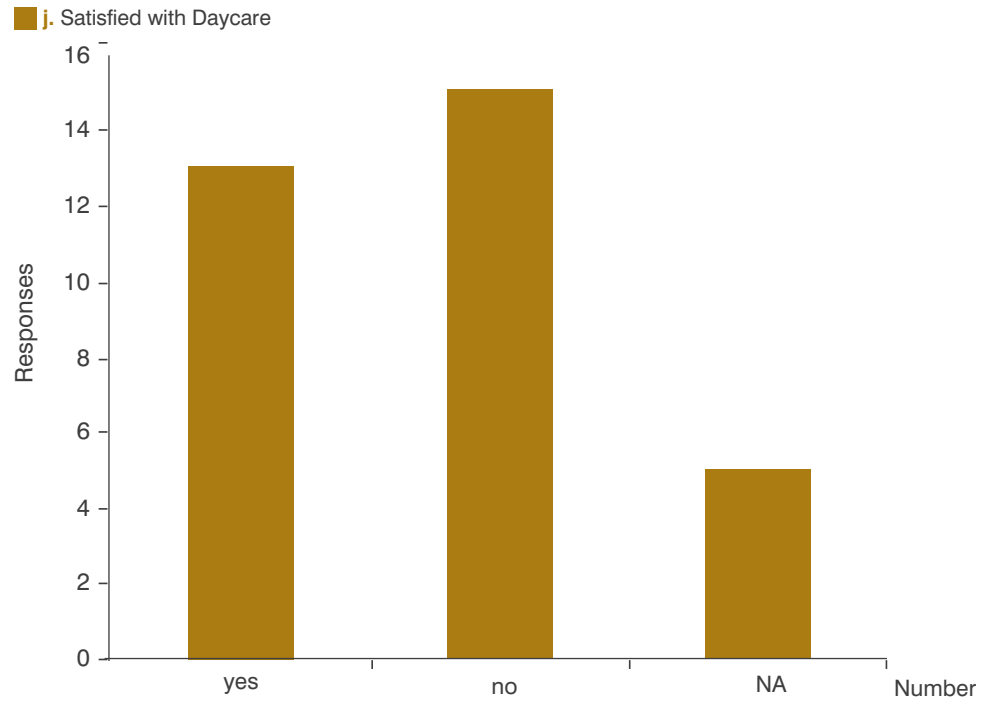


h. Percentage of time your spouse/domestic partner is employed

i. Percentage of time you and your spouse/domestic partner receive help with household and family duties (besides daycare and/or school)



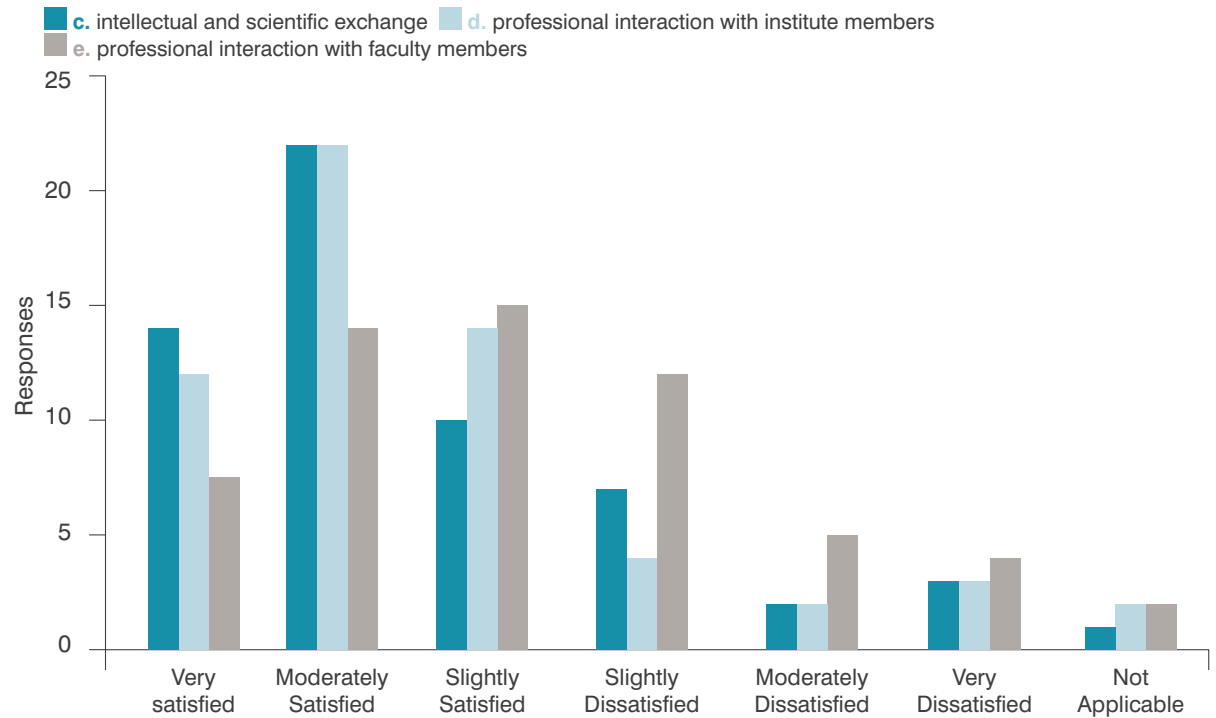
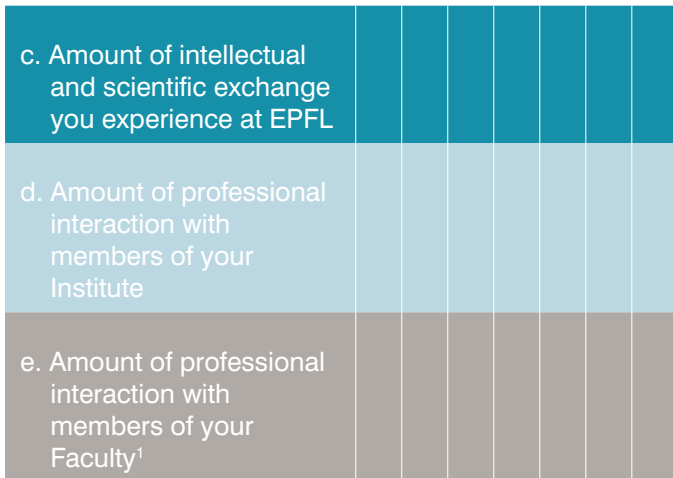
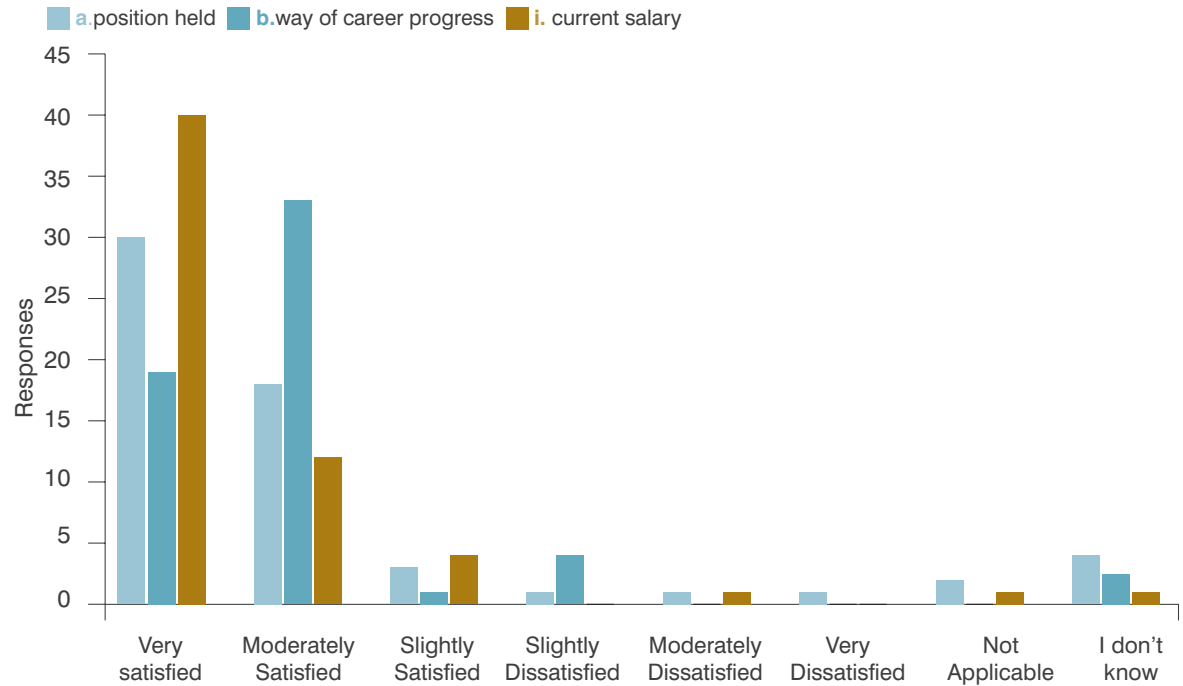
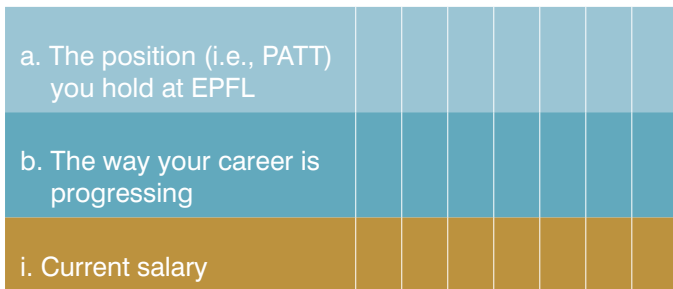
j. Are you satisfied with access to daycare for your infant/toddler(s)? (Y/N)



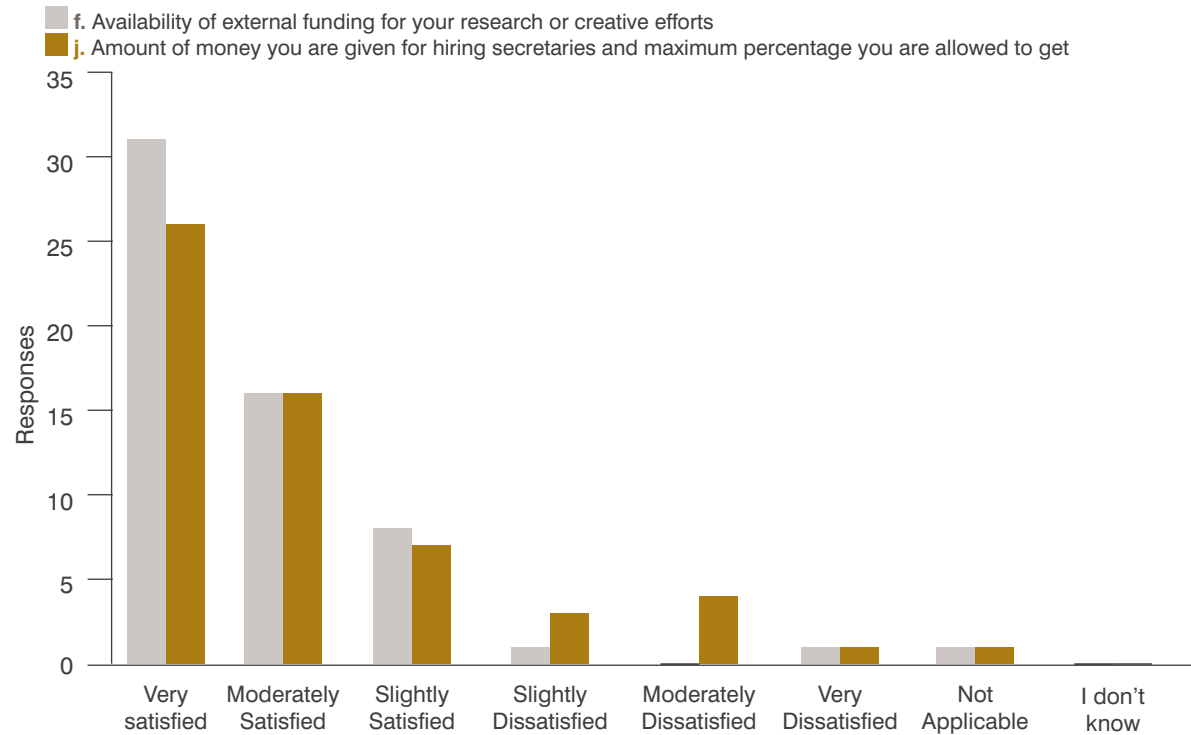
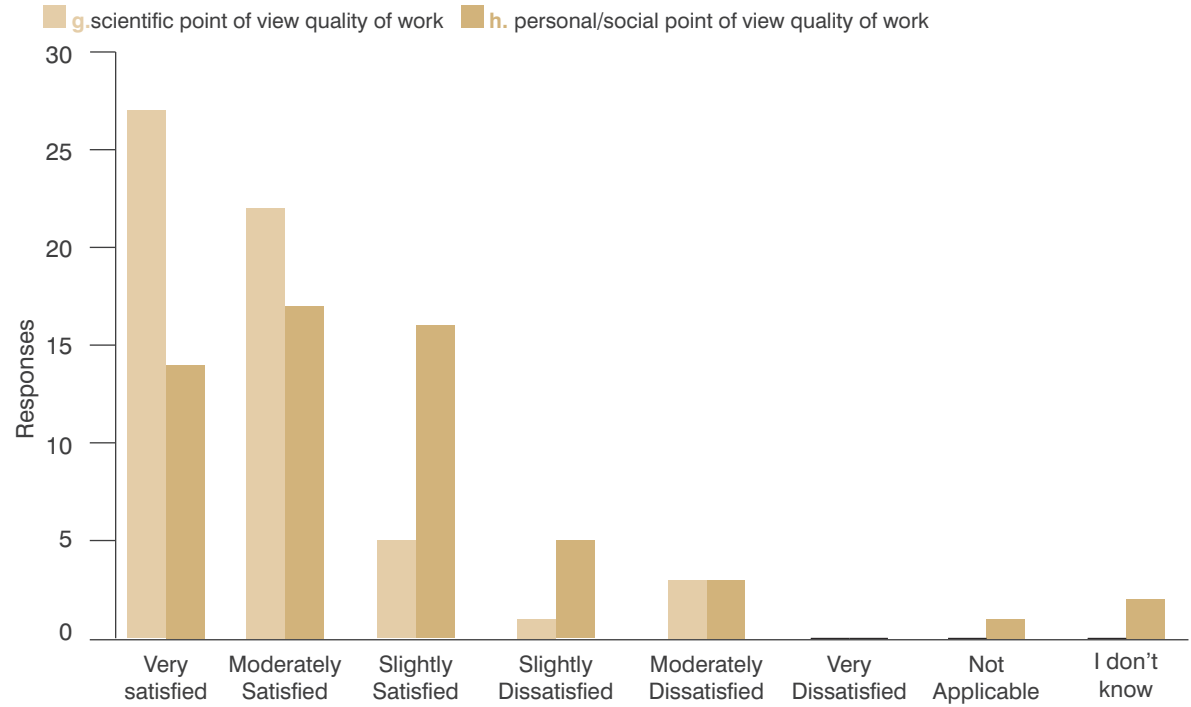
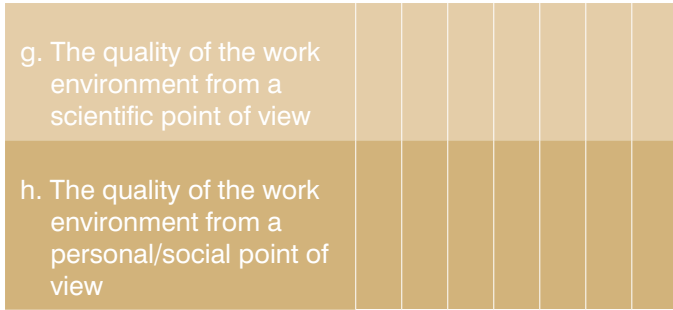
Overall view of EPFL

2. How satisfied or dissatisfied are you, in general, with the following subjects?

Very satisfied
Moderately satisfied
Slightly satisfied
Slightly dissatisfied
Moderately dissatisfied
Very dissatisfied
Not applicable



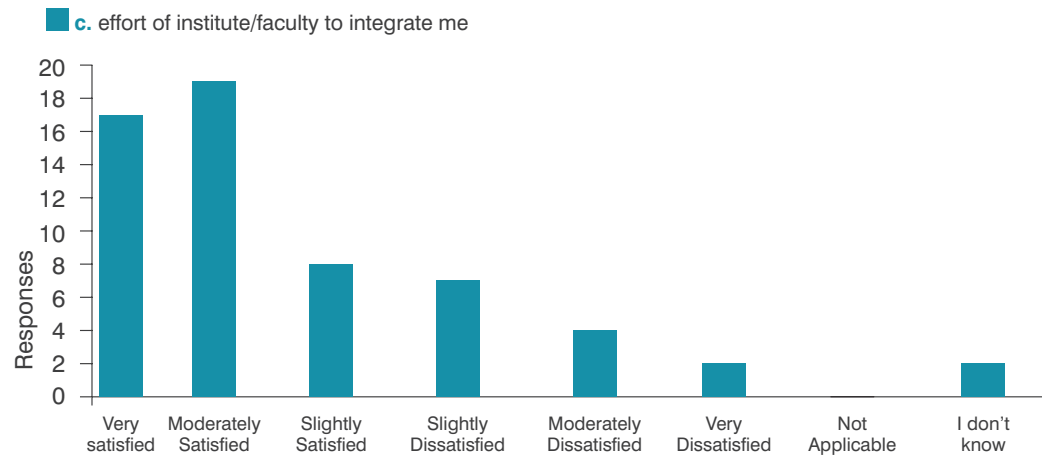
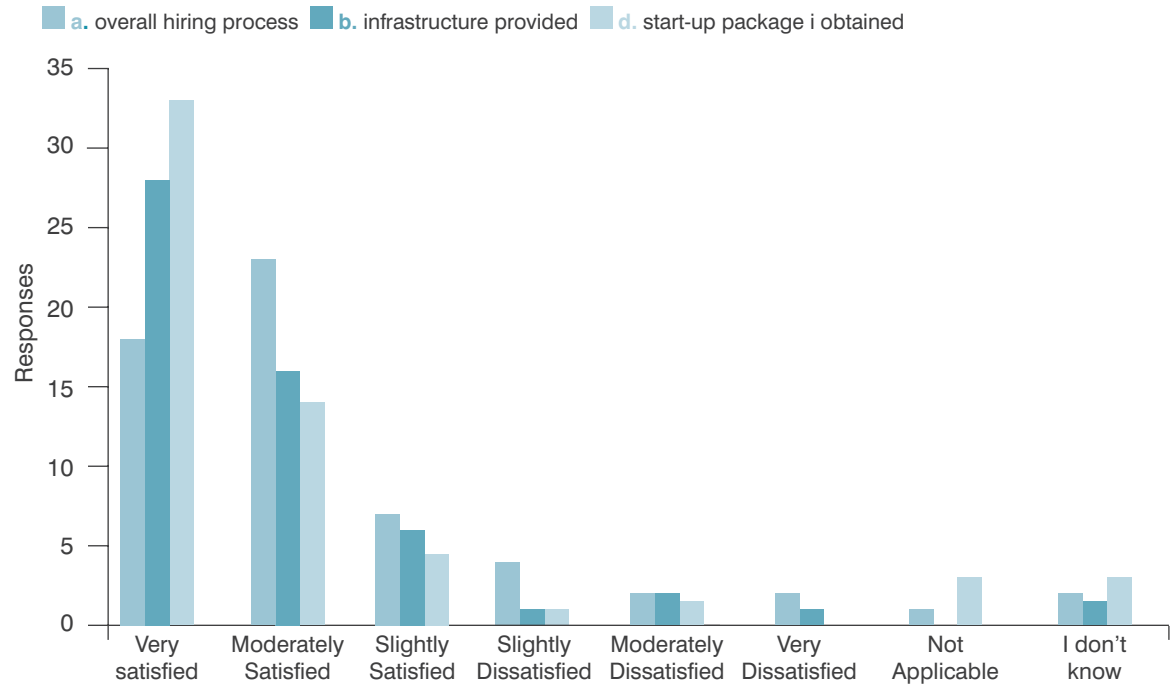
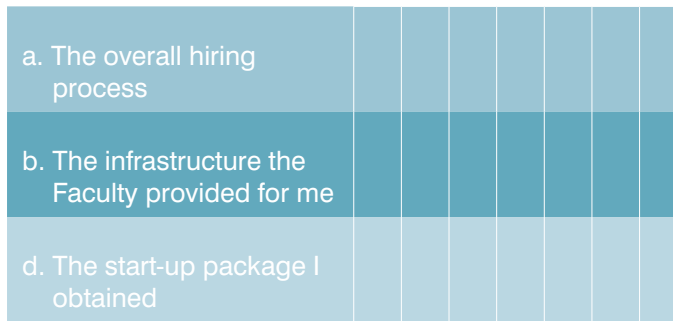
¹ Throughout this questionnaire, Faculty refers to one of the six Faculties: CDM, ENAC, IC, SB, STI, SV



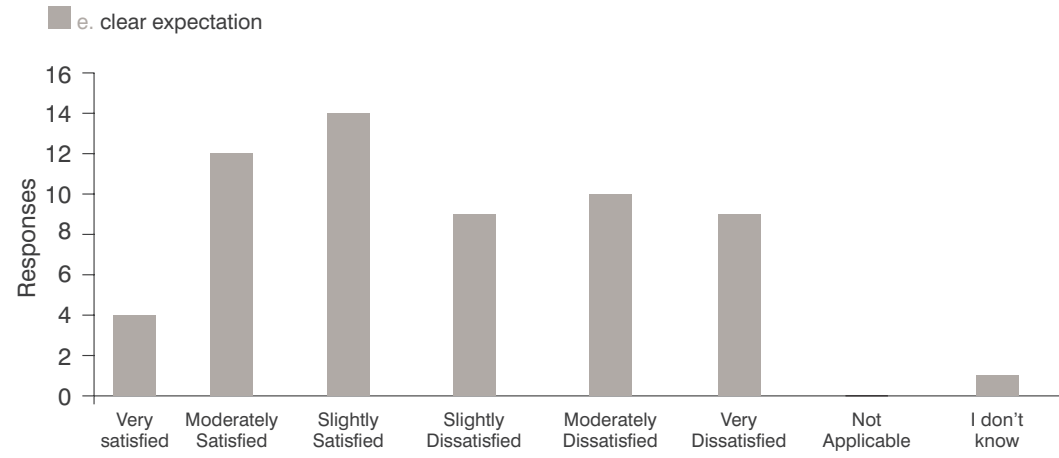
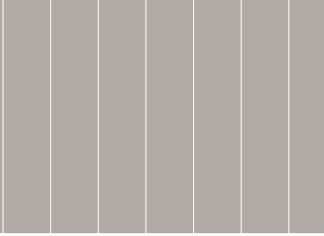
The hiring process at EPFL

3. Please indicate how satisfied or dissatisfied you are regarding the hiring process you went through at EPFL

Very satisfied
Moderately satisfied
Slightly satisfied
Slightly dissatisfied
Moderately dissatisfied
Very dissatisfied
Not applicable



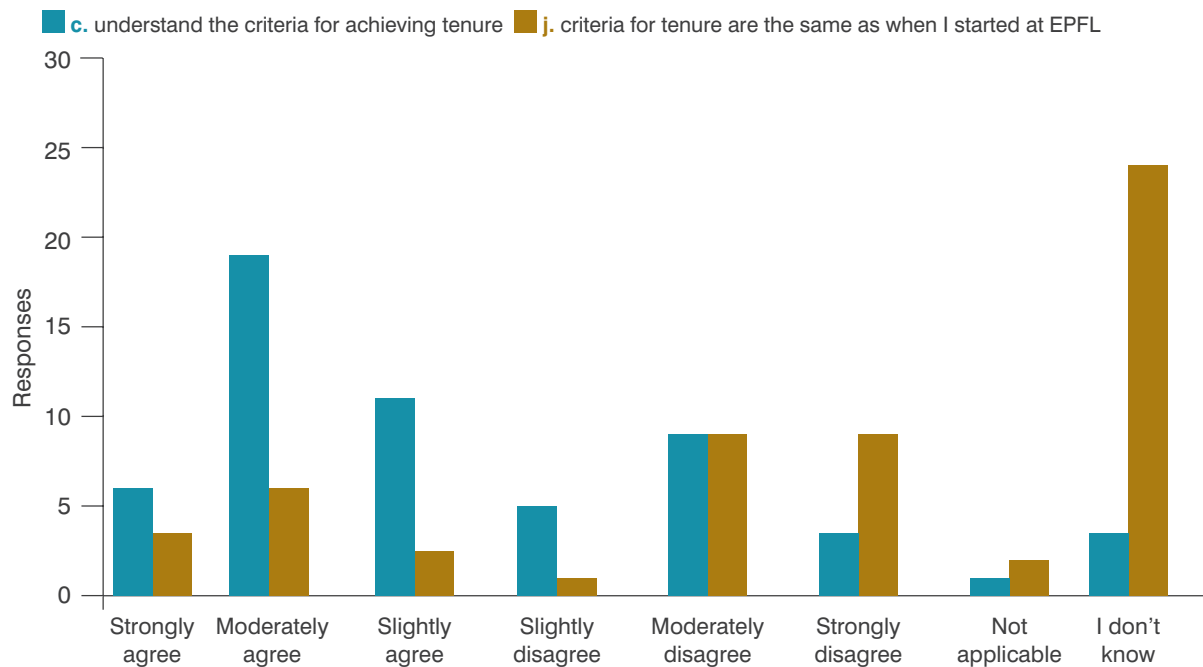
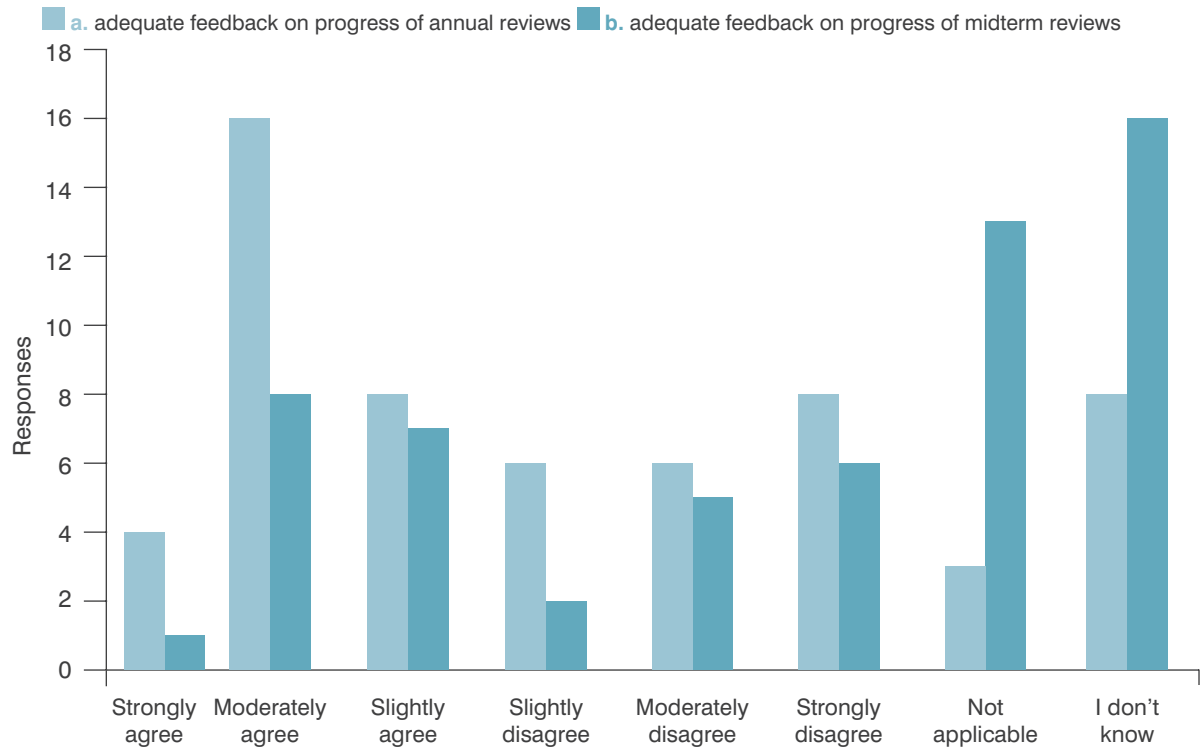
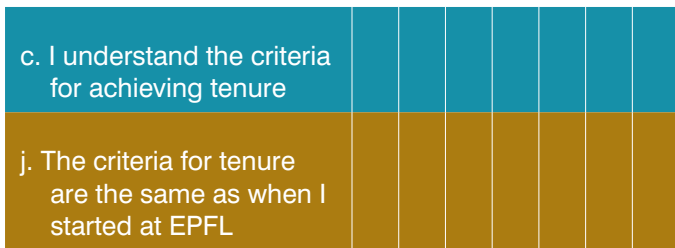
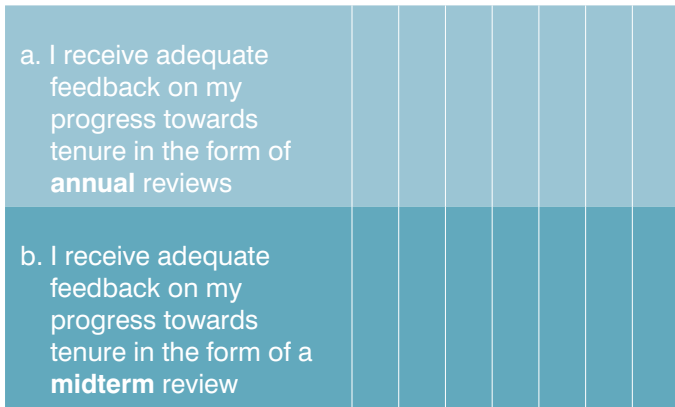
e. How clearly the expectations for a PATT at EPFL were described to me during the interview process and upon my start at EPFL

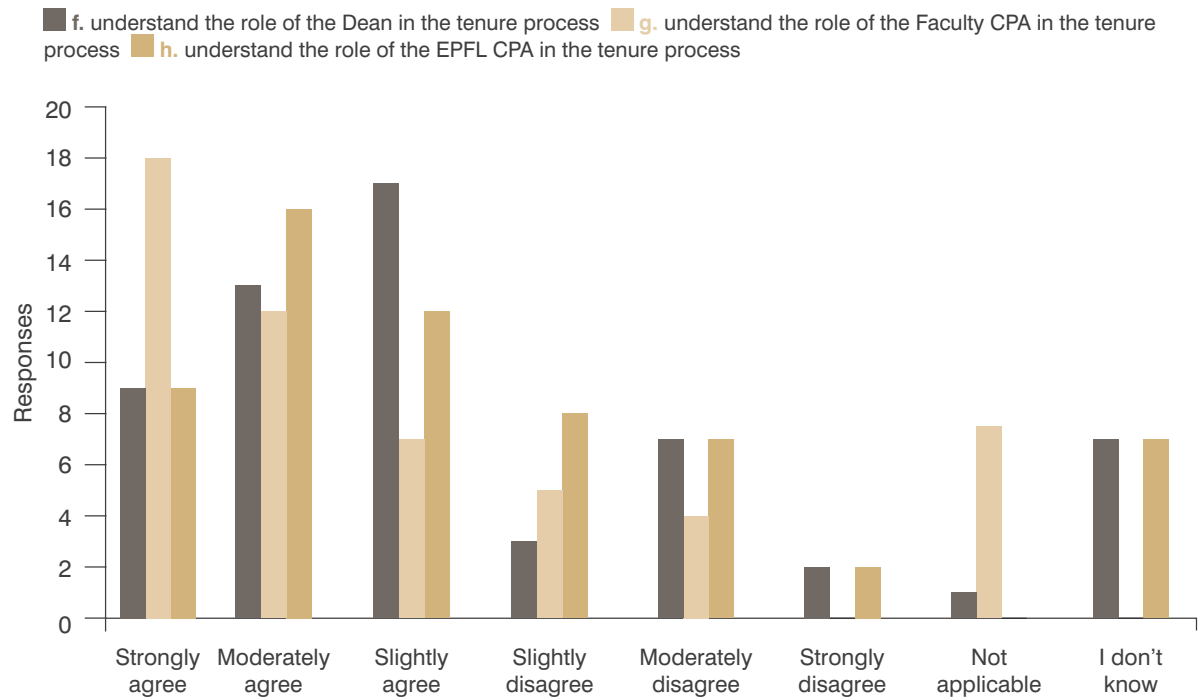
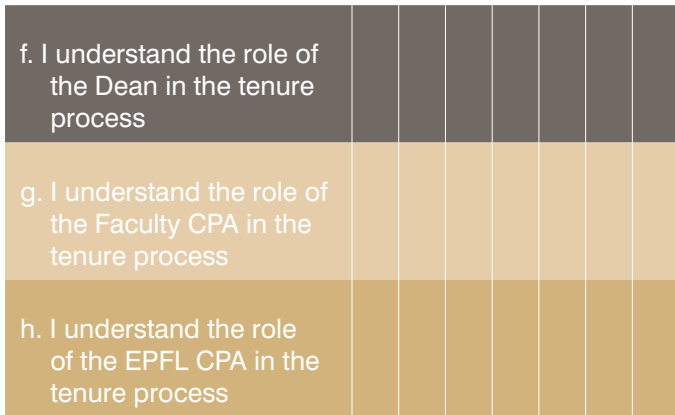
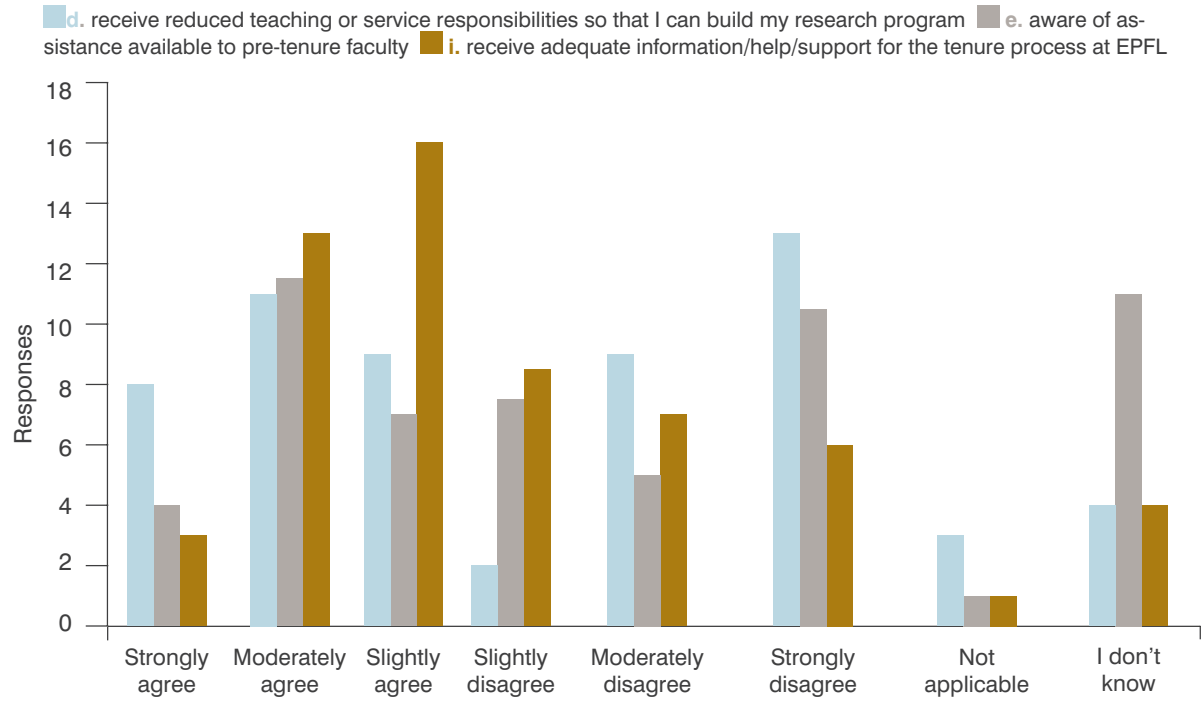
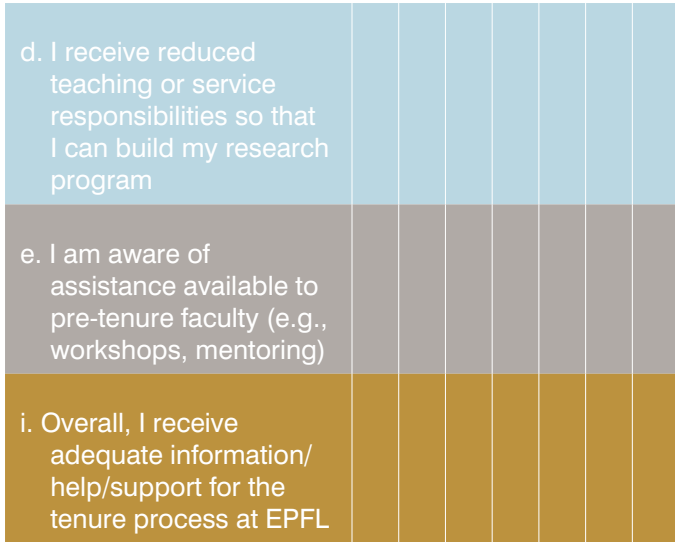


About the tenure process

4. Indicate your agreement/disagreement with the following statements about your Institute/Faculty

Strongly agree
Moderately agree
Slightly agree
Slightly disagree
Moderately disagree
Strongly disagree
Not applicable





5. What would you like to see implemented as part of the tenure process at EPFL? (select 'already in place' if this aspect is already implemented)

Strongly agree
Moderately agree
Slightly agree
Slightly disagree
Moderately disagree
Strongly disagree
Already in place

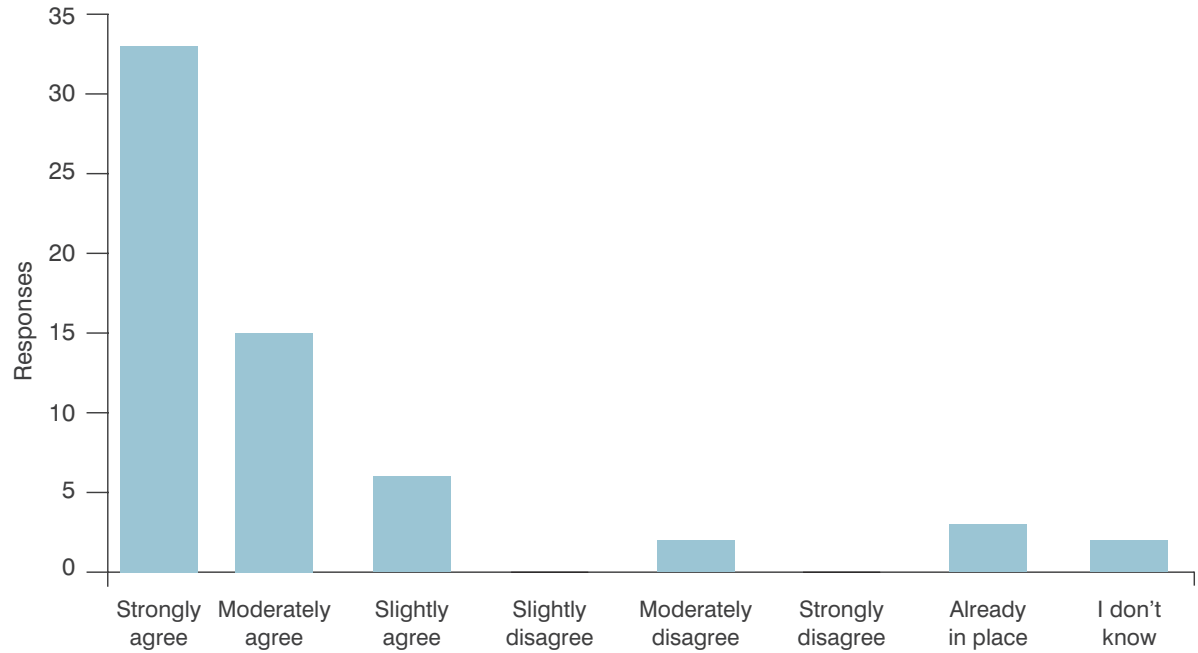
a. A clear definition of the role and expectations for PATT at EPFL



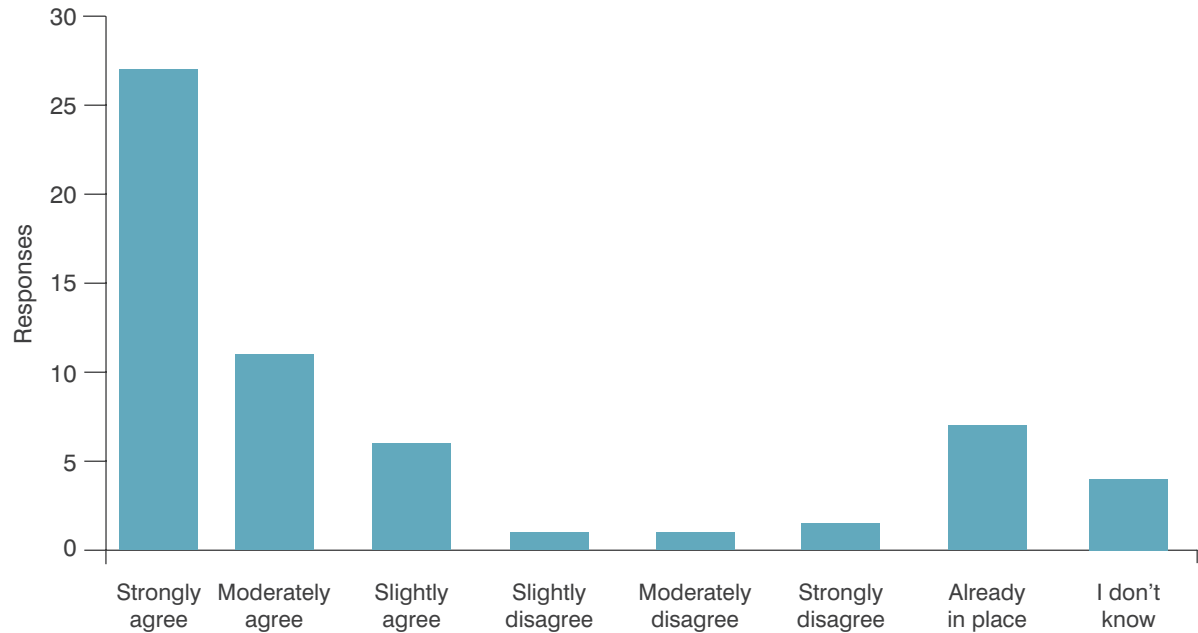
b. A voluntary mentoring program

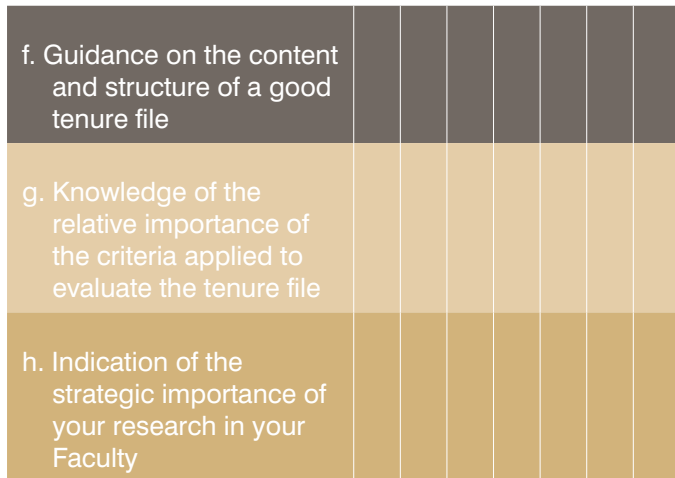
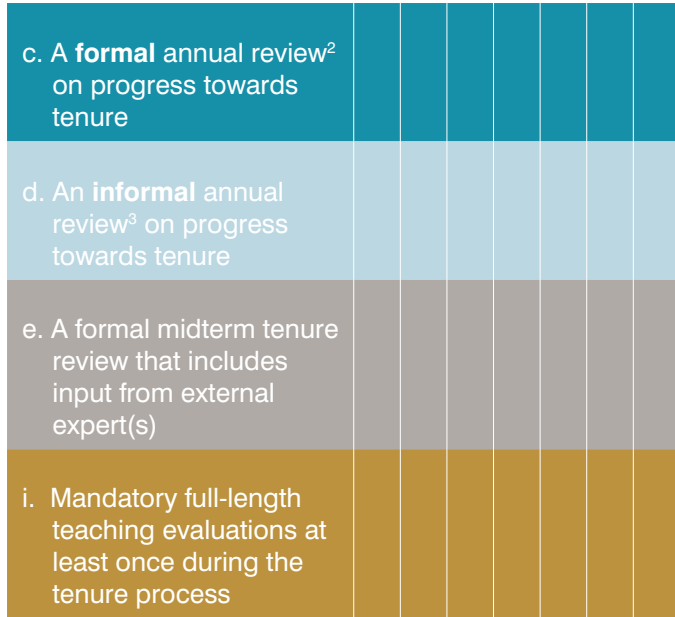


a. clear definition of the role and expectations for PATT at EPFL



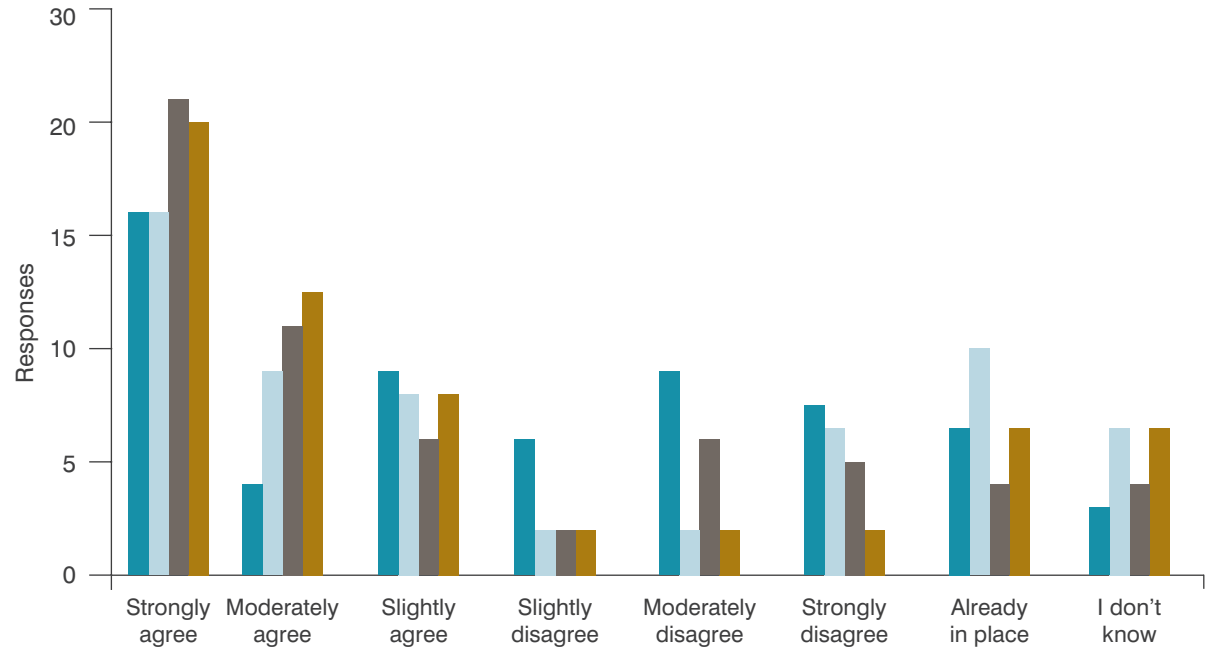
b. voluntary mentoring program



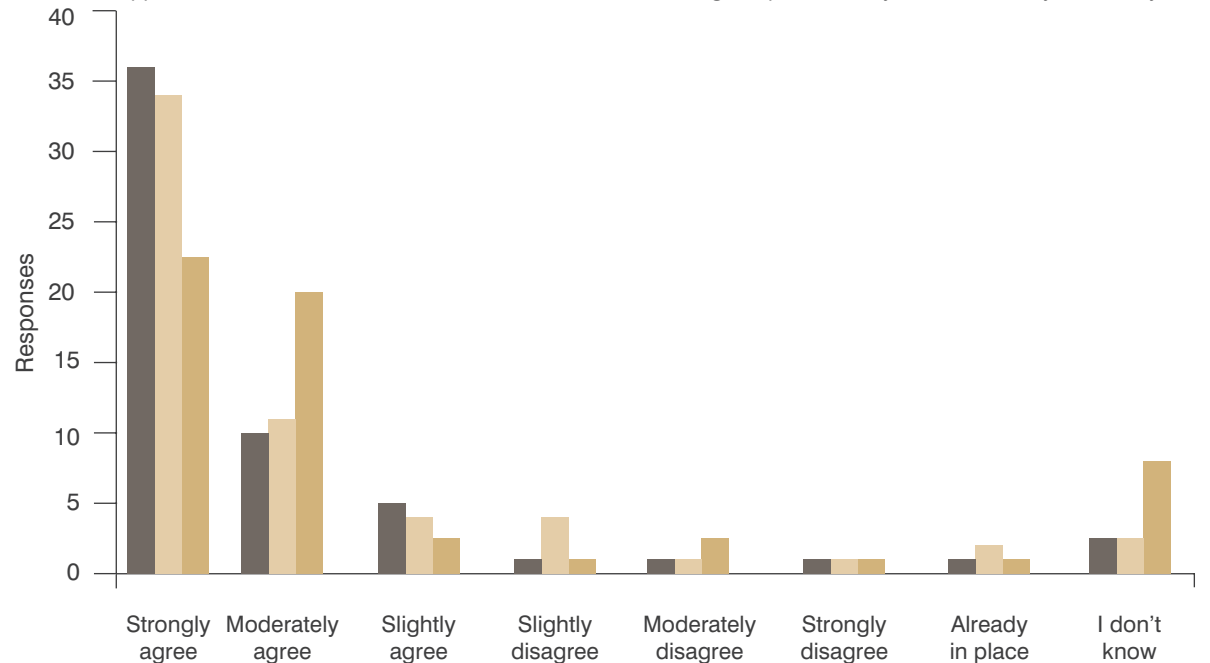


2 A formal annual review is defined here as including submission of a file, review by the Dean and/or institute director and section head and written feedback.
 3 An informal annual review is defined here as a meeting with the Dean with no written record.

c. formal annual review on progress towards tenure d. An informal annual review³ on progress towards tenure
 e. formal midterm tenure review that includes input from external expert i. Mandatory full-length teaching evaluations at least once during the tenure process

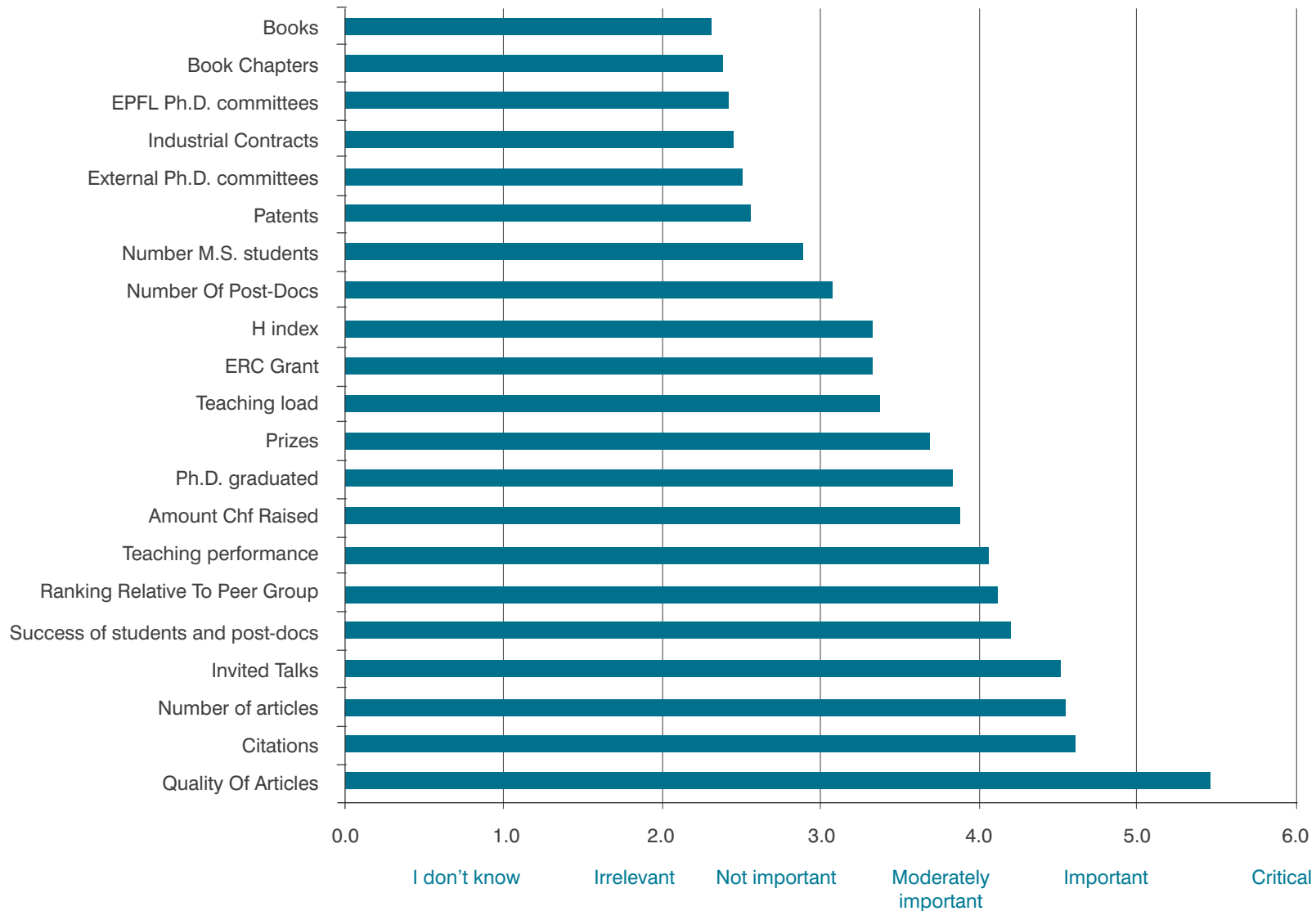


f. Guidance on the content and structure of a good tenure file g. Knowledge of the relative importance of the criteria applied to evaluate the tenure file
 h. Indication of the strategic importance of your research in your Faculty



Metrics of excellence

6. In your opinion, what are the most reliable and informative indicators of excellence in your area of research?



Mentoring

7. Please indicate the areas for which you would seek a mentor and how much mentorship you are currently receiving in each area.

What input would you seek from a mentor? **Yes** **No**

Serves as a role model

Promotion of my career through networking

Advice about preparation for advancement (e.g., promotion, leadership positions)

Advice about getting my work published

Advice about Faculty/EPFL politics

Advice about obtaining the resources I need at EPFL

Advocates for me

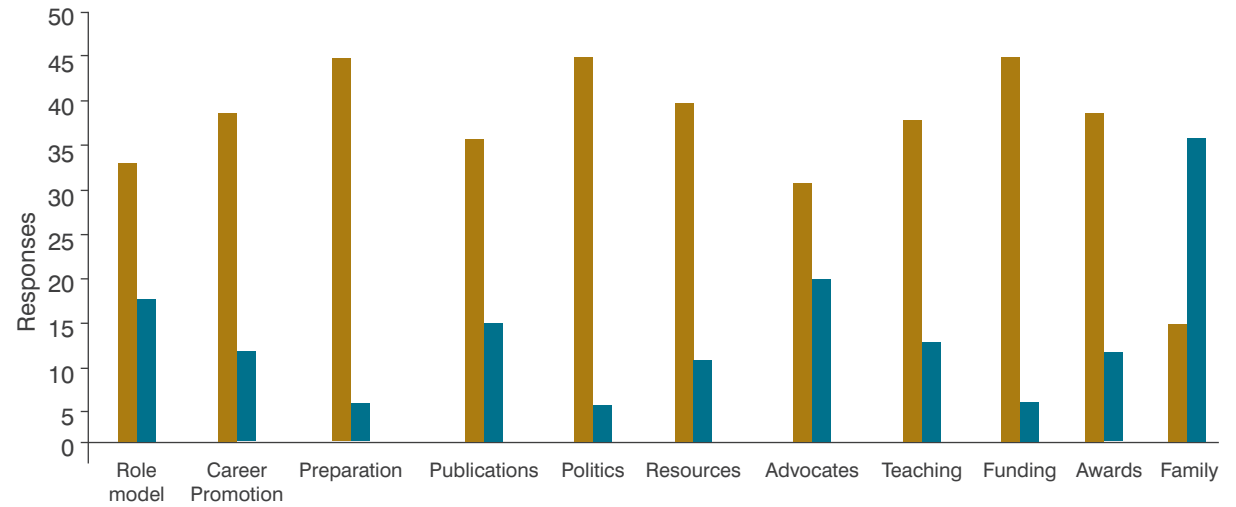
Advice about teaching

Advice about obtaining external funding

Advice about award nominations

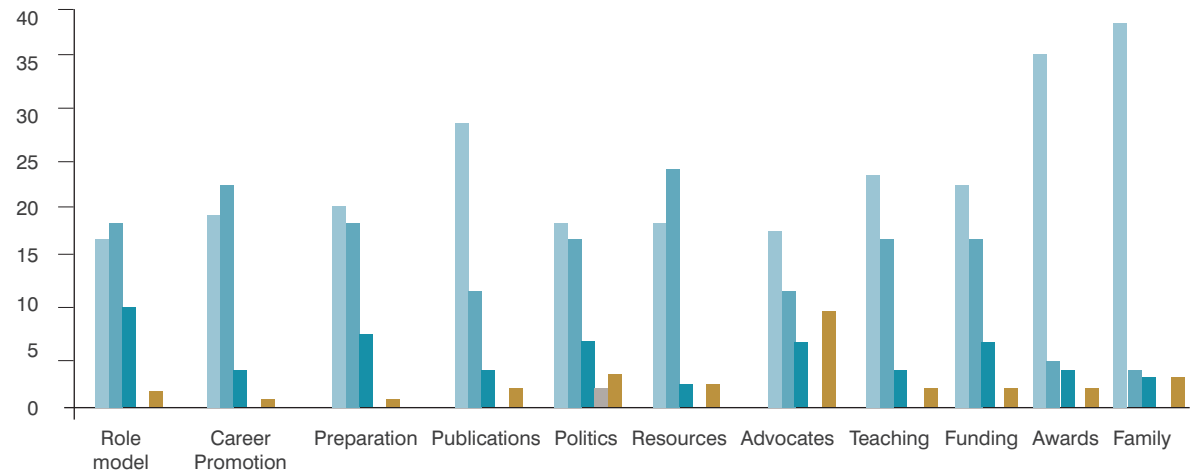
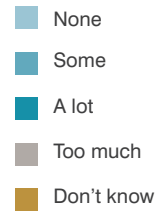
Advice about balancing work and family

Other (please specify):

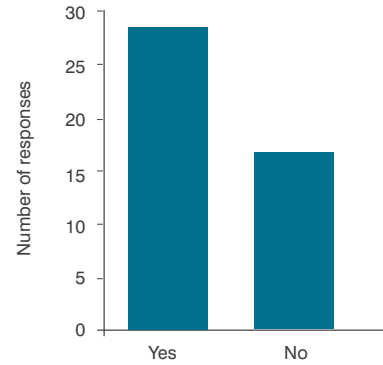


How much mentoring are you currently receiving in the various areas?

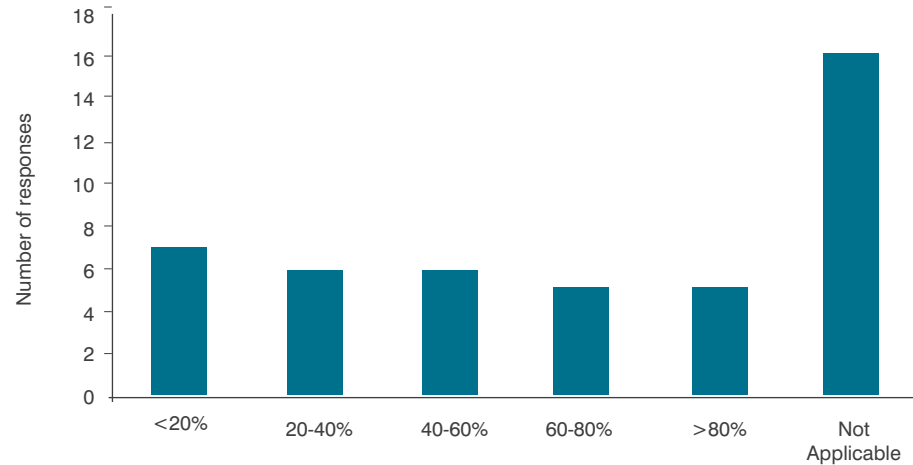
	None	Some	A lot	Too much	Don't know
Serves as a role model					
Promotion of my career through networking					
Advice about preparation for advancement (e.g., promotion, leadership positions)					
Advice about getting my work published					
Advice about Faculty/EPFL politics					
Advice about obtaining the resources I need at EPFL					
Advocates for me					
Advice about teaching					
Advice about obtaining external funding					
Advice about award nominations					
Advice about balancing work and family					
Other (please specify):					



Is there anyone at EPFL whom you currently regard as a mentor and someone who gives advice and counsel on career issues and/or sponsors or advocates for you?

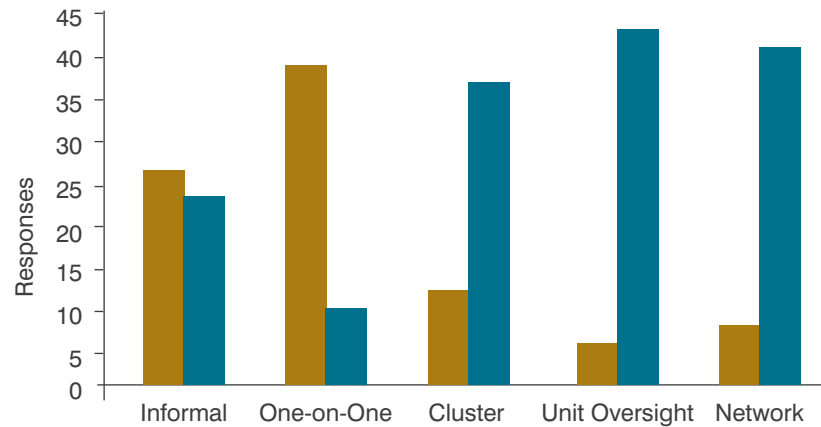


What fraction of your mentoring needs do you feel are being met by this person? %



What type of mentoring system would you like to see implemented?

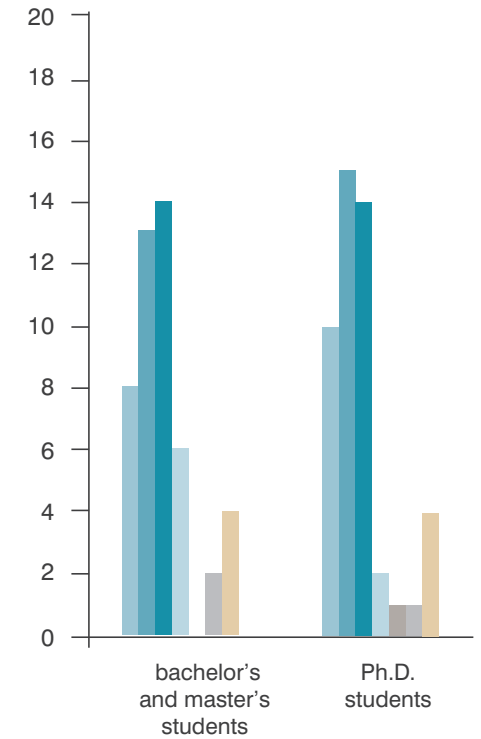
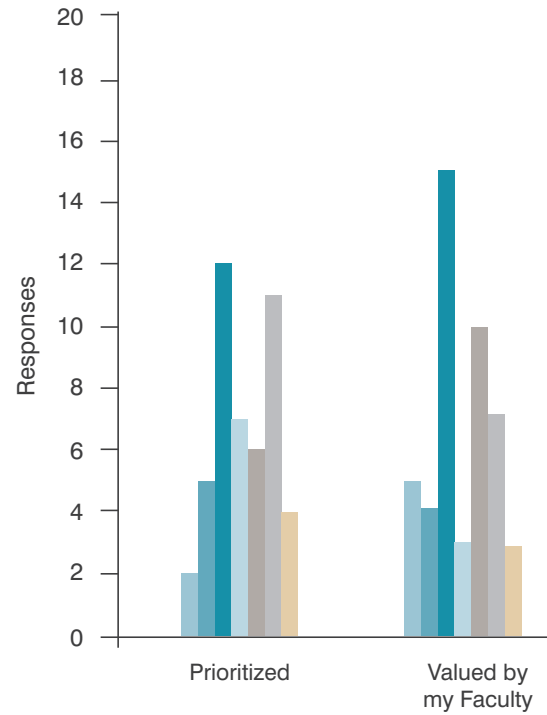
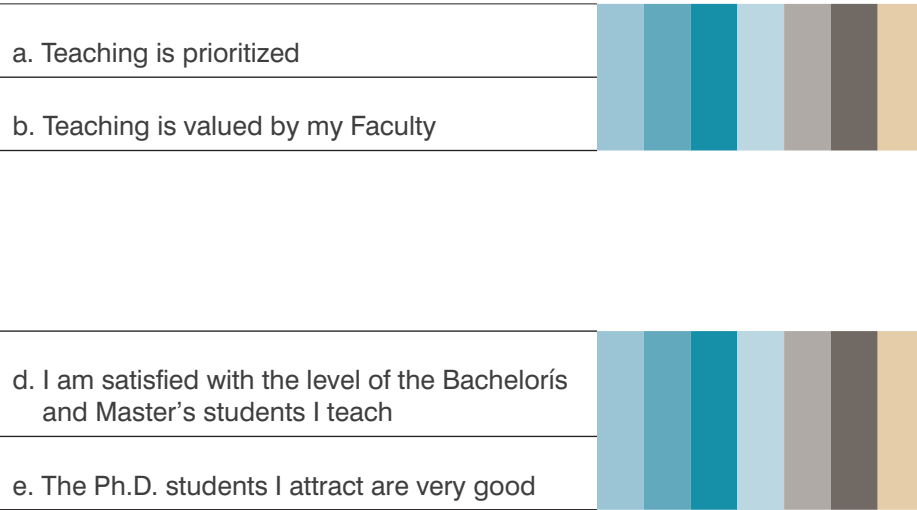
	Yes	No
a. Informal mentoring		
b. One-to-one mentoring		
c. Cluster mentoring		
d. Unit oversight mentoring		
e. Network mentoring		

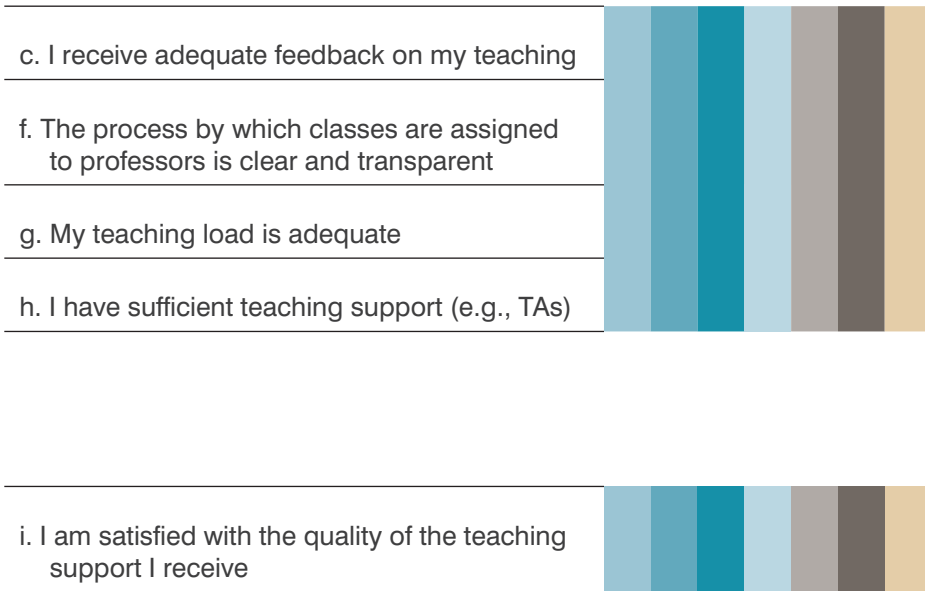


Teaching

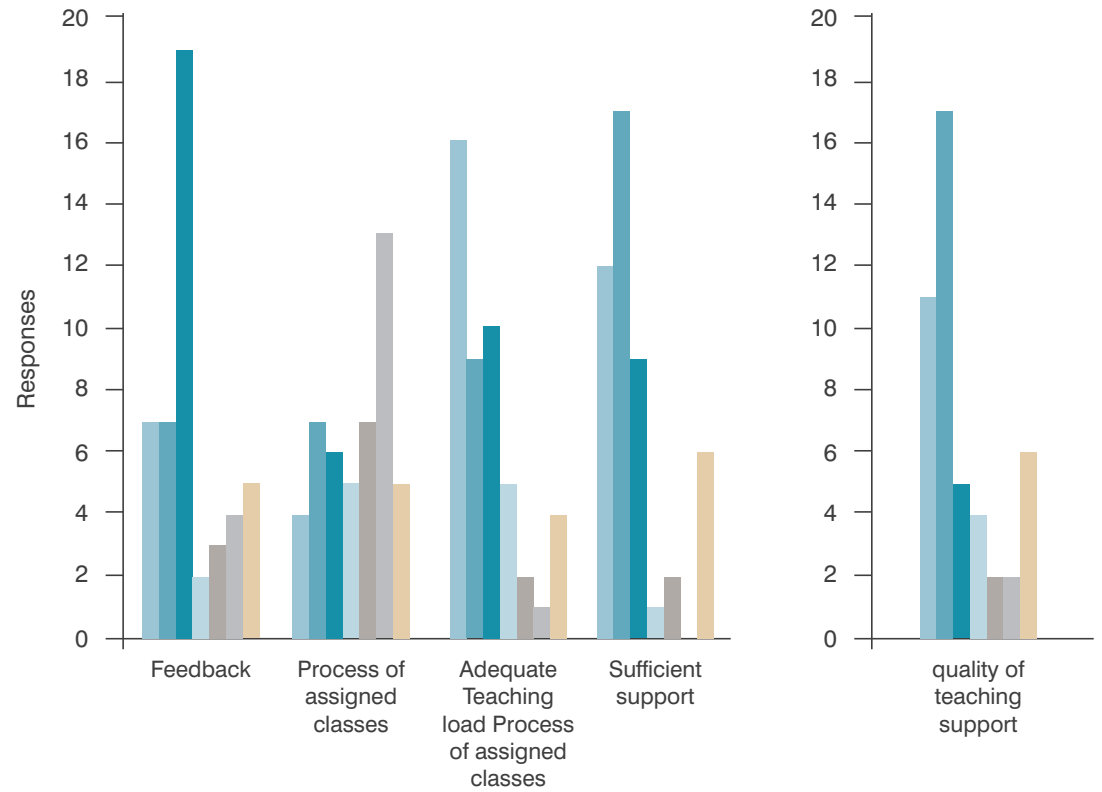
■ Strongly agree
 ■ Moderately agree
 ■ Slightly agree
 ■ Slightly disagree
 ■ Moderately disagree
 ■ Strongly disagree
 ■ Not applicable

8. Please indicate how much you agree or disagree with each of the following statements about **teaching at EPFL**





■ Strongly agree
 ■ Moderately agree
 ■ Slightly agree
 ■ Slightly disagree
■ Moderately disagree
 ■ Strongly disagree
 ■ Not applicable



Appendix 3: Examples of a 'tenure and promotion' section of a faculty handbook

The extracts presented in this appendix can be considered as best practice and are intended to serve as examples that could be further implemented according to the wishes of the Deans and the Direction.

Promotion and tenure

1. Guidance on what constitutes scholarship, teaching achievements and services

Research/Scholarly Activities.

The extent, quality, and impact of the scholarship are important. Examples include:

1. Research articles published or accepted for publication in refereed journals,
2. Research articles appearing in well-refereed conference proceedings
3. Scholarly books or monographs
4. Manuscripts that have been submitted for publication
5. Invited lectures at scientific meetings
6. Contributed papers at scientific meetings
7. Awards related to research
8. Support for research from external sources based on competitive peer review.

For joint work, it is assumed that the candidate contributed in such a way that the paper could not have been written without that candidate's contribution and that the order of authorship, if not alphabetical, is significant.

The quality of a conference is determined by its acceptance rate, as well as its general reputation, and the sponsoring organization.

Instructional Activities

Include classroom instruction as well as other activities pertaining to educational initiatives and programs. This category includes

1. Student evaluations,
2. Evaluations by Institute colleagues
3. Authorship of textbooks
4. Course and program development
5. Supervision of thesis research
6. Support for educational activities from external sources.

Service

Includes departmental and institutional activities as well as those performed in the context of the larger educational and professional community. Examples include

1. Service on departmental and university committees
2. Offices in professional societies
3. Editorships of professional journals
4. Refereeing for professional journals and grant proposals
5. Administrative positions such as department chair or section director
6. Organizing professional meetings, workshops, or special sessions at meetings
7. Activities related to the institute development.

Figure AA: Example of standards for tenure and promotion in a faculty handbook. Source: Illinois Institute of technology;
http://www.iit.edu/csl/cs/resources/pdfs/promotion-standard_Sept09.pdf

2. General Promotion and Tenure Schedule (adapted to the EPFL timeline)

Below is a general schedule for the tenure process.

1. Tenure clock starts: starting date
2. Last date for Submission of dossier for tenure evaluation: starting date + 72 months (6 years)
3. Pregnancy stop the tenure clock: starting date + 72 months + 12 months (per pregnancy)
4. Mandatory Tenure date (in case the tenure clock is stopped): starting date + 96 months (8 years)

Figure AB: Example of tenure schedule in a faculty handbook. Source: MIT;
http://eapsweb.mit.edu/resources/Faculty_Handbook.pdf adapted for EPFL.

3. Details of the tenure process proposed description for the tenure process as it might appear in the faculty handbook (adapted for EPFL)

Entities involved:

The Faculty Academic Promotion Committee (Faculty CPA) is composed of Full Professors from the Faculty who are not members of the EPFL Academic Promotion Committee and does not include the Dean. Its composition is fixed and can be reviewed yearly. The up-to-date composition of the each of the CPA of each Faculty is listed online. Who presides over the CPA.

The EPFL Academic Promotion Committee (EPFL CPA) ensures that standards of excellence are met at the international level and coherence is maintained within EPFL. The EPFL President appoints this committee. Comprising a maximum of 12 persons, and composed of EPFL Full Professors and external experts. Its up-to-date composition is published online.

Submission of the tenure dossier: The dossier must be submitted to the Faculty CPA according to the schedule indicated above. Non-compliance with this deadline is considered equivalent to failure. Once the dossier is submitted, the Faculty CPA verifies that it is complete within two weeks of receipt. In case it is incomplete, the candidate is given a week to provide the missing documents.

Stepwise procedure for the evaluation: The first step of the evaluation is the Faculty CPA. The Faculty CPA makes a thorough assessment of the application, establishes a performance comparison at the international level, including with regard to bibliometry, in relation to other professors working in the same, or a related, sector, requests letters of recommendation (approximately 6) from reputable persons in the domain concerned. Half of these must be from persons whose impartiality has been verified, prepares for the EPFL CPA a list of additional referees (approximately 6) who are of a high level and able to demonstrate impartiality in relation to the candidate, consults the appropriate experts, particularly the head of the institute to which the candidate is affiliated. After the evaluation is complete, the Faculty CPA submits a letter detailing its recommendation regarding tenure to the Dean and is included in the dossier. Within one week of this recommendation, a letter is sent to the candidate to inform him/her of the outcome of the first steps

In the second step, the Dean evaluates the dossier and writes a separate letter stating his/her recommendation. The Dean's letter is also included in the dossier. Within one week of the Dean's recommendation, a letter is sent to the candidate to inform him/her of the outcome of the second step. These first two steps are expected to occur within 4 months of the submission of the dossier.

The third step involves evaluation of the dossier by the EPFL CPA. This committee examines the recommendation submitted by the Faculty, assesses the application, requests and examines any information considered appropriate. If necessary, it may request that the Faculty complete the dossier. In addition, it may interview the candidate. After deliberations, the EPFL CPA formulates a recommendation to be submitted to the EPFL President. Should the candidate be informed about the outcome of this step as well

The fourth step involves the EPFL President who decides whether or not an appointment proposal will be submitted to the ETH Board.

The final step is for the ETH board to approve the tenure case.

Figure AC: Example of the details of the tenure process in a faculty handbook. Source: University of Illinois at Chicago; <http://www.uic.edu/depts/oaa/ptdocs/P&t10-11%20PART2final.pdf> adapted for EPFL.

4. Guidelines and recommendations for tenure file preparation

Teaching

Role of Documentation in Establishing Quality:

1. When assertions are made about excellence of teaching, evidence must be provided.
2. Multiple sources of evaluation such as student, peer and supervisory evaluations contribute to a stronger case for teaching excellence.
3. Evaluations that are very recent alone do not carry as much weight as evaluations from sections that can show that there is a continuing process that assesses performance in the classroom, lab, seminar or other teaching modes.
4. Inclusion of formal teaching evaluations
5. Where a candidate is not fully responsible for a course, the nature of the candidate's contributions to the class/course role should be clarified. Evaluative comments pertaining only to the candidate, and not of other instructors, should be included.

Research

Publications:

1. It is important to draw attention to significant work that has undergone peer review. Where appropriate, citation indices may be helpful.
2. Annals and proceedings vary as to the level of creativity and in the rigor by which contributions are chosen. So the candidate should indicate the nature of the research and kind of review to which such publications were subjected. The same should be done for monographs and chapters in books. In some disciplines a chapter in a book, for example, is assumed to be a review of literature; in other disciplines, a chapter may be original scholarship.
3. Communication of the strengths of a case to those in other disciplines is always a challenge.

Quality of Publication Outlets:

An excellent way to document the quality and significance of a candidate's scholarship is to address the quality of the publication outlets (including objective rankings, where available). In some disciplines, citation measures of the work, indicators of journal impact, and press reputations can be important. Contact the library for documentation of ratings, ranking and reputation of the outlets.

Funding:

1. Success in competitions that involve peer review is (as is the case with publications) taken as a reliable sign of quality work. Note that faculty research is funded by multiple sources, and it is sometimes difficult for reviewers to know if a particular funding source relies on peer review in evaluating and awarding funds. So, for less well-known sources of funding, it is important to indicate when the award is based on peer review. It is advisable to indicate the funding rate for each grant.
2. The availability of and reliance on external funding varies considerably across fields and it is important that campus reviewers be told the situation and expectations of the candidate's discipline.

Collaborative Work:

1. Because interdisciplinary and multi-investigator research is becoming more common, campus reviewers need more detail on the role of candidates in research that is collaborative.
2. Letters from co-authors that document the relative contributions of the co-authors can be especially helpful and should be solicited by the unit executive head.
3. While committees recognize that in many disciplines collaboration is becoming increasingly important, candidates are nevertheless advised to seek ways of establishing independence from their mentors.

Figure AD: Example of the tenure file preparation recommendations in a faculty handbook.

Source: University of Illinois at Chicago;

<http://www.uic.edu/depts/oa/ptdocs/P&t10-11%20PART2final.pdf>

Procedure for the Selection and Solicitation of Referees for the External Evaluation:

Campus level reviewers rely heavily on the judgment of the outside referees. Referees' credentials should be clear and their relationship to the candidate as neutral as possible e.g., not co-authors, not mentors, not past or present departmental colleagues. We suggest that referees be asked to state in their evaluation letters what their contact and relationship with the candidate has been. With this information, campus reviewers can give proper weight to the reviewer's comments.

Service

Department Expectations:

Assistant Professors are not expected to carry a heavy service burden.

Significance of Contributions:

Service entails many different types of activities, and it sometimes is difficult to document the excellence and impact of these activities. If the candidate feels it necessary, an explanation of the impact of these activities can be included.

Grant review activity is considered a service

Instructions for statements by candidates

The candidate's statement of current and planned research/creative endeavors should be brief and focused.

A technical presentation or lengthy chronological accounting is not useful.

Do not repeat the faculty information found elsewhere in the papers. The campus reviewers want to understand the candidate's long-term agenda, progress made, significance of the work, etc. Again, remember that typically the reviewer is not from the candidate's field. The same guidelines apply to statements concerning interdisciplinary work, teaching and service.

In some disciplines, it may be helpful for the referees to receive a copy of the candidate's Statement of Current and Planned Research, in addition to the CV and publications.

Figure AE: Example (continued) of the tenure file preparation recommendations in the EPFL faculty handbook. Source: University of Illinois at Chicago
<http://www.uic.edu/depts/oaa/ptdocs/P&t10-11%20PART2final.pdf>

Appendix 4: Examples of annual review procedures

Example of an Annual Review Procedure

Proposed model prepared by the PATTs in FSV based on the recommendations emerging from the PATT initiative & report prepared by the PATT task force
(FSV task force: B. Deplancke, N. Harris, P. Fraering, D. Hanahan)

Objective:

The aim of this process is for the PATTs to:

1. Reflect on their achievements for the past year and progress towards achieving tenure
2. Receive critical feedback and guidance from the Institute Director and Dean as to past progress
3. Identify problems or challenges that reflect negatively on their research and progress towards achieving tenure
4. Receive guidance and support as to how to meet these challenges
5. Receive concrete feedback on teaching, and guidance and support as to how to improve teaching skills and performance.

Responsibilities:

1. PATT: The PATT will provide a careful self-evaluation documenting past performance (research, teaching, service) and future goals
2. Institute Director: The Institute director is responsible for 1) organizing and conducting the annual review process prior to the end of each academic year; 2) meeting with the PATT to discuss the report, and 3) briefing the dean on the outcome of the annual review.
3. Dean: The dean will meet with the PATT to discuss the report.

Mechanism:

1. Submission of an Annual Report by the PATT
2. Meeting with Institute Director to discuss the report prepared by the PATT and any other issues that the director or the PATT feel should be discussed.
3. Presentation of report by the Institute Director at the board of directors meetings (with the purpose of engaging faculty at a school wide level).
4. Informal meeting with the Dean

Outcome:

1. During the interviews, BOTH the Institute Director and the Dean are expected to provide feedback to the PATT in the form of critical evaluation, guidance and support. No written report by the Institute Director or Dean is required.
2. If desired by the PATT a written summary of the discussion will be prepared by the PATT, and shared with the Dean. The purpose of the summary would be to ensure clarity, however this would not represent formal documentation.

Self-assessment and documentation of the Annual Review

- Goals
 - › Short term
 - › Long term
- Support/resources
 - › Institute director
 - › Dean
- Major issues of concern (important issues for achieving your research goals and academic development)
 - › Duties-protected time
 - › Personnel
 - › Space/budget
 - › Difficulties in securing third party funding
 - › Equipment
- Current research efforts
- Collaborations
- Publications and submitted manuscripts
- Funding
 - › Include grants pending and planned grant applications
 - › Indicate your role (e.g. PI, Co-PI, collaborator, consultant)
- Honors, recognition and awards (date, title, description, sponsoring organization)
- Invited lectures (date, title, venue, sponsor, link to the meeting website)
- Conference organization (date, title, venue, sponsor, link to the meeting website)
- Service
 - › To EPFL
 - Qualifying exam committees
 - Thesis committees
 - › To the field (specify dates, organization, role)
 - Review panels
 - Editorial Activities
 - Journal peer review activities, list
 - Consulting/Advisory committees
- Educational/Teaching responsibilities
 - › Course development
 - › Courses taught (Title, Course No, brief description, role, time commitment)
 - › Teaching commissions
- Administrative responsibilities within the institute, faculty and school
- Mentoring responsibilities

Self-Assessment

1. Define your academic and research goals for the coming year
2. Define your, research career and professional milestone
3. How can your colleagues, institute director and the dean contribute or provide to help you achieve these goals and milestone?
4. What major research and/or technical advances you hope to make in the coming years?
5. Assess overall progress during the past years
6. Are you pleased with your peer's recognition of your work and your reputation in the field?

Management

1. Be proactive in initiating and driving the process
2. Engage your colleagues and institute director and seek professional and academic guidance from your mentors.
3. Conduct a self-assessment of your teaching skills and engage and consult with the section director and seek 1) advice and support in course development; 2) critical assessment of your course contents, teaching skills and student evaluation; 3) advice on how to improve your courses and teaching skills.
4. Prepare a complete file on time.
5. Generate a check list of the key points you would like to discuss and receive feedback on

Appendix 5: Examples of midterm review procedures

Example of a Midterm Review Procedure

Proposed model prepared by the PATTs in FSV based on the recommendations emerging from the PATT initiative & report prepared by the PATT task force

(FSV task force: B. Deplancke, N. Harris, P. Fraering, D. Hanahan)

Objective

The aim of this process is to:

1. Provide the PATT with critical feedback regarding research progress and teaching performance, and progress towards achieving tenure.
2. Identify possible issues that may negatively impact the PATT's chances to receive tenure.
3. Alert the PATT of these issues and identify how the Institute/Faculty could work with and support the PATT to address these issues.

Participant responsibilities

1. PATT: The candidate is responsible for preparing his/her midterm review package using the information on how to compose the tenure review package as a guideline. The PATT may propose the names of potential experts to include or exclude.
2. The candidate should understand that the outcome of the midterm review will not be indicative of the final tenure outcome and no recommendation or commitment to grant tenure will be made at this time.
3. Dean and Institute Director: The Dean, in consultation with the Institute Director, is responsible for overseeing the implementation of the midterm review, including forming the mid-term review committee, selecting and inviting external experts, and preparing the final written report. Committee: The Committee members should appreciate the formal nature of this review, and generate an environment that resembles the actual tenure review process at the Faculty level. At the same time, they should be committed to provide constructive feedback to the Candidate and to look for ways how to help the PATT in achieving the tenure standards when necessary.

Mechanism

1. The review should take place no later than three and a half years after commencing the tenure-track position.
2. The midterm review package goes only to the Dean's level (and is thus not forwarded to the School CPA or the President) and should mirror in structure and content the actual tenure package.
3. In the absence of a standing school CPA, the Mid-term Review Committee will be appointed by the Dean and Institute Director and will consist of at least three tenured members of the Faculty of Life Sciences. At least three of the Midterm Review Committee members should also be participating in the final tenure review committee to allow members to monitor progress of the candidate as well as to assure application of the same review standards. In addition, it is mandatory to invite two external members, who should be tenured at other Institutions and be familiar with the Candidate's research domain. These same external members could be invited for the tenure review committee, but other external reviewers could be appointed as well.
4. The candidate gives a 45 min seminar to the Mid-term Review Committee outlining his/her research, academic, and teaching progress and achievements during the first three years and strategic plan and objectives for the next 2-3 years.
5. The presentation is followed by a discussion with the committee
6. The committee convenes privately to carefully review the Candidate's teaching, research/creative progress and future plans, and service to evaluate whether satisfactory progress is being made toward meeting the School's and University's expectations and standards for tenure.
7. The committee's initial feedback and recommendation are then shared with the PATT in an informal session in the presence of all members of the committee.
8. The PATT meets with the Institute director and the Dean to discuss the feedback of the committee

9. The institute director/president of the school CPA prepares an evaluation report, which is reviewed and approved by the dean and all members of the committee.
10. The evaluation report should reflect a due process that fulfills the objectives of the process and demonstrate that each of the participants have fulfilled their responsibilities.
11. The evaluation report should include the Candidate's teaching evaluation (and potential recommendations for improvements), and be certified by the Section Director.
12. A copy of the evaluation report should be transmitted to the Candidate.
13. The Candidate will have the possibility to respond in writing to the content of this report and this response will be included in their tenure file.

Outcome

1. The evaluation report indicated above should clearly indicate whether the Candidate is on track to achieve tenure.
2. If the Candidate is facing challenges or appears currently unable to meet certain standards required for tenure, then the Committee should provide clear feedback to the Candidate and explore mechanisms by which the School and/or Institute could assist the Candidate to overcome these challenges.
3. The report should therefore contain concrete milestones and objectives which the Candidate needs to attain within the period following the mid-term review and preceding the submission of the final tenure dossier.
4. In this regard, it is important to establish a date when the Candidate will need to submit her/his real tenure package. This should typically be two and a half years after the mid-term review, but may be earlier if progress is deemed very satisfactory and justifies early promotion.

Appendix 5: Example of the content of a faculty handbook.

The extracts presented in this appendix can be considered as best practice and are intended to serve as examples that could be further implemented according to the wishes of the Deans and the Direction.

1. The University

- 1.1 Founding of the University and History of Academic Development
- 1.2 University Governance

2. Appointments, Reappointments and Promotions in the Professoriate

- 2.1 The Tenure Line
- 2.2 The Non-Tenure Line
- 2.5 Extending Term Appointments
- 2.6 Special Appointment Designations and Considerations
- 2.7 Appointment, Reappointment and Promotion Procedures
 - 2.7.A General Appointment Procedures
 - 2.7.B Additional Policies and Procedures
 - 2.7.C Searches and Search Waivers
 - 2.7.D Transitions Between Faculty Lines
 - 2.7.E Recommendations for Appointment, Reappointment, or Promotion
 - 2.7.F Confidentiality
 - 2.7.G Appointments at Other Institutions
 - 2.7.H Close Relatives of the Faculty
- 2.8 Additional Policies
 - 2.8.A Junior Faculty Counseling and Mentoring
 - 2.8.B Access to Personnel Files
 - 2.8.C Negative Reappointment or Promotion Decisions

3. Sabbaticals and Other Leaves of Absence

- 3.1 General Policies Applicable to Leaves and Other Absences From Campus
- 3.2. Sabbatical Leave
- 3.3. Leave Without Salary
- 3.4 Period of Pure Research Leave
- 3.5 Family and Medical Leave Policy

4. Core Policy Statements

- 4.1. Statement of Faculty Appeal Procedures
 - 4.1.A Definitions and Standards
 - 4.1.B Appeals Concerning Reappointment and Promotion Decisions
 - 4.1.C Other Appeals
 - 4.1.D General Provisions
- 4.2. Statement on Academic Freedom
- 4.3. Statement on Faculty Discipline
- 4.4. Statement on Appointment and Tenure
 - 4.4.A Terms of Academic Appointment
 - 4.4.B Security of Appointment and Tenure
 - 4.4.C Appointments
 - 4.4.D Tenure by Length of Service
 - 4.4.E Prior Notice of Non-Renewal
 - 4.4.F Dismissal
 - 4.4.G Applicability Provision

Figure BA: Example of the faculty handbook (source: Stanford University)

5. Salary, Benefits, and Retirement

- 5.1. Compensation
- 5.2. Benefits
 - 5.2.A Health and Welfare Benefits
 - 5.2.B Housing
 - 5.2.C Moving Allowance
 - 5.2.D Identification Cards
 - 5.2.E Travel Expenses
 - 5.2.F Retirement
 - 5.2.G Emeritus Status

6. Appointments Policies and Procedures for Academic Staff-Teaching

- I. Terms of Appointment
 - A. Lecturer Appointments
 - B. Senior Lecturer Appointments
 - C. Additional Comments on Continuing Term Appointments
 - D. Artist-in-Residence Appointments
- II. Procedures for Appointments, Reappointments and Promotions
 - A. Search Procedures
 - B. Appointment Percentage of Time Considerations
 - C. A Note on Visas
- III. Prior Notice of Non-renewal and Termination

7. Leave Policies for Academic Staff-Teaching

- I. Professional Development Leave Program for Senior Lecturers
- II. Family and Medical Leave
 - A. Maternity Leave
 - B. Family and Medical Leave

8. Core Policy Statements for Academic Staff-Teaching

- I. Statement on Academic Freedom
- II. Grievance Procedures for the Academic Staff

9. Other Teaching Titles

- I. Titles
 - A. Acting Appointments
 - B. Visiting Appointments
 - C. Consulting Appointments
 - D. (By courtesy) Appointments
 - F. Teaching Specialist
- II. Procedures for Appointments and Reappointments
 - A. Procedures
 - B. Notice of Non-renewal or Termination

Appendices

- Appendix A: Faculty Application for Leave of Absence
- Appendix B: Appointment Forms
- Appendix C: Recommendation for Amendment to Professorial Appointment Form
- Appendix D: Appointment Form for Lecturers and Other Teaching Staff
- Appendix E: Appointment Form for Senior Lecturer or Artist-in-Residence
- Appendix F: Application for New Parent Tenure Clock Extension for Tenure-Line Academic Council Faculty
- Appendix G: Application for Reduced Teaching for New Faculty Parents
- Appendix H: Notice of Intent to Retire

Proposed model for a Faculty Handbook

The following is a list of documents that are considered as critical information to be made available to professors online and in English and to be part of a homogeneously and rationally organized online Faculty handbook. The table has been drafted with the help and contribution of the academic affairs at EPFL.

Topic	Available Online	Language	Links
ORGANIZATION			
Organization and governance	Y	E/F	http://polylex.epfl.ch/page58494.html
		F	http://www.admin.ch/ch/f/rs/4/414.110.37.fr.pdf
		F	https://documents.epfl.ch/groups/p/po/polylex/www/organisation/Ordorgepfl.pdf
History	N		http://presentation.epfl.ch/page-31511.html EMPTY
School presentation	Y	E/F	http://presentation.epfl.ch/page-30989.html
Organizational chart	Y	E/F	http://www.epfl.ch/organigrammes/displayunit.do?path=
Faculties and Deans	Y	E/F	http://www.epfl.ch/organigrammes/displayunit.do?acronym=Direction&lang=en
			http://polylex.epfl.ch/page58494.html
Laws by Faculties		E/F	http://polylex.epfl.ch/page58494.html
			http://documents.epfl.ch/groups/p/po/polylex/www/organisation/Regl_STI_2006.pdf
FACULTY MEMBERS			
Tenure line, non-tenure line	Y	F	Polylex http://www.admin.ch/ch/f/rs/1/172.220.113.40.fr.pdf
From associate to full professor	Y	F	http://documents.epfl.ch/groups/p/po/polylex/www/collaborateurs/Associes_visa.pdf
Tenure-track related rules and procedures	Y	F	Polylex and http://professors.epfl.ch/ http://documents.epfl.ch/groups/p/po/polylex/www/collaborateurs/patt.pdf
Definition and composition of CPAs Comité de promotion académique	Y	F	Mentioned in http://documents.epfl.ch/groups/p/po/polylex/www/collaborateurs/patt.pdf Compositions of Faculty's CPAs are available
Instruction to the CPAs	N		
Academic titles	Y	F	Teaching guide: https://documents.epfl.ch/groups/p/po/polylex/www/collaborateurs/titres%20academiques.pdf
Temporary contracts. Maximum contract duration	Y	F	Polylex http://www.admin.ch/ch/f/rs/1/172.220.113.fr.pdf

Topic	Available Online	Language	Links
Assistants	Y	F	https://documents.epfl.ch/groups/p/po/polylex/www/formation_etudes/dir_rapport_assist.pdf
Collaborateurs scientifique	Y	F	http://polylex.epfl.ch/page68878.html http://documents.epfl.ch/groups/p/po/polylex/www/collaborateurs/Directives_collab_scient.pdf
Reimbursement of expenses	Y	E/F	http://polylex.epfl.ch/page65393.html
Professor's duties	Y	F	Polylex http://www.admin.ch/ch/f/rs/1/172.220.113.40.fr.pdf
Conflict of interest	Y	E/F	http://polylex.epfl.ch/page58501.html http://documents.epfl.ch/groups/p/po/polylex/www/collaborateurs/DirectivesCOIf.pdf
Teaching guide	Y	E/F	http://teaching.epfl.ch/page18262-en_US.html
Teaching evaluation	Y	F	Polylex http://documents.epfl.ch/groups/p/po/polylex/www/formation_etudes/bachelor-master/Directives_evaluation_enseignement.pdf http://formation.epfl.ch/page-16417-en.html
Ethics	Y	E/F	http://polylex.epfl.ch/page68868.html http://documents.epfl.ch/groups/p/po/polylex/www/formation_etudes/bachelor-master/Plagiat-FR.pdf
Data protection	N		
Intellectual property	Y	E/F	http://sri.epfl.ch/
Leaves, pure research leave, without salary	Y	F	Polylex http://www.admin.ch/ch/f/rs/1/172.220.113.40.fr.pdf
Leave for pure research	Y	E	https://documents.epfl.ch/groups/p/po/polylex/www/collaborateurs/Conges_Rech_anglais.pdf
Leçon inaugurale et leçon d'honneur	N	E/F	How to prepare: http://craft.epfl.ch/webdav/site/craft/shared/import/migration/guide_lecon_inaugurale.pdf

SALARY AND INSURANCE

Salary	Y	F	Polylex http://www.admin.ch/ch/f/rs/1/172.220.113.40.fr.pdf http://www.admin.ch/ch/f/rs/1/172.220.113.40.fr.pdf ART16
Déductions	N		
Health insurance	Y	E/F	http://information.epfl.ch/page-16454.html http://professeurs.epfl.ch/page28436.html
AVS	N		
Retirement	Y	F	Polylex http://www.admin.ch/ch/f/rs/1/172.220.113.40.fr.pdf http://documents.epfl.ch/groups/p/po/polylex/www/collaborateurs/publica-direct%20240504.pdf

Topic	Available Online	Language	Links
Close relatives	Y	F	http://polylex.epfl.ch/page58501.html http://documents.epfl.ch/groups/p/po/polylex/www/collaborateurs/Rapport_epoux.pdf
Benefit	N		
PRACTICAL			
Relocation	Y	E/F	http://professors.epfl.ch/ è http://www.vaud.ch/en/services/individuals/relocating/
Immigration visa	Y	F	http://rh-intranet.epfl.ch/Jahia/site/rh-intranet/op/edit/pid/21447
Public and private Schools	Y	E/F	http://professors.epfl.ch/page950.html
Nurseries	Y	E/F	http://polylex.epfl.ch/page58502-fr.html FRENCH http://jahia-prod.epfl.ch/site/working/op/edit/just-joined-epfl
Portal for campus indications	?	E/F	http://information.epfl.ch/page-16430.html
Settling in	Y	E/F	http://jahia-prod.epfl.ch/site/working/op/edit/just-joined-epfl
Logistics	Y	F	http://polylex.epfl.ch/page58499-fr.html
Personnel associations	Y	E/F	http://associations.epfl.ch/page-16300-en.html
Phones	Y	F	Directive de l'EPFL sur la téléphonie mobile du 30 septembre 2005 Polylex http://documents.epfl.ch/groups/p/po/polylex/www/logistique/TT-mobile.pdf
Security, health	Y	F	http://documents.epfl.ch/groups/p/po/polylex/www/securite/Directive%20en%20matiere%20de%20securite%20et%20sante%20au%20travail%20%28DSST%29.pdf
Events	Y	E/F	http://memento.epfl.ch/ to be improved with links to the Institute's seminars

Appendix 6 : Examples of mentor and mentee toolboxes at various universities

1. 6.1. Proposed model for the Mentoring Program at EPFL
2. 6.2. Mentee toolbox¹
3. 6.3. Mentor toolbox¹
4. 6.4. A guide for new faculty and their mentors³
5. 6.5. Role of the temporary induction mentor⁴

1 adapted from Faculty Affairs, University of Massachusetts Medical School <http://www.umassmed.edu/ofa/mentoring/index.aspx>

2 adapted from "Mentoring Booklet", Massachusetts Institute of Technology, August 2006. The information in this booklet was excerpted from an earlier brochure on mentoring prepared by a group of MIT women faculty (Mary Boyce, Peggy Cebe, Lorna Gibson, Simone Hochgreb, Vera Kistiakowsky, Heather Lechtman, Ruth Perry, Karen Polenske, Mary Rowe, Lynn Stein, Lisa Steiner, Judith Thomson, Lena Valavani and Caroline Whitbeck) during the 1991-92 academic year.

<http://web.mit.edu/facultyworklife/newfaculty/mentoring.html>

3 adapted from Center for Personal and Professional Development, University of Cambridge <http://www.admin.cam.ac.uk/offices/hr/cppd/opportunities/mentor/>

6.1. Proposed model for the Mentoring Program at EPFL

Example of a mentoring program

Proposed model prepared by the PATTs in FSV based on the recommendations emerging from the PATT initiative & report prepared by the PATT task force
(FSV task force: (M. Blokesch and M. Dal Peraro and G Van der Goot)

Objectives

The aim of this process is for the

PATTs

- › to facilitate their personal and professional development with an advice from more experienced colleagues
- › to increase the success rate of earning a tenure position
- › to earn tenure position under the most comfortable conditions to develop and sustain a positive atmosphere and dynamics at work

EPFL

- › to maximize the return on the investments dedicated to the PATT hire and support
- › to ensure the long-term success of the institution by developing and sustaining a positive atmosphere and dynamics that would contribute to the faculty hire and retaining

Responsibilities

- › **PATT:** identifies and selects a mentor during the first year at EPFL (see Mechanism below); takes a proactive position of scheduling the meetings with the mentor and setting up the agenda for these meetings; timely informs mentor in case any questions or doubts arise; analyses the feedback received from the mentor in a consistent manner; provides the feedback and appreciation to the mentors for their time and efforts, to further encourage the mentor to continue the interaction efficiently; saves mentor's time by using alternative means to earn the experience from colleagues, e.g., while participating at the committees, exams, etc.
- › **Faculty members:** take proactive and volunteering position on accepting the mentorship; understand and learn, if needed, the main rules and concepts of the mentoring programs with examples and publicly available experience from EPFL and other top institutes; assist mentee in establishing the schedule of the meetings and organizing their agenda; keep the meeting schedule; respond to the urgent questions as soon as possible; serve as a role model to the junior faculty; let the mentee know if something is not working; advocate for the mentee; facilitate the development of a mentee by covering the topics related to his/her personal and professional success in career promotion through networking, midterm evaluation and tenure file preparation, Faculty/EPFL politics, publishing the work, obtaining the resources, teaching, external funding, award nominations.
- › **Institute Director/Dean:** develops and sustains a pool of mentors sufficient to cover the needs of the Faculty and the EPFL; regularly organizes workshops for improving the quality of mentors; coordinates and controls the regular updates and the function of the Faculty mentoring webpage.

Mechanism

- › A voluntary, informal and one-on-one mentoring model has been selected by the EPFL PATTs
- › A two phase mentoring program is recommended, based on the analysis of current practices in top universities:
- › **Phase 1** (integration and start up): As part of the offer letter, every new PATT should be assigned an integration mentor by the Institute Director/Dean or the search committee. Such a mentor can either be a PATT who already went through his/her midterm evaluation or an Associate Professor. The role of the integration mentor will be to 1) facilitate the integration of the new faculty member into his/her Faculty

and the EPFL community; 2) advise the PATT with critical questions such as setting-up a laboratory, administrative issues, funding opportunities.

- › **Phase 2** (career planning and guidance): After approx. 9-12 months the PATT identifies a career development mentor from the Faculty or EPFL mentoring pools. The mentee can choose more than one mentor (e.g., for different purposes). The mentor should be a senior faculty member who has volunteered to be in the mentoring pool. (S)he should be familiar with the tenure system at the Faculty and EPFL levels, the teaching requirements for PATTs, and the funding system in Switzerland/Europe, and the standards and expectations for achieving tenure or will receive training to meet those requirements.
- › Faculty-wide and EPFL-wide pools of mentors should be created by the Institute Directors/Deans.
- › At the initial stage of an EPFL Mentoring Program implementation, until the pool of mentors across EPFL is sufficient to cover the needs of all PATTs, it is suggested to establish a mentoring workshop practice. The mentoring workshops would be regular events aimed to provide the required support to a group of PATTs (10-20 participants) by a limited number of experienced mentors (2-3).
- › A dedicated website for an EPFL Mentoring Program should be developed. The website should contain all related information and documents and a list of volunteered mentors established (a pool of mentors). The newly hired PATT should be informed about the Mentoring Program at EPFL and the website in the Offer Letter. The website may include an online discussion forum to facilitate sharing of information and experiences between PATTs and mentors.

Outcome

- › the mentee receives a regular feedback on the personal and professional development along the road toward tenure, and especially before and after annual and midterm reviews
- › the mentee integrates faster in the Faculty and EPFL environment and develops both professional and social networks earlier
- › mentor provides a valuable service to the Faculty and EPFL and can contribute to the advancement of the mentee's discipline

6.2. Mentee toolbox¹

Expectations

- › Take responsibility to set a meeting with you mentor.
- › Meet with each other to determine whether it is a good match.
- › Attend an introductory session and a final celebration of the year.
- › Work out a meeting schedule that works for both of you.
- › Set goals with your mentor.
- › Be proactive: Let your mentor know if something is not working or if you need help.
- › Plan and agree upon a focused experience that will enhance your growth and development. Examples of these include a paper, small grant proposal, a presentation, or a course syllabus.

Tips for Working Together

- › Exchange curricula vitae before the first meeting.
- › Mentee can use his/her goals for the upcoming year as well as more long-term goals, as a starting point for discussion.
- › Communicate through phone and e-mail. However, it's also important to set face-to-face meetings.

Why be Mentored?

- › You benefit from the experience of a senior faculty member who can assist you in the transition to academic life.
- › You have an opportunity to discuss balancing clinical work, research, teaching, service, committee work, and personal life.
- › You receive assistance in finding institutional resources.
- › You receive support and encouragement.
- › Some Responsibilities of the Mentee
- › Take considerable responsibility for making the relationship work.
- › Arrange regular meetings.
- › Set the agendas. This should also include setting goals and objectives as well as identifying and bringing any difficulties to meetings for discussion.
- › Process the feedback.

Tips for the Mentee

- › Commit to making the relationship a priority. You will get out of it as much as you put into it.
- › Discuss with your mentor your goals and objectives for the relationship. Be clear about what you want.
- › Ask for advice and welcome constructive feedback. Oftentimes people are hesitant to offer advice when they do not know you well. Be as specific as possible when asking for advice. A good mentor will offer both constructive feedback and suggestions for your work, so be open to both.
- › Be considerate of your mentor's time. Though you can expect quality time from mentors, you also need to be considerate of their time. Ask how much time your mentor has to spend with you and abide by that request. Accept challenges from your Mentor. This helps you to grow.
- › Listen to what your mentor has to say. Mentors, having been there, have some perspective on what you'll be facing in your future career. Although sometimes their advice may seem less relevant to you at the moment, it may be useful in the future.
- › Be open to feedback. Seriously consider the advice given to you by your mentor, even if your immediate reaction is not positive. A mentor seldom offers advice or criticism lightly. It's very reasonable to ask for time to consider their advice and then get back to them with your reaction and process it with them.

¹ adapted from Faculty Affairs, University of Massachusetts Medical School
<http://www.umassmed.edu/ofa/mentoring/index.aspx>

- › Provide feedback to your mentor about his/her effectiveness and any concerns you may have.
- › Express appreciation for the time and assistance given to you by your mentor. Mentors need encouragement too, and constructive feedback will help your mentor guide you in the most effective way. Let them know how their advice worked in your situation.
- › Keep the door open with your mentor. You never know when you may need his or her advice or assistance at some point in the future. When the formal mentoring relationship is no longer needed, consider staying in touch to provide “progress” reports.
- › If, after a period of time, you don’t believe that either you or your mentor are able to participate in an effective mentoring relationship, don’t be adverse to discussing this with your mentor and possibly ending the relationship. If this occurs, we can place you with a different mentor who may be a better match. If the relationship does end, if at all possible, try to end it on professional terms. It is no reflection on either of you if a particular match does not work.
- › Potential Limitations of a Mentoring Relationship
- › Limited Time ñ Take advantage of email, fax, telephone, etc., as ways of staying in touch. Email especially allows for relatively short but more frequent contact.
- › Lack of Knowledge/Skills - After a senior colleague has accepted a role as a mentor, he or she may discover that there is not the common ground between the two of you that was expected or that you want assistance in an area in which the mentor does not feel particularly competent to advise. In this situation, the mentor can either contact someone else or assist you in locating others whose expertise may be more helpful for your specific needs. The mentee should be encouraged to be open to taking the initiative to find another person to obtain a different point-of-view in a particular area.
- › Over-dependence - Over-dependence can go in either direction in a mentoring relationship. However, it is not wise for a mentee to become over-dependent on his/her mentor. It is helpful for mentors to encourage their mentees to have several mentors.

6.3. Mentor toolbox¹

Expectations

- › If your mentee does not set the first meeting then take the initiative.
- › Meet with each other to determine whether it is a good match.
- › Attend an introductory session and a final celebration of the year.
- › Work out a meeting schedule that works for both of you.
- › Set goals with your mentee.
- › Be proactive: Let your mentee know if something is not working.
- › Plan and agree upon a focused experience that will enhance the mentee's growth and development. Examples of these include a paper, small grant proposal, a presentation or a course syllabus.

Tips for Working Together

- › Exchange curricula vitae before the first meeting.
- › Mentee can use his/her goals for the upcoming year as well as more long-term goals, as a starting point for discussion.
- › Communicate through phone and e-mail. However, it's also important to set face-to-face meetings.

Information for Mentors

What is a mentor? A mentor serves as a

- › Teacher by helping an individual to enhance his/her skills and intellectual development.
- › Sponsor who facilitates an individual's entry and advancement in an academic community.
- › Guide who acquaints a person to a new occupational and social world.
- › Role model who provides a positive example of successful faculty member.
- › Counselor who assists with career planning and goal setting.

Why mentor?

- › You have the opportunity to assist in the development and help shape the career of new colleagues by sharing your ideas, ethics, and professionalism.
- › You can experience a new role and become renewed in your current activities.
- › You provide a valuable service to the institution and to the future of your discipline.

What are topics mentors cover?

As a mentor, it is anticipated that you will share with your mentee your experiences and advice on topics that range through such diverse areas as:

- › Career advancement
- › Grantspersonship
- › Publishing
- › Teaching
- › Enhancing professional visibility
- › Networking
- › Meeting new challenges
- › Creating opportunities
- › Overcoming barriers to success

¹ adapted from Faculty Affairs, University of Massachusetts Medical School
<http://www.umassmed.edu/ofa/mentoring/index.aspx>

- › Meshing a career with a personal life
- › Changing career paths

Some characteristics of an effective mentor

- › Ability to listen and communicate well.
- › Personal commitment to be involved with another person for an extended period of time.
- › Respect for individuals and for their abilities and their right to make their own choices in life.
- › Ability to empathize and understand another person's challenges rather than judge them.
- › Ability to see solutions and opportunities as well as challenges.
- › Flexibility and openness.
- › Ability to provide support, encouragement and useful information.

Tips for the Mentor

- › **Commit to making the relationship a priority.**
- › **Listen. Support. Challenge. Guide.**
- › **Take the initiative in the relationship.** Invite your mentee to talk, suggest topics to discuss, and ask if you can make suggestions or provide feedback.
- › **Make it easy for your mentee to meet with you.**
- › **Respect your mentee's time as much as you respect your own.** Be explicit about your own needs and limits, specifying times that are particularly good for communication. Your mentee will have similar needs and limits.
- › **Be patient, sensitive and respectful, giving feedback carefully.**
- › **Help your mentee accept challenges, explore options and understand the impact of different choices.**
- › **Be explicit with your mentee that your feedback should be weighed** along with feedback received from others.
- › **Do not divulge confidences.** Your mentee must trust that anything said to you will be held in the strictest of confidence unless instructed otherwise.
- › **If your mentee is interested, consider discussing how you have been able to balance work with personal life demands.** Some faculty often find this a difficult issue and set unrealistic expectations for themselves and their personal lives.
- › **Share your failures as well as your successes.**
- › **Give your mentee open, honest feedback.**
- › **It is important not to confuse positive communication with a need for unwarranted praise or flattery.** A mentor's job is not always to praise the work of the junior colleague. In fact, mentors who do not offer critical but constructive feedback may actually provide a disservice to the person they are trying to help. Too often senior faculty do not offer constructive criticism for fear of offending.
- › **When feedback is offered, it should be followed by constructive advice for improvement.** If possible, specific examples should be offered. Try to avoid offering advice in a way that would intimidate your colleague from best availing his/herself of your expertise. Allow the mentee to think about your comments for some period of time and then come back together to discuss them.
- › **If, after a period of time,** you don't believe that either you or your mentee are able to participate in an effective mentoring relationship, don't be adverse to discussing this with your mentee and possibly ending the relationship. If this occurs, we can place your mentee in a relationship with a different mentor who may be a better match. If the relationship does end, if at all possible, try to end it on professional terms. It is no reflection on either of you if a particular pair isn't suitable.

6.4. A Guide for New Faculty and Their Mentors²

1. Before Coming to MIT

1.1 General

How should your time be divided among teaching, advising, fundraising, administration, committee work and other service (departmental, institute and outside), research and consulting? What else? How do you get consulting? How much should you do? What resources are there at MIT to help you get settled (housing, HALP/CIM loans, child care office. What details do you need to find out about benefits, moving, ...)? What MIT publications should you get (Policies and Procedures, Bulletin, Faculty/Staff Directory)? What offices should you contact? What mailing lists do you need/want to be on? Who are good resource people to ask these and other questions of? Your Administrative Officer (AO)?

1.2 Research and Resources

Are you responsible for finding your own money? What expenses are you expected to cover? How much will this cost? How do you go about getting startup funds? How (if at all) will your summer be funded? How do you buy equipment? What travel support can you expect from your department? Do you need to write a proposal before coming to MIT? How soon afterwards? How is lab space allocated? How is equipment maintenance paid for? How much support staff time is covered by the department? What other labs are available for cross-disciplinary research efforts at MIT? Elsewhere?

1.3 Teaching

What is the normal teaching load in your department?

2. On Arrival

2.1 General

Who is your AO (administrative officer)? What is his/her responsibility? How do the mechanics of your department/lab work (e.g., purchase orders)? How is your department organized? (Divisions, committees?) How are decisions made? What should you expect from your support staff? What fraction of a support staff member's time is typical? What kind of work can you expect from him/her?

2.2 Research and Resources

How important are grants? How do you get hooked into the grant-writing process? Where should you look? Who can help you to find out where to meet people, to write the best possible proposal, to draw up a budget? How much effort should you be investing in fundraising? What are the tradeoffs? Who, if anyone, will «introduce you around» to government funding agencies and others? How does ILP (Industrial Liaison Program) work? What can it do for you?

3. Later

3.1 Research and Resources

What conferences should you go to? Do you need to have papers accepted? How much travel is allowed/expected/demanded? Is it better to go to large conferences or smaller workshops? Should you give the papers or should your students? If the latter, how else can you gain the type of exposure necessary for good tenure letters? Authorship etiquette: Should you put your graduate students' names on your papers? Should you put them ahead of your own? How important is first authorship? How is alphabetical listing of authors viewed? Where should you published? What should you publish? How much / often? Are there quantity/quality standards for promotion? How do journal / chapters in edited collections / (refereed or unrefereed) conferences compare? Should you write/edit a book? Special issue? May material published in one place (workshop, conference) be submitted to another (journal)? How much new work is necessary to make it a «new» publication? What is the etiquette for reporting prior publication or submission? Is it

² adapted from «Mentoring Booklet», August 2006. The information in this booklet was excerpted from an earlier brochure on mentoring prepared by a group of MIT women faculty (Mary Boyce, Peggy Cebe, Lorna Gibson, Simone Hochgreb, Vera Kistiakowsky, Heather Lechtman, Ruth Perry, Karen Polenske, Mary Rowe, Lynn Stein, Lisa Steiner, Judith Thomson, Lena Valavani and Caroline Whitbeck) during the 1991-92 academic year. <http://web.mit.edu/facultyworklife/newfaculty/mentoring.html>

worthwhile to prepare technical reports and send them to colleagues elsewhere? Should you give talks within your department? How often? How should you publicize your work within your department? What about your graduate students? How are the colloquia in your department organized? Should you give talks at other universities/industrial sites? How often? Where? How important is this? How do you get invited to give such talks? Is collaborative work encouraged or discouraged in your department/field? With other members of your department? With international colleagues? With colleagues who are more senior/better known? With junior colleagues/graduate students? Long-standing collaborations, or single efforts? How important is it to have some singly authored papers? Should you form a research group? What sorts of activities should the group do, as opposed to you and an individual student?

3.2 Student Supervision

How important are graduate students? How many should you expect to have? How many graduate students is too many? How much time/effort should you be investing in your graduate students? How much advising should you expect to do? How do you identify good graduate students? What qualities should you look for? How aggressive should you be in recruiting them? Do you need to find money/equipment/office space for them? What should you expect from your graduate students? How do you identify a problem graduate student? How do you promote your graduate students to the rest of the community (at MIT and nationally/internationally)? Similar questions for UROPs: Should you have them? How many? What kind of commitment in time, effort, and resources should you expect to make? What kind of return should you expect? What should you keep in files on your students? Remember that you will have to write reviews and recommendations for them.

3.3 Teaching

What are you expected to teach? Graduate, undergraduate, seminar, lecture, recitation, special topic, service subject? Which are the good subjects to teach? Is it good to teach service subjects, or bad, or indifferent? Is it good to teach the same course, or stay within a single area, or teach around? Is it a good thing to develop a new course? An undergraduate course? A specialized course in your research area? How can you use a special topics course to get a new research project off the ground? How much time should you spend on your subjects? Will you have a teaching assistant for your subject? Who will select him/her? What can you expect a teaching assistant to do? Are there guidelines for grading?

3.4 Administrivia

How much time should you spend advising academic counselees? How much committee work should you expect? Which committees should you turn down if asked to serve? How much time should you expect to spend on committee work? Department vs. Institute vs. outside? What types of outside service should you do while untenured? Paper and proposal reviewing? Review boards? Journal assistant editorships?

3.5 Review Procedures

For how long is your appointment? When will you come up for review? What sort of review? What is the process (who, what do they look for, how will you hear about it, etc.)? How will this repeat during the pre-tenure years? How should you go about finding people to write references for you? How many will you need? From where? International/domestic? What is your department/school's official form for your faculty record? Where can you get one? What does it include? What other vita information should you keep? What should go in your dossier? Should you send copies of congratulatory letters to your department head? Others? What types of raises are typical? When will you find out about your raise? How? How can you get feedback on your performance?

3.6 Personal issues

What special resources do your department and the institute have for women? For family issues? What policies does MIT have for family and personal leave? Since most of these policies are administered at the departmental level, how are such things handled in your department? How visible must one be in the department? Is it OK or detrimental if most work is done at home? Who is the ombudsperson and what matters does she deal with? How should you record any controversial matters? To whom do you go about disputes?

6.5. Role of the temporary induction mentor³

What's involved?

A mentor is someone who acts as a friend to a new colleague settling in. The relationship is based on informal contact between the mentor and the new colleague. The most useful role of the mentor is to discuss with the new person the aspects of the organization that don't get into official or formal descriptions: the style and culture of the place, the conventions and unwritten rules, why certain people do particular things in unexpected ways, how to get things done without huge formal efforts and so on.

In this context the role of the mentor can only be a voluntary one, because it has to be confidential to be useful. Therefore the mentor cannot be in a managerial role in relation to the person mentored. The mentor's role is one aspect of friendliness, but done a bit more systematically.

The contract

It is sensible to agree explicitly how the mentoring will proceed. Then you will both know where you are, what to expect from the other person and when the arrangement will end. Here are some suggestions:

Time

Agree when the mentor relationship will end: three months would be a reasonable length of time but it could be shorter — or longer. You can always decide to extend the relationship if you both wish — again a finite time is best — or just to continue as friends. Agree how often and how long you'll meet: perhaps once or twice a week initially, possibly over coffee or lunch.

Flexibility

Agree, too, whether it is OK to be phoned up or called on if the person you are mentoring has a particular question. Since part of the role is to reassure, it is probably a good idea to agree to this initially and re-negotiate if it gets out of hand — which is unlikely if your other meetings are regular.

Confidentiality

Agree that you will not disclose to anyone else what you discuss with the person you are mentoring unless with her/his agreement. Agree how you will describe the partnership to others, including the head of institution if she/he asks.

Boundaries

You are not responsible for the person you are mentoring, nor for his/her formal induction. But you can easily answer questions, fill in the odd small gap in it, allay anxieties and give friendly guidance. It isn't your job to fill in all the gaps left by the formal induction process.

Review and evaluation

At the end of the arrangement, look back over the time and list what went well and what you might do differently another time. Comment constructively on each other's handling of the role. Tell the head of institution or whoever recruited you to the role if you've enjoyed it and if you would be prepared to do it again. Tell CPPD if you've enjoyed it, or if you haven't enjoyed it and would like to talk it over. Tell them too of any tips for future mentors or people being mentored or suggestions for amendments to this note or other induction documents.

³ adapted from Center for Personal and Professional Development, University of Cambridge
<http://www.admin.cam.ac.uk/offices/hr/cppd/opportunities/mentor/>

If you think something is going wrong

Use your judgment. Encourage the person you're mentoring to tackle it if that's at all possible. Remember you aren't their advocate. But if you think someone's physical or emotional health or safety may be at risk, you have a duty to draw the attention of that person to the possible risk and to take reasonable steps to avert it. If you think something needs to be brought to the attention of an authority, your union may be able to do it anonymously. If you are going to someone else, do discuss the matter with the person you are mentoring first and tell him/her what you are thinking of doing. Remember that in law you may be considered to be the University's ear: if you have heard of something on which the University ought to take action, like harassment, the University may be deemed to have heard it too; if then the University doesn't act, it may be considered to have deliberately ignored a problem because you have not fulfilled your responsibility to disclose it or remedy it.

Some tips

- › When you meet, ask the new person what's going well, then what isn't going well or hasn't yet started or isn't yet clear.
- › Follow where the answers lead.
- › Be friendly.
- › Answer direct questions.
- › Give the sort of information that is likely to be useful, but avoid overloading or lecturing.
- › Give advice if asked.

Why be a mentor?

- › Mentoring helps and supports the new person. She/he will appreciate it.
- › It contributes to the smooth running of the organization.
- › If nobody does it, the organization is not being as friendly to new people as it might be.
- › If you were supported by a mentor or by friends or others when you were new, this is a constructive way of showing the value you put on that experience.
- › If you didn't have a mentor when you started but would have liked one, this is your way of improving the organization for people who come after you. It makes it more likely that others will take on the role, and that the organization will take more care of its people.
- › It uses your experience, making it available to a new person.
- › It widens your understanding of the organization and the way it works. This is useful in itself and particularly useful if you have a management role or wish to prepare for one.
- › It practices useful skills including tact, negotiating and making explicit agreements about relationships.
- › The head of your institution might appreciate it.