

1 **ACD 506-01 Preamble**

2

3 **Source: ABOR 6-201 and Personnel Policies and Procedures for Faculty**

4

5 **Applicability: Faculty**

6

7 The excellence of its faculty is one of the primary determinators of the quality of any  
8 university; appointments, tenure and promotion decisions are among the most important  
9 activities a university undertakes. Promotion and tenure decisions are critical for they  
10 affect most significantly the future excellence and standing of the university.

11 The excellence of a faculty member can be measured not only by individual achievement  
12 but also by his/her contributions to his/her unit's current and future mission and  
13 objectives. Thus, the promotion and/or tenure review process of necessity takes into  
14 account the mission and objectives of each unit as it reviews the professional  
15 accomplishments of each faculty member under review.

16 The unit guidelines articulate two parameters for promotion and/or tenure review. The  
17 first parameter is the set of the discipline's criteria by which a faculty member is  
18 evaluated in the areas of research and creative activity, instructional contributions, and  
19 professional service. These criteria are benchmarks by which quality of contributions can  
20 be measured; they are not goals, which if achieved, guarantee tenure and/or promotion.  
21 The second set of parameters is the unit's mission statement and objectives, the context  
22 within which the individual contributions of the faculty member can be measured.

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28 **CROSS REFERENCES:**

29 ACD 505-02, "Faculty Membership, Ranks, Titles, Appointment Categories and Honored  
30 Positions" and ACD 506-02, "Key Terms,"

1 **ACD 506-02: Key Terms**

2  
3 **Purpose: To define key terms related to types of faculty appointments, types of**  
4 **performance evaluation, faculty responsibilities and required evidence, and**  
5 **organizational structure.**

6  
7 **Applicability: Faculty**

8  
9 **Types of Faculty**

10  
11 Any person appointed as an assistant professor, associate professor, or professor is either  
12 tenured or tenure-eligible as designated by the notice of appointment, except as provided  
13 below. Tenure-eligible faculty are also referred to as “probationary” faculty and “tenure-  
14 track” faculty.

15  
16 Any person appointed to a faculty position designated as ‘visiting,’ ‘adjunct,’ ‘research,’  
17 ‘clinical,’ or other such titles as may be designated by the university shall not be tenured  
18 or tenure eligible and shall have no expectation of continued employment beyond the end  
19 of the current appointment period.

20  
21 Persons appointed as instructors are not tenure eligible. New assistant professors who  
22 have not finished the required degree receive the initial appointment of instructor, “not on  
23 track” as a temporary designation; upon completion of their final degree requirement  
24 their title is changed to “assistant professor.”

25  
26 **Types of Performance Evaluation**

27  
28 Annual performance reviews meet the ABOR requirement for an annual assessment of  
29 faculty performance that is both formative and summative. They also serve as the basis  
30 for allocation of merit-based salary increments and, for tenured faculty, are the first step  
31 in the post-tenure review process. Annual performance reviews differ in important ways  
32 from probationary, tenure, and promotion reviews. Annual evaluations do not cumulate  
33 into tenure, promotion, termination, or release decisions. For probationary faculty, the  
34 annual evaluation should not be confused with the probationary review. Annual feedback  
35 on progress toward tenure for probationary faculty may occur at the same time and be  
36 based upon the same material as the annual performance review, but probationary  
37 reviews are prospective and reflect the academic unit’s estimate of the candidate’s future  
38 promise. Thus, the procedures and standards used in annual performance reviews are  
39 different from those used in retention, promotion, and tenure reviews. Annual  
40 performance reviews are retrospective and summative, whereas tenure and promotion  
41 reviews are prospective and summative.

42  
43 Probationary reviews are formal reviews for renewal of probationary appointments at the  
44 department, college, and university levels conducted in the 3<sup>rd</sup> year for each tenure-track

1 assistant professor to assess progress toward tenure. For tenure-track associate or full  
2 professors, the formal probationary review is conducted in the 2nd year. Unit heads will  
3 also conduct annual meetings, documented in writing, to provide probationary faculty  
4 feedback about progress toward tenure. This review includes feedback from the unit  
5 faculty.

6  
7 Probationary reviews are formal reviews for renewal of probationary appointments at the  
8 department, college, and university levels conducted in the 3<sup>rd</sup> year for each tenure-track  
9 assistant professor to assess progress toward tenure. For tenure-track associate or full  
10 professors, the formal probationary review is conducted in the 2nd year. Unit heads will  
11 also conduct annual meetings, documented in writing, to provide probationary faculty  
12 feedback about progress toward tenure. This review includes feedback from the unit  
13 faculty.

14  
15 Tenure and promotion to associate professor reviews for tenure and promotion to  
16 associate professor must be conducted no later than the sixth probationary year. Reviews  
17 may be conducted sooner if the faculty member is nominated (and agrees) or self-  
18 nominates. For associate or full professors without tenure, the tenure review occurs no  
19 later than the 4th year.

20  
21 Promotion to full professor reviews for promotion to full professor may occur at any  
22 time. Consideration for promotion to full professor may be initiated by nomination (and  
23 acceptance) or by self-nomination.

24  
25 Post-tenure reviews begin either with annual performance reviews or with program  
26 reviews. If a faculty member is found to be “unsatisfactory” in one or more areas of  
27 evaluation, or on the overall evaluation, the relevant post-tenure review procedures must  
28 be followed.

29  
30 Program reviews are conducted every six or seven years and assess the performance of  
31 the entire academic unit (school, department, division, or program). These also cover the  
32 contribution of faculty members to their unit. If the program review team raises questions  
33 about the quality of a faculty member’s contributions to their unit the procedures of the  
34 post-tenure review process must be followed. At ASU, program reviews meet the ABOR  
35 requirement for student and community involvement in the post-tenure review process.

### 36 37 **Definitions of Faculty Responsibilities**

38  
39 Teaching and Instruction. Teaching and instruction include classroom teaching;  
40 mentoring, advising, directing independent study, theses, and dissertations; curriculum  
41 development; technologically enhanced courses; extended education and distance  
42 learning; learning outcome assessment activities and other instructional or pedagogical  
43 innovations appropriate to the unit.

44  
45 Service. Service encompasses service to the university, service to the academic  
46 profession, and public / community service. Service to the university includes the

1 individual's expected contribution to internal committee work, faculty governance  
2 activities, the preservation of a collegial atmosphere at all levels of interaction within the  
3 university, unit and/or university affirmative action goals and minority student  
4 recruitment and retention goals, and ethical / professional behavior as defined in ASU,  
5 ABOR, or unit policy. Service to the academic profession includes external reviews for  
6 journals, offices held in academic professional organizations, and other activities as  
7 determined by the unit. Public/ community service is an extension of the faculty  
8 member's research and teaching activity to the larger community outside the university.

9  
10 Research and Creative Activities. Research and creative activities are defined as  
11 intellectual work which advances the disciplines whose significance is validated by  
12 academic peers or other appropriate outside authorities, and which is communicated to  
13 peers or other appropriate persons. Such work in its diverse forms is based on a high level  
14 of professional expertise, is original, is documented and validated through peer review or  
15 critique, and is communicated in appropriate ways so as to have an impact on or  
16 significance for the discipline itself or for publics beyond the university. Research and  
17 creative activities encompass all scholarly work, including the scholarship of discovery,  
18 integration, application, and instruction.

## 19 20 **Organizational Structure**

21  
22 Places and Administrative Units:

23  
24 University refers to the multi-campus entirety of Arizona State University.

25  
26 Campus refers to one of the campuses of the University, including ASU Main,  
27 ASU West, ASU East, or the Extended Campus.

28  
29 College refers to the administrative units on each campus. ASU Main is  
30 composed of the Colleges of Architecture and Environmental Design, W. P.  
31 Carey School of Business, Education, Extended Education, Engineering and  
32 Applied Sciences, the Katherine K. Herberger College of Fine Arts, Law, Liberal  
33 Arts and Sciences, Nursing, Public Programs, the Craig and Barbara Barrett  
34 Honors College, and the Graduate College. ASU East is organized into the  
35 following administrative units: the College of Technology and Applied Sciences,  
36 the Morrison School of Agribusiness and Resource Management, and East  
37 College. ASU West is composed of the Colleges of Arts and Sciences, Education,  
38 and Human Services; the School of Management; and the Division of  
39 Collaborative Programs.

40  
41 Academic Unit refers to a department, school, division or program housed within  
42 a college.

43  
44 People and Administrative Personnel:

45

1        University Provost refers to the Executive Vice President and Provost of the  
2        University.

3  
4        Campus Provost refers to the persons holding title of Provost at ASU Main, ASU  
5        East and ASU West.

6  
7        Supervising Dean refers to the person holding the title of Dean in the  
8        administrative unit that houses the pertinent academic unit.

9  
10       Head of Academic Unit refers to the chair or director of an academic unit.

11

12

13       *Cross-References:*

14       *ACD 505-02, “Faculty Membership, Ranks, Titles, Appointment Categories, and*

15       *Honored Positions” and ACD 506-03 “Probationary Appointments”*

1 **506-03: Probationary Appointments**

2  
3 **Purpose: To describe probationary appointments**

4  
5 **Sources: ABOR 6-201; Office of the Executive Vice President and Provost of the**  
6 **University**

7  
8 **Applicability: Faculty**

9  
10 **Policy:**

11  
12 **Purpose of Probation**

13 The purpose of probation is to provide the tenure-track faculty member with an  
14 opportunity to develop and demonstrate the ability to meet the criteria for tenure at the  
15 institution and to provide the institution the opportunity to evaluate the abilities of the  
16 faculty member.

17  
18 **Commencement of the Probationary Period**

19 Except as provided below, commencement of the probationary period will coincide with  
20 initial appointment. When an individual's appointment begins in the spring semester, the  
21 tenure clock begins in the fall semester that follows the spring semester in which  
22 employment commenced.

23  
24 If individuals who are hired as assistant professors with the expectation that all degree  
25 requirements will be completed prior to the beginning of their employment fail to  
26 complete their degree requirements by the beginning of the academic year, they will  
27 begin teaching with the rank of instructor and receive a lower salary. If they complete  
28 their requirements in the fall, individuals may make one of two choices. They may elect  
29 to have their title changed to assistant professor during the fall semester and their salary  
30 increased by the amount designated by the University, effective as of the date of  
31 completion and prorated as of that date. (In this case, the academic year of the fall  
32 semester will be considered the first year of their six-year probationary period.) They  
33 may elect to remain an instructor, with no increase in salary, for the fall semester, then  
34 elect to become an assistant professor with a base salary increase for the spring semester.  
35 (In this case, the six-year probationary period will not begin until the fall semester after  
36 the individual's completion of the degree.) If individuals in this situation fail to complete  
37 their degree requirements within this first year, their employment may be terminated.

38  
39 **Duration of the Probationary Period**

40 All full-time faculty appointed at the assistant professor rank have a maximum of six  
41 years in which to apply for tenure. All full-time faculty appointed at the associate  
42 professor or professor rank have a maximum of four years in which to apply for tenure.  
43 When probationary appointees are granted promotion to associate professor or professor,  
44 the appointment at the higher rank will be with tenure.

45

1 Established faculty members, especially those who have had previous teaching  
2 experience and desire to be considered for tenure earlier than the date listed in their  
3 appointment letters, should consult with their unit heads and/or deans about the  
4 possibility of being reviewed and recommended for tenure prior to their final  
5 probationary year. Reviews of applications for promotion and tenure prior to the  
6 candidate's sixth year may include consideration of previous experience at ASU or in a  
7 tenure-track position at a peer institution.

### 10 **Extension of the Normal Probationary Period**

11 Untenured faculty members may request, no later than the fall semester of their fifth year  
12 (i.e., the year prior to the year their tenure decision will be made), a one-year extension of  
13 the probationary period. If such a request is granted, the faculty member shall not be  
14 subject to additional scholarship requirements at the time of the tenure decision. The  
15 request should be made in writing and should be forwarded through the head of the  
16 academic unit and supervising dean, who will consult with appropriate personnel  
17 committees and forward the request, with recommendations, to the campus provost, who  
18 will make the final decision. The approval process must include an agreement for the  
19 timing of remaining probationary reviews.

21 The request for a one-year extension could be built around the following circumstances:

23 A one-year or one-semester unpaid leave of absence granted for personal reasons and  
24 having no significant relationship to the professional activity of the faculty member may  
25 be exempted from the probationary period, if requested by the faculty member and  
26 deemed appropriate by the unit head, supervising dean, and campus provost.

27 A faculty member may request a one-year, good-cause extension of the probationary  
28 period while continuing employment. Good cause refers to personal circumstances that  
29 are likely to interfere with a faculty member's efforts to conduct scholarship at the  
30 expected rate. Good cause includes, but is not limited to, serious illness or other disability  
31 and exceptional family care responsibilities such as pregnancy, childbirth, adoption, or  
32 being the primary care giver of a minor child or other individual who requires  
33 extraordinary care and is dependent upon the employee for that care.

35 A one-year leave granted for professional reasons, such as fellowships, visiting  
36 appointments, and research grants, will not interrupt the sequence of probationary years.

### 38 **Probationary Period for Faculty Who Are Less than 100% FTE**

39 An individual working in a tenure-track position <100% FTE for one or more years may  
40 have his or her probationary period extended. The performance expectations for an  
41 individual with an extended probationary period should be the same for the quality of  
42 contributions but should be proportionate to the FTE effort for the quantity of  
43 contributions as they are for individuals with a regular probationary period.

44 At the time that approval for part-time work is given, an agreement must be drawn up and  
45 signed by the faculty member, the unit head, the supervising dean, and the campus  
46 provost stating whether the individual is working for tenure in a part-time or a full-time

1 line, the expectations for tenure and promotion, and the maximum time limit for the  
2 tenure review.

### 3 4 **Review of Probationary Faculty**

5  
6 **Annual feedback on progress towards tenure.** The head of the academic unit, after  
7 consulting with unit faculty, is responsible for providing, at least once annually, feedback  
8 to each probationary faculty member about their professional development and progress  
9 towards tenure. The head of the academic unit will provide the faculty member, the unit  
10 personnel committee, and the supervising dean a written summary of the feedback  
11 session. This feedback may take place at the same time and be based upon the same  
12 submitted materials as the Annual Performance Review. However, feedback on progress  
13 toward tenure for probationary faculty is distinct from the annual evaluation of  
14 performance. The former is prospective and reflects the academic unit's estimates of  
15 future promise, whereas the annual performance review is retrospective and summative.  
16 The mid-tenure formal, probationary review may serve the purpose of the annual  
17 feedback on progress toward tenure for the year it is scheduled.

18  
19 **Probationary Review.** In addition to the annual feedback on progress towards tenure,  
20 all probationary faculty must receive a formal probationary review midway through their  
21 tenure period. For tenure track assistant professors this formal probationary review will  
22 be conducted during the fall of the third year; for non-tenured associate or full professors,  
23 the probationary review will be conducted in the fall of the second year.

24  
25 The probationary review is conducted for the purpose of giving faculty members an  
26 appraisal of their progress toward earning tenure. A formal probationary review must be  
27 conducted for each assistant professor in the fall of their third year, with the tenure  
28 review being conducted no later than the sixth year. A nontenured associate or full  
29 professor will have a probationary review in the fall of the second year with the tenure  
30 review being conducted no later than the fourth year. Established faculty members who  
31 desire to be considered for tenure earlier than the date listed in their appointment letters  
32 may do so. If a faculty member applies early for tenure and is denied, the candidate can  
33 reapply in any of the following years remaining in the probationary period. If the tenure  
34 decision is negative the same materials may be used for the probationary review.

35  
36 Because of its purpose, the probationary review should closely resemble the actual tenure  
37 review except that outside letters are not sought. The unit personnel committee, the unit  
38 head, the college personnel committee, and the supervising dean all review materials  
39 prepared according to instructions received from the campus provost. Reviewers at each  
40 level write formal, independent assessments. These reports are forwarded to the campus  
41 provost, who makes the final decision regarding termination or retention. Copies of all  
42 reports are to be given to the probationary faculty member within 30 days after the  
43 campus provost notifies the supervising dean of the retention decision. [Note: Decisions  
44 of non-retention are not restricted to the years of the probationary reviews; they may be  
45 made in any year during the probationary period.]

1 If a faculty member receives a conditional contract, then either a probationary or tenure  
2 review must be conducted the following year so that an appraisal can be made of how  
3 well the conditions have been met.  
4

5 **Criteria for Retention of Probationary Faculty**

6 The review must be consistent with the key terms described in ACD 506-02 and common  
7 evidentiary elements described in ACD 506-06. The criteria for retention must be  
8 analogous to those used for tenure and promotion decisions in the unit, taking into  
9 account the years in rank at ASU.  
10

11 **Conclusion of the Probationary Period**

12 During the final probationary year, the academic unit and/or college to which a  
13 probationary faculty member is attached must determine, according to established  
14 criteria, whether to recommend that tenure be granted to that individual.

15 For appointees who are granted tenure, the Notice of Appointment for the following year  
16 and all succeeding years will be expressly “with tenure”; annual reappointment will only  
17 cease as provided in ASU and ABOR policies. For appointees who are not granted  
18 tenure, the Notice of Appointment for the following year will be a terminal contract.  
19

20 **CROSS REFERENCES:**

21 ACD 506-05, “Promotion” and ACD 506-06, “Evaluation for Tenure and Promotion”  
22

1 **ACD 506-04 Appointments with Tenure**

2  
3 **Source: ABOR 6-201 and Personnel Policies and Procedures for Faculty**

4  
5  
6 **Applicability: Faculty**

7  
8 **Policy:**

9  
10 Tenure is a property right authorized by the Board of Regents and, through Board  
11 delegation of authority, granted by the president to individuals. An individual's tenure at  
12 Arizona State University is located at ASU Main, ASU East, or ASU West. Tenure is not  
13 transferable between the three campuses, except as provided through university policy  
14 and procedure.

15  
16 Appointments with tenure are those with continuous annual reappointment until  
17 retirement, resignation, release for budgetary reasons, release for reasons of educational  
18 policy change, or dismissal for cause, each as provided in *ASU and ABOR policy*.

19 Attainment of tenure can only occur through specific notification from the president and  
20 may not result from inaction or inadvertence.

21  
22 Faculty members are granted tenure because they have demonstrated excellence in  
23 scholarship and/or creative activity, instructional contributions, and service. This  
24 excellence is achieved in the context of the program in which faculty members work. It is  
25 understood that units will have different criteria for achieving tenure that are dependent  
26 upon the program's mission, stature, and goals.

27  
28 The rapidly changing character of research and its methodologies make it impossible for  
29 a university, even one of considerable size, scope, and resources, to have tenured faculty  
30 in every discipline. Therefore, appointments to tenure are offered to only those scholars  
31 whose disciplinary contributions are deemed excellent and whose ability to contribute to  
32 university priorities is also highly developed.

33  
34  
35  
36 **CROSS REFERENCES:**

37 ACD 505-02, "Faculty Membership, Ranks, Titles, Appointment Categories and Honored  
38 Positions" and ACD 506-02, "*Key Terms*"

1 **ACD 506-05: Promotion**

2  
3 **Purpose: To describe promotion**

4 **Sources: ABOR 6-201; OVSSP Office of the Executive Vice President and Provost**  
5 **of the University**

6 **Applicability: Faculty**

7  
8 **Policy:**

9  
10 The purpose of promotion is to recognize and reward accomplishment. Promotion is  
11 awarded on the basis of proven excellence rather than on a lack of deficiencies.  
12 Promotions of nontenured probationary (tenure-eligible) faculty to the ranks of associate  
13 professor or professor will be accompanied with tenure. Demotion does not occur.

14  
15 The collection of supportive materials pertinent to all such decisions will be the  
16 responsibility of the faculty member, except that the department personnel committees  
17 and the chairs will collect supplementary confidential evaluation letters where required.

18  
19 **Instructor (ABD) to Assistant Professor**

20 Change in title from instructor(ABD)[all-but-dissertation] to assistant professor is  
21 made for a person hired as an assistant professor in a tenure-eligible position but  
22 who has not finished the doctoral degree at the time of appointment, as described  
23 in ACD 506-02. Once the degree is conferred and official notification has been  
24 received by the Executive Vice President and Provost, the instructor (ABD) title  
25 is changed to assistant professor.

26  
27 **Assistant Professor to Associate Professor**

28 Promotion from assistant professor to associate professor will be granted if the  
29 faculty member **has achieved excellence in instructional contributions and in**  
30 **scholarship and/or creative activity. Service contributions must be consistent**  
31 **with unit criteria.** An assistant professor whose intent is to remain at the  
32 university must apply for promotion no later than the sixth year of service as an  
33 assistant professor at ASU. **An early application is also possible.**

34 **Associate Professor to Professor**

35 Promotion from associate professor to professor must be based on unit and  
36 college criteria. These criteria should reflect a commitment to excellence in all  
37 areas of faculty endeavor, in that the faculty member should be able to  
38 demonstrate that he/she has advanced the discipline and served society.

39  
40  
41  
42 **CROSS REFERENCES:**

43 ACD 505-02, "Faculty Membership, Ranks, Titles, Appointment Categories, and  
44 Honored Positions" and ACD 506-03, "Probationary Appointments"

1 **ACD 506-06 Evaluation for Tenure and Promotion**

2  
3 **Source: ABOR 6-201 and Academic Senate**

4  
5 **Applicability: Faculty**

6  
7 **Policy**

8  
9 Academic personnel policies and procedures at the university are designed to ensure a  
10 fair and impartial process of review and evaluation for each candidate. Policies and  
11 procedures for evaluation must strive to be clear, unambiguous, comprehensive, and  
12 applied consistently and uniformly.

13  
14 The tenure and promotion review is a cumulative process conducted by the personnel  
15 committee in the academic unit, the head of the academic unit, the college personnel  
16 committee, supervising dean, campus personnel committee, campus provost, University  
17 Provost, and the President of the University.

18  
19 **Responsibilities of the Academic Units and Colleges**

20 The assignment of faculty tenure lines and associated budgets to a campus department,  
21 school, college, or division is the responsibility of the campus provost. Written criteria  
22 for personnel decisions will be established by each college and academic unit in terms of  
23 its special needs and expectations. These criteria shall be approved by the campus  
24 provost, and shall be consistent with university affirmative action and equal opportunity  
25 policies. Written policy documents in each unit must define the categories of faculty  
26 work that are included in the evaluation and must specify the types of evidence faculty  
27 are expected to submit. Unit guidelines must be consistent with ABOR and ACD policy.

28  
29 The unit's written criteria concerning evaluation for tenure and promotion must address  
30 evaluation issues pertaining to faculty who participate as affiliated faculty or as "core  
31 faculty" in another program, such as a department, center, institute, or interdisciplinary  
32 program. The purpose of the policy is to explain how the work in these units is taken into  
33 account in the tenure and promotion process. Normally, faculty should:

- 34  
35
- 36 • have the option of including their "outside" contributions within their official  
37 "distribution of effort" in their home unit;
  - 38 • be allowed to include on their list of external reviewers persons who are  
39 qualified to provide meaningful input on the particular work done outside of  
40 their home unit;
  - 41 • be allowed to request that the chair consult with the center or institute director  
42 in selecting external reviewers, although the final decision on such reviewers  
43 is determined by the unit's policy.

44 Academic units housing faculty who engage in interdisciplinary scholarship need to  
45 establish criteria with which interdisciplinary scholarship is evaluated and weighted.

1  
2 All college, campus, and university committees meeting to consider matters of promotion  
3 and tenure must inform the head of the academic unit if there are major faults or  
4 omissions in the material or if significant questions or possible misunderstandings arise.  
5 The head of the academic unit may send additional letters to the committee as the case  
6 progresses if there is a need, either to clarify some matter that may cause confusion or to  
7 give additional information. However, all parties should remember that ASU policy  
8 provides for independent reviews by faculty committees and administrators.

9  
10 Suggestions for improvement in areas subject to evaluation ordinarily are given to  
11 candidates no later than the probationary review held in the third year.

### 12 13 14 **Promotion and Tenure Evaluation Criteria**

15 The collection of supportive materials pertinent to all promotion and tenure decisions is  
16 the responsibility of the faculty member, except that the head of the academic unit and  
17 the personnel committee in the unit will collect supplementary confidential evaluation  
18 letters where required.

19  
20 A person is promoted, granted tenure, or retained on the basis of excellent performance  
21 and the promise of continued excellence. All performance evaluations involve assessment  
22 of faculty professional responsibilities, particularly as they pertain to quality of teaching  
23 and instruction; quality of research and publication or other creative endeavors; and  
24 quality of service to the profession, university, and community (local, state, and national  
25 or international). Unit policy must specify what materials the faculty are expected to  
26 submit for review of teaching and instruction, research and creative activity, and service.

#### 27 28 Quality of teaching and instruction:

29 Evidence of the quality of teaching and instruction must be assessed through multiple  
30 indicators including at least the following: a summary of student evaluations collected  
31 and reported in accord with university and unit procedures and a peer or supervisory  
32 review of instructional materials (such as syllabi, assignments, web-based courses). The  
33 evaluation of instructional materials must take into account relevant factors such as  
34 student learning, currency of course, and contribution of the course to the unit's  
35 curriculum, pedagogy, and the scholarship of instruction. It may involve peer observation  
36 of teaching.

37  
38 Review materials that must be submitted from the unit to the higher levels of review  
39 include (i) a summary table of courses taught, number of students in each, and a summary  
40 of student evaluations (ii) instructional materials as specified by the unit, (iii) a statement  
41 of teaching philosophy and any professional development activities undertaken in relation  
42 to teaching / instruction, and (iv) two products that reflect the quality of teaching /  
43 instruction, as specified in the unit policies.

44  
45 Quality of research and publication or other creative endeavors:

1 Evidence of the quality of research and creative activities can be measured by indicators  
2 such as the scholarly standards reflected in the work; impact on intended audiences;  
3 importance, innovativeness, and relevance of the work as suggested by external peer  
4 reviewers or other appropriate authorities; quality of the journals, publishers,  
5 conferences, or other communicative outlets; citations of the work; longevity of influence  
6 and other similar indicators appropriate to the discipline and unit. The scholarly aspects  
7 of all professional responsibilities undertaken on behalf of the unit, including  
8 instructional activities and service may be assessed within this category, if provided for in  
9 unit policy.

10  
11 Unit policies must specify materials that faculty are expected to submit. For probationary,  
12 tenure, and promotion reviews, copies of at least two but not more than four products  
13 must be provided by the faculty member for review and must be forwarded with the  
14 materials to the Provost's office.

15  
16 Quality of service to the profession, to the university, and to the community (local, state,  
17 and national or international):

18 Evaluation of service requires the assessment of quality as well as quantity. Each  
19 component of service must be evaluated in appropriate terms. Service to the university  
20 should be assessed in terms of impact on the well being of the unit and university; service  
21 to the academic profession must be assessed in terms of its overall value for the national  
22 distinction of the unit. Contributions to affirmative action / diversity, recruitment and  
23 retention, faculty governance, collegial working environments, and professional behavior  
24 are assessed by peers and department chairs/directors. The evaluation of public /  
25 community service must be based on the quality of the service rendered as well as the  
26 value of that service from the perspective of the community organization or partner.

27  
28 Unit policy must specify the types of information about service that are needed for each  
29 type of review, and must specify processes for obtaining such information. For  
30 probationary, tenure, and promotion reviews, units for whom public / community service  
31 is an important part of their mission, may require faculty to provide at least two but not  
32 more than four products reflecting the quality of their public service; these will be  
33 forwarded to the Provost as part of the overall dossier.

#### 34 35 **Promotion to Associate and Full Professor**

36 Promotion to associate professor and awarding of tenure require an overall record of  
37 excellence and the promise of continued excellence. The candidate must have achieved  
38 excellence in both teaching / instructional activities as well as in research / creative  
39 activities. Service must at least be "satisfactory" or "effective." Units in which public  
40 service is a central aspect of their mission also may require excellence in public service.

41  
42 Promotion to full professor must be based on an overall record of excellence in  
43 performance of professional responsibilities and the promise of continued effectiveness in  
44 professional development. Normally, an overall record of excellence requires national or  
45 international recognition for scholarly achievement in one or more areas of faculty

1 endeavor. For promotion to full professor, exceptional quality of service must be assessed  
2 primarily in relation to service to the profession or the public.

3  
4 Service to the university includes the individual's expected contribution to internal  
5 committee work, faculty governance activities, and the preservation of a collegial  
6 atmosphere at all levels of interaction within the university. For promotion and tenure,  
7 exceptional quality of service should be assessed primarily in relation to service to the  
8 public and/or profession and should be basically an extension of the faculty member's  
9 research and teaching activity to the larger community outside the university. Evaluation  
10 of service requires the assessment of quality as well as quantity.

11  
12 The denial of promotion, tenure, or retention, need not be construed as due to failure or  
13 poor performance on the candidate's part. Considerations such as the need for a different  
14 area of specialization or for a new emphasis within the unit; the lack of a continuing  
15 position; the need to shift a position or resources to another department; or the  
16 opportunity for a more vigorous program in teaching, research, or service may dictate  
17 that the individual not be retained or granted tenure.

#### 18 **Faculty in Administrative Positions**

19 For faculty members serving in administrative positions, their performance in the  
20 administrative post is usually evaluated as a component of service to the University.  
21 Faculty members serving in administrative positions need to provide evidence of teaching  
22 and instruction, research publication or other creative activities, and service to the  
23 profession and/or public for consideration in decisions regarding promotion and tenure.  
24

#### 25 **External Letters for Promotion and Tenure**

26 External evaluation of the faculty member's record is solicited for use in personnel  
27 decisions. This shall be done in a timely manner, normally by July 1 for a fall review, and  
28 should specify which areas of performance (e.g., teaching/instruction, research and  
29 creative activities, service) are included. Materials appropriate to the review should be  
30 provided to the reviewer.  
31

- 32
- 33 (a) The head of the academic unit or supervising dean proposes reviewers, and the  
34 candidate proposes reviewers. Reviewers ultimately solicited will represent  
35 both lists equally. All reviews received will be included in the candidate's file.  
36
  - 37 (b) Evaluations are solicited by the unit head from persons of high reputation in  
38 the candidate's field.  
39
  - 40 (c) The reviewer is asked for a vita and a statement regarding his or her  
41 acquaintance with the applicant.  
42
  - 43 (d) Guidelines with specific questions are furnished to each reviewer so that the  
44 evaluations will have a consistent format and can be utilized objectively.  
45

1 (e) In order to give the reviewer an opportunity to develop a quality response, the  
2 reviewer shall be given at least 30 days to respond.

3  
4 (f) Tenure and promotion decisions will include consideration of external letters.

5  
6 (g) Letters written by ASU students, staff members, or colleagues cannot  
7 substitute for external evaluations of faculty members.

8  
9 External letters of evaluation are solicited on a confidential basis. Neither the names of  
10 the reviewers nor the contents of the letters are to be shared with the applicant for tenure  
11 or promotion. Only officially appointed or elected review committees or other faculty  
12 groups specified by unit bylaws and administrators in the review hierarchy examine the  
13 letters. The greatest care is to be taken to ensure confidentiality of external letters of  
14 evaluation. Letters should be kept in a central location and viewed only there. Solicitation  
15 letters to external reviewers should include a statement that describes who will have  
16 access to the letter of review and the extent to which confidentiality can be assured.  
17 The Campus Promotion and Tenure Committee will not accept letters, either positive or  
18 negative, that have not come through a unit's established review procedures.

19  
20 **Reviewing Levels and Decision**

21 Review of materials and recommendations on promotion and tenure are provided by the  
22 unit personnel committee, the unit head, the college personnel committee, the supervising  
23 dean, and university level representatives. The decision to award or deny tenure and  
24 promotion is made by the president in consultation with the university provost.

25  
26  
27 **CROSS REFERENCES:**

28 ACD 506-03 "Probationary Appointments," 506-05, "Promotion" and ACD 507-01  
29 "Annual Evaluation of Faculty"

- 1 **ACD 506-07: Promotion from Lecturer to Senior Lecturer**
- 2
- 3 Renumbering of 506-12.....no other changes at this time.
- 4

1 **ACD 506–08: Notification of Consideration for Tenure, Promotion, or Retention**

2  
3 **PURPOSE**

4 To describe notification procedures during promotion, tenure, and probationary review  
5 processes

6  
7 **SOURCES**

8 Office of the Executive Vice President and Provost of the University  
9 Academic Senate

10  
11 **APPLICABILITY**

12 Faculty

13  
14 **POLICY**

15 **Notification during the Review Process**

16  
17 The following procedures pertain to the notification of faculty while their promotion  
18 reviews, tenure reviews, and probationary reviews are in process.

19  
20 **Promotion Review**

21  
22 Chairs of personnel review committees are not to discuss deliberations with candidates.  
23 However, faculty members who have applied for promotion may be given by the  
24 department chair (or center or school director) and/or the supervising dean a general oral  
25 statement regarding the strengths and weaknesses of their application for promotion as  
26 evaluated at the department or college level. This can be done before the materials are  
27 forwarded to the next level so that the faculty member may withdraw the request for  
28 promotion if he or she desires to do so. Committee votes are not to be disclosed.

29  
30 **Tenure Review**

31  
32 Faculty members under review either during or prior to their final probationary year may  
33 be informed orally by the chair and/or dean (as outlined above) of the recommendations  
34 being made so that the faculty member may withdraw the request if he or she desires to  
35 do so.

36  
37 **Probationary Review**

38  
39 Faculty members under review prior to their final probationary year may be informed  
40 orally by the chair and/or dean of the recommendations being made.

41  
42 Upon completion of the probationary review, the executive vice president and provost of  
43 the university or designee will notify each dean in writing whether the faculty member  
44 will be retained, retained conditionally, or given a terminal contract for the succeeding  
45 year. Those faculty who will receive a terminal contract or whose contracts are not being

1 renewed for a succeeding year will be notified in writing by the executive vice president  
2 and provost of the university.

3  
4 Faculty who undergo probationary reviews will be informed of the results in writing by  
5 their deans or department chairs no more than 30 days after the deans have received  
6 written notification of retention decisions from the Office of the Executive Vice President  
7 and Provost of the University. At the time that faculty members are informed of the  
8 retention decisions, they must also be given a copy of the written reviews submitted by  
9 each level in the probationary third-year review process, e.g., faculty personnel  
10 committee, department chair, college personnel committee, and college dean.

### 11 12 **Notification of Conditional Contract**

13  
14 A faculty member who is recommended for a conditional contract must be notified by his  
15 or her dean no later than April 15. The faculty member will have 30 calendar days to  
16 petition the dean with reasons for a review of the decision. If the petition is not received  
17 by May 15, the conditional contract will not be reconsidered.

18  
19 If a conditional contract is offered to a faculty member, the dean must state condition(s)  
20 that must be met to warrant a regular contract the following year. A copy of the letter  
21 stating the conditions must be sent to the vice provost for academic personnel by May 15.  
22 Whenever a conditional contract is awarded, either a probationary or tenure review must  
23 be conducted the next year to determine whether the conditions have been met.

### 24 25 **Final Notification of Action**

26  
27 Individuals being considered for promotion or tenure will be informed in writing of the  
28 final decision by the executive vice president and provost of the university.

29  
30 Faculty who undergo a probationary review will be informed in writing by their deans or  
31 department chairs after the deans have received written notification of retention decisions  
32 from the executive vice president and provost of the university.

33  
34 All faculty on probationary appointments who are not to be retained will be notified by  
35 the executive vice president and provost of the university.

### 36 37 38 39 **CROSS-REFERENCE**

40  
41 See ACD 509–01, “Nonreappointment.”  
42

1 **ACD 506-09. *Joint Appointments***

2  
3 **Purpose: To describe the appointment and evaluation processes involving faculty**  
4 **who have formal appointments in more than one academic unit (academic school,**  
5 **department, center, program, institute).**

6  
7 **Source: (?)**

8  
9 **Applicability: Faculty**

10  
11 **Policy**

12 All joint appointments shall be based on a formal Memorandum of Understanding that is  
13 agreed to by the faculty member, the units (academic schools, departments, programs,  
14 centers, and institutes), and college(s). The agreement must contain the following  
15 elements:

- 16 (a) The identification of the unit that serves as the tenure home and has the lead  
17 role in all personnel evaluations, including annual performance review, and  
18 tenure and promotion reviews. In the case of joint appointments involving  
19 centers or institutes, the tenure or tenure-eligible home is the academic school,  
20 department, or program.
- 21 (b) The identification of all other units involved in the appointment and the  
22 expectation for the individual in each unit, including the FTE assignment to  
23 each unit and the role of each in all personnel actions.
- 24 (c) The process for review of the terms of the agreement including the time  
25 period and procedures for revision of it. For probationary faculty, the  
26 agreement should be reviewed at the **3rd** year probationary review. For  
27 persons who have tenure, the agreement should be reviewed after two years,  
28 and thereafter according to the preferences of the participating units.
- 29 (d) Changes in the agreement must be approved by the individual and each of the  
30 involved units.
- 31 (e) Voting rights in conjunction with the department and/or college bylaws
- 32 (f) Resource implications of the appointment.
- 33 (g) Effective date of the joint appointment.

34  
35 All involved units must participate in annual performance review, probationary reviews,  
36 tenure and promotion reviews. Each unit should recommend raises based on its  
37 proportional share of the salary that is paid. The total raise for the person should equal the  
38 sum of the raises recommended by the home unit and other concerned units, subject to  
39 university approval.

40  
41 **CROSS REFERENCE:**

42 ACD 506-04, "Appointments with Tenure"

43  
44  
45  
46

