

## Evaluation Criteria and Content of the Candidate's Self-Report for Evaluations of Assistant Professors at ETH Zurich

In this document, the evaluation criteria and the content of the candidate's self-report for evaluations of assistant professors at ETH Zurich are defined. In accordance with the San Francisco Declaration on Research Assessment (DORA<sup>1</sup>), the quality of the candidate's performance is of highest priority in the evaluation.

The following **evaluation criteria** are utilized:

### 1. Research

- a. Leading scientific profile and its reflection through publications, invited lectures, awards, and the standing within the scientific community
- b. Acquisition of research funds
- c. National and international networks and collaborations

### 2. Teaching

- d. Extent and quality of teaching activities
- e. Supervision of undergraduate projects, as well as doctoral students and postdoctoral fellows
- f. Innovation in teaching and development of teaching methodologies

### 3. Knowledge and technology transfer

- g. Practice-oriented activities, as reflected by patents, expert consulting, service activities for institutions and society, and others (e.g. spin-offs)
- i. Engagement with society and politics, nationally and internationally

### 4. Miscellaneous

- j. Service activities for the academic community
- k. Quality of team leadership
- l. Scientific integrity (personal and in the research group)<sup>2</sup>.

On the basis of these criteria, the assistant professor and the respective department develop a **joint understanding** on the targeted achievements and the related evaluation criteria in a subject-specific manner within the first six months of the assistant professor's taking office.

The following **considerations** are made during the evaluation:

- The evaluation of **research** is primarily based on the quality, originality, and impact of the scientific advances made by the candidate, with primary focus on their time as an assistant professor at ETH Zurich.

These advances are also assessed based on the input from senior experts (letter writers) from internationally renowned institutions. All of the letter writers must be independent from the candidate (no joint publications, no joint grants, no supervisory role). The external letters are requested by the department. The ETH Tenure Committee can ask the department to request additional letters or request additional letters directly. The evaluation of scientific activities that

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<sup>1</sup> <https://sfdora.org/read/>

<sup>2</sup> [Wissenschaftliche Integrität – Staffnet | ETH Zürich](#)

cross traditional disciplinary boundaries must be taken into account by including letter writers with appropriate expertise across disciplines.

Additionally, important roles in the evaluation process are played by (i) the candidate's dossier, (ii) the letter from the department to the ETH Tenure Committee, making the case for tenure, and (iii) the candidate's tenure lecture. Furthermore, selected members of the ETH Tenure Committee perform in-depth readings of key publications, typically chosen among those indicated by the candidate.

Various criteria are used to assess the international visibility, impact, and leadership of the candidate. These include, among others, the quality of publications, awards received, funds raised as PI or co-PI, in particular also from international entities such as the ERC, invited lectures or keynote presentations at (international) key conferences, and leadership in the organization of international meetings and scientific consortia. The ETH Tenure Committee is aware that major research results sometimes only come to publication towards the end of the tenure track period and may therefore not be significantly reflected in citations at the time of the evaluation. The role of the candidate in the publications (first or last author, etc.) is also considered, taking into account disciplinary differences and traditions in this regard.

- The evaluation of **teaching** considers the teaching engagement (courses, supervision of semester projects, and Bachelor's, Master's, and doctoral theses). The quality of teaching is partly proxied by teaching evaluations. In addition, activities related to innovation and development in teaching, how the candidate dealt with critical evaluations, and didactic training are taken into account. The respective environment (type and size of courses, teaching performance in the own department or in degree programs of other disciplines, comprehensive restructuring of teaching content, etc.) is taken into consideration. It is understood that the teaching load is typically smaller than that of a tenured professor. The successful completion of at least some doctoral theses is generally expected. Awards for teaching as well as information from the teaching report of the rectorate<sup>3</sup> used to support the assessment of teaching quality based on teaching evaluations.
- The assessment of **knowledge and technology transfer** takes into account the establishment and participation in practice-oriented innovation partnerships, entrepreneurial approaches to the application of scientific findings and their expression in patents or implementations, funds acquired for transfer activities, and dialogue and engagement with society and/or politics. Recognizing that this type of engagement is often domain-dependent, such achievements are not expected from all professors and are not mandatory for a positive overall assessment.
- Assistant professors are expected to engage in activities in the area of **services for the academic community**, including at ETH Zurich, nationally, and internationally. However, a large time commitment to this area is not expected. Examples include reviewing for academic journals or funding agencies, community leadership activities, membership in selection or steering committees, and involvement in teaching committees or doctoral committees.
- The assessment of **leadership and mentorship competencies and development** aims to recognize that successful professors at ETH Zurich should have or be willing to develop the necessary toolbox of soft skills to effectively guide and mentor larger research teams. Where not already available, such skills can be honed in mentoring meetings within the department, by taking leadership and mentoring courses, or through other activities. It is expected that members of the candidate's research group are treated with respect and integrity and genuinely supported in the advancement of their careers. It is essential that the candidate exemplifies and promotes scientific integrity and that she or he interacts respectfully with team members and peers in accordance with the values of ETH Zurich.

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<sup>3</sup> The teaching report of the rectorate provides an overview of the candidate's teaching engagement and entails an overall assessment. It facilitates the teaching evaluation by the ETH Tenure Committee.

## Content of the self-report provided by the candidate

### I. Curriculum vitae

### II. Description of the most important goals achieved and activities planned in

- a. **research** (research statement)
- b. **teaching** (teaching statement)
- c. **knowledge and technology transfer**
- d. other achievements to the benefit of the **academic community**
- e. **leadership** (leadership statement).

Three to five most important achievements should be specifically emphasized.

The following overviews in table or list form are to be attached:

#### A. Research

- i. List of the five most important publications (with full author lists)
- ii. Complete list of publications (with full author lists)
- iii. List of presentations and contributions to conferences (selection if applicable)
- iv. List of acquired research funds (public, private). For each grant, this should include full name of the funding agency, duration of grant, role of the candidate (i.e. PI, co-PI, member), and how much funding has been raised in total and for the own lab.
- v. Research awards, prizes, and scholarships
- vi. Most influential national and international collaborations

#### B. Teaching

- i. List of courses and lectures
- ii. Results of all teaching evaluations, with any further statements on teaching activities
- iii. List of all supervised semester projects, and Bachelor's, Master's, and doctoral theses during the assistant professorship (with project titles and dates)
- iv. Other evidence of teaching qualifications, e.g. teaching projects, continuing education
- v. Teaching awards and prizes

#### C. Knowledge and technology transfer

- i. List of patents, licenses, spin-offs
- ii. List of collaborative activities with industrial or clinical partners, public institutions, and foundations
- iii. List of activities in the area of dialogue with society or politics
- iv. Transfer awards and prizes

#### D. Miscellaneous

##### i. Academic service

- a. Membership of committees, boards, advisory boards, or other committees of scientific or scientific-political institutions or professional societies
- b. Editorships
- c. Review activities
- d. Other activities as an expert, reviewer, etc.

##### ii. Leadership

- a. List of activities in the area of leadership (e.g. further training, participation in coaching sessions, group retreats)
- b. Measures to implement and promote scientific integrity (personal and in the research group)

#### E. Commented suggestions for up to five reviewers for the evaluation (can be omitted for assistant professorships without tenure track); attention must be paid to potential conflicts of interest.

Addendum:

Research statement: should include a summary description of the most significant contributions made during the assistant professorship and an explanation why the candidate considers them significant, as well as future goals (approx. 2-4 pages).

Teaching statement: should include a summary of the most significant teaching philosophy and contributions made during the assistant professorship, new courses or teaching methodologies developed and how they relate to the curriculum, a reflection of the teaching evaluations as well as future goals and plans (approx. 1-3 pages).

3 December 2024