
Effective: 4/3/1986

Draft Revised: 4/29/2003



ACD 508–01: Reappointment of Academic Professionals

Purpose

To describe policies governing the reappointment of academic professionals

Source

Office of the Executive Vice President and Provost of the University

Policy

General

Decisions relating to advancement/promotion, reappointment, and acquisition of [continuing status](#) shall be based on written criteria developed within each department or college with participation of the professional group. These procedures must be approved by the [president](#) or a designee. Decisions of the president regarding advancement/promotion, reappointment, or acquisition of continuing status are final.

Annual Evaluation

The performance of assigned duties by [academic professional employees](#) shall be reviewed each year by the immediate supervisor and the administrator to whom the supervisor reports. Department, college, or library policies shall be consistent with [ACD 506–08](#), “Annual Evaluation of Academic Professionals” and [ACD 506–09](#), “Evaluation for Continuing Status and/or Promotion.”

Notification of Nonrenewal

An academic professional employee on a year-to-year [appointment](#) shall be given notification of nonrenewal at least 90 [days](#) prior to the expiration date of the appointment. If notice of nonrenewal is given less than 90 days prior to the end of a professional employee’s appointment period, the employee shall be

entitled to continuation of salary for 90 days from the date of notification, but shall not be entitled to another appointment.

Probationary Period

An academic professional employee on a probationary appointment will either become a continuing employee within a specified period of time, or will be terminated. The purpose of probation is twofold:

1. It provides the probationary academic professional with an opportunity to develop and demonstrate the ability to meet the criteria for a continuing appointment.

and

2. It provides the institution with the opportunity to evaluate the abilities of the academic professional.

Commencement of the Probationary Period

Because the process of reviewing academic professionals for continuing status occurs only once a year, the probationary period will begin for each academic professional with the beginning of the fiscal year (July 1) after initial appointment. However, an academic professional whose appointment begins shortly after July 1 can ask at the time he or she applies for continuing status that this initial partial year be counted as a whole year.

Established academic professionals, especially those who have had previous experience, or for some other reason think they should be considered for continuing status earlier than the maximum date listed in their appointment letters, should consult with their supervisors and/or deans about the possibility of being reviewed and recommended for continuing status prior to their final probationary year. Early promotion and continuing status reviews should include consideration of previous experience either in a year-to-year position at ASU or in a related position at a peer institution.

A one-year leave of absence granted for personal reasons, having no significant relationship to the professional activity of the individual, may be exempted from the probationary period, if requested by the academic professional and deemed appropriate by the institution. Such exemption must be agreed to in writing by both parties and must be approved by the executive vice president and provost of the university at the time the leave is granted.

Conclusion of the Probationary Period

The maximum duration of the probationary period will be six years for full-time on-track academic professionals at the assistant level and four years at the associate level. An assistant working continuously at 50 percent FTE would have a maximum of 12 years in which to earn continuing status in a full-time position. During the final probationary year, the unit and the college to which a probationary academic professional is attached must determine, according to established criteria, whether to recommend that continuing status be granted to the individual. The academic professional must have the opportunity to present evidence in support of the granting of continuing status. Judgment must be based on established criteria. The final decisions on promotion, continuing status, and retention shall be made by the president or designee after considering all evaluations, recommendations, and other evidence.

Cross-Reference

See also [ACD 505-03](#), “Academic Professional Status, Ranks, Titles, and Appointment Categories.”

[ACD](#) manual | ASU policies and procedures [manuals](#) | [Search](#) manuals | ACD manual [contact](#) | Provost’s Office Web [site](#)

[Back to Top](#)

Effective: 7/13/1989

Draft Revised: 4/29/2003



ACD 508–02: Annual and Probationary Evaluations for Academic Professionals

Purpose

To describe the annual and probationary evaluation procedures for academic professionals

Sources

Arizona Board of Regents Manual - 6–302

Conditions of Professional Service

Office of the Executive Vice President and Provost of the University

Committee on Academic Professional Status

Applicability

All categories of academic professionals, i.e., those with year-to-year, probationary, and continuing status, including part-time professionals with nontemporary contracts

Policy

All [academic professionals](#) are to have annual performance reviews. Academic professionals who are working for continuing status (similar to [tenure](#) for [faculty members](#)) are also to have probationary reviews as a prelude to the review for continuing status which takes place in the sixth year of employment.

Grievances for Failure to Follow University Policies and Procedures

For either annual or probationary reviews, an individual may grieve deviation from the [board](#)'s or university's policies and procedures to the appropriate grievance committee. Grievances based on discrimination are to be referred to the Office of Equal Opportunity/Affirmative Action ([EO/AA](#)).

Procedures

Annual Performance Evaluations

The chair of each [academic unit](#) is responsible for an annual evaluation of the quality of the performance of all academic professionals employed within the unit. The evaluations are to be completed and filed with the appropriate deans' offices by April 30, each year. There are no university-wide forms for annual reviews, and records of annual reviews are not forwarded to the Office of the Executive Vice President and Provost of the University.

The chair (or designee) shall conduct the evaluation according to the procedures outlined here. However, units are encouraged, with the participation of the appropriate [professional employees](#), to establish more specific written criteria supporting the achievement of program goals as well as the personal and professional growth of individuals. Unit criteria should be clear and unambiguous but also flexible, so that when an academic professional's assignment is in multiple areas such as teaching, research, administration, and service, the evaluation will address all appropriate areas. Unit criteria could also specify additional steps such as peer review or a six-month review for new employees.

Performance evaluations should promote the effectiveness of academic professionals by:

1. articulating the types of contributions that will lead to greater personal and professional growth, recognition, and rewards
2. recognizing relevant talents, capabilities, and achievements

and

3. identifying job performances that were below expectations and should be addressed during the next evaluation period.

Each performance evaluation shall document consideration of:

1. job performance during the evaluation period
2. professional development and future potential and expectations

and

3. professional continuation and service.

The university administration will use written performance evaluations as the basis for merit increases and, where appropriate, to support personnel decisions such as reappointment, [continuing appointment](#), promotions, transfers, and reemployment.

Each academic professional will work with his or her primary evaluator to develop a written job description, which must be approved by the unit administrator.

Units may develop additional procedures for monitoring progress throughout the year, especially for new employees. The unit administrator, the primary evaluator, and the academic professional may agree to amend, in writing, the employee's goal statement and job description based on oral or written progress reports on the achievement of goals and/or improvement of performance.

Responsibilities of the Unit Administrator

1. Identify a primary evaluator for each academic professional. This should be the professional's immediate supervisor, who in some cases may be the unit administrator. If the academic professional works for more than one supervisor, the unit administrator should select one of them to be the primary evaluator.
2. Approve the job description and the goals drawn up by the academic professional and his or her primary evaluator.
3. Establish a unit timetable to comply with the university timetable and inform the primary evaluator and the academic professional about the deadlines, procedures to be followed, and forms to be completed.
4. Supervise the evaluation and the filing and forwarding of documentation relating to the evaluation.

Responsibilities of the Academic Professional

1. Write a self-review based on the goal statement for the evaluation period.
2. Write a goal statement for the next evaluation period.
3. Provide an updated curriculum vitae when requested.
4. Suggest supplementary reviewers when appropriate.
5. Meet with the primary evaluator to update the job description, agree on future goals, and discuss the evaluation written by the primary evaluator.
6. Sign the evaluation document, verifying that it has been received and discussed.

Responsibilities of the Primary Evaluator

1. Solicit, after consultations with the unit administrator and the academic professional, supplementary reviews when appropriate (e.g., when the academic professional works for more than one supervisor).
2. Write an evaluation of the academic professional's performance based on the criteria established within the unit and using the documents provided by the academic professional, including a current job description, the goal statement from the previous year, and the self-review. If supplementary reviews have been solicited, these should also be considered.
3. Provide a copy of the written evaluation including any supplementary reviews to the academic professional at least 24 hours before conducting a discussion of the performance evaluation with the academic professional.
4. Discuss the evaluation with the academic professional. In addition, agree on modifications to the job description and on the individual's goals for the next evaluation period.
5. If the discussion results in a need to reassess the situation, write an amendment to the evaluation. After obtaining the academic professional's signature on the amendment, place it in the evaluation packet and provide a copy to the academic professional.
6. Forward the evaluation packet to the unit administrator for further processing.

Review of Annual Performance Evaluations

An academic professional who disagrees with the outcome of the annual performance evaluation may appeal to the next administrative level above the person who made the initial performance recommendation.

For example, a primary evaluator's recommendation may be appealed to a department chair, or, if a department chair served as the primary evaluator, the recommendation may be appealed to the dean (or to his or her designee). The academic professional must request the review within 30 [days](#) after the evaluation discussion. The administrator must complete the review within 30 days after the request is received. The final decision lies with this next-higher administrator. There are no procedures for hearings except when a grievance is filed charging failure to follow university policies and procedures. The academic professional can, however, ask that his or her written request for the review become part of the record of the performance evaluation.

Probationary Performance Evaluations

The chair of each academic unit is responsible for directing probationary reviews and for notifying academic professionals in a timely manner so that they may gather and prepare appropriate materials for upcoming reviews. Academic professionals with [probationary appointments](#) (positions which must be fully funded by state appropriations) who have not yet been granted continuing status are to have probationary reviews in their second and fourth years. If an academic professional receives a conditional contract in any year, a probationary or continuing status review should be conducted in the following year to see if the conditions have been met.

Probationary reviews are under the general supervision of the Office of the Executive Vice President and Provost of the University. Their purpose is to give the university and the academic professional an accurate appraisal of the progress being made toward earning continuing status. In most ways, these reviews can be similar to annual reviews except that the official probationary review forms must be filed with the Office of the Executive Vice President and Provost of the University, and the timing must match the university schedule for academic personnel actions.

While the annual review is conducted by the academic unit that employs the academic professional and is copied to the appropriate dean, the probationary review includes recommendations from the college personnel committee and the dean. If an individual applies early for continuing status and is reviewed in a year originally scheduled for a probationary review and the decision is negative, the same materials may be used for the probationary review. For the sake of efficiency, materials gathered for probationary reviews should also be allowed to serve as the basic material for an annual review, supplemented or weeded as appropriate.

Unless unit guidelines say otherwise, it is not necessary to solicit letters of evaluation from outside the unit for probationary reviews. Each level is to make a recommendation for retention, conditional retention, or termination. The recommendations are forwarded to the executive vice president and provost of the university, who makes the final decision regarding termination or retention. Copies of all probationary reports are to be given to the academic professional within 30 days after the Office of the Executive Vice President and Provost of the University notifies the supervising dean of the retention decision.

Cross-References

See also:

1. [ACD 506-06](#), "Annual and Probationary Evaluations for Faculty"

and

2. [ACD 506-09](#), “Evaluation for Continuing Status and/or Promotion.”

[ACD](#) manual | ASU policies and procedures [manuals](#) | [Search](#) manuals | ACD manual [contact](#) | Provost’s Office Web [site](#)

[Back to Top](#)

Effective: 2/21/1990

Draft Revised: 4/29/2003



ACD 508–03: Evaluation for Continuing Status and/or Promotion for Academic Professionals

Purpose

To describe evaluation procedures for continuing appointment and/or promotion

Sources

Arizona Board of Regents Policy Manual - 6–301

Committee on Academic Professional Status

Office of the Executive Vice President and Provost of the University

Office of the Executive Vice President and Provost of the University, Advisory Committee on Academic Professionals

Applicability

Academic professionals who are employed to work 20 hours per week (50 percent FTE) or more

Policy

Evaluation of Academic Professionals: Assumptions for Personnel Review for Promotion and Continuing Appointment

1. [Continuing appointment](#) is a property right authorized by the Board of Regents and, through board delegation of authority, granted by the [president](#) to individuals. An individual's continuing status at Arizona State University is located at either ASU Main or ASU West. Continuing appointment

- is not transferable between the two campuses, except as provided through university policy and procedure.
2. At each campus, academic professional continuing appointment lines and associated budget are assigned to schools, colleges, or divisions.
 3. The assignment of academic professional continuing appointment lines and associated budget to a campus school/college/division is the responsibility of the executive vice president and provost of the university.
 4. Each school/college/division will establish committees for promotion and continuing appointment review of academic professionals in accordance with its by-laws.
 5. Academic personnel policies and procedures at the university are designed to ensure a fair and impartial process of review and evaluation for each candidate.
 6. Policies and procedures for evaluation shall be unambiguous, comprehensive, and applied consistently and uniformly.
 7. Written criteria for academic personnel decisions will be established by each school/college/division in terms of its special needs and expectations. These criteria shall be approved by the president and shall be consistent with university [affirmative action](#) and equal opportunity policies.

The purpose of promotion is to recognize and reward accomplishment. Promotions occur in this sequence: assistant, associate, and senior or full. (“Senior” may be used in science and technology areas, while “full,” usually unstated, may be used in other academic areas.) Demotion does not occur. Academic professionals, whether on probationary, continuing, or year-to-year appointments, are eligible to apply for promotion.

Only those on probationary status are eligible to apply for continuing appointment. At the university level, there is no specified correlation between the awarding of promotion and the awarding of continuing appointment. Promotion and continuing appointment can be applied for either in the same or different years unless unit criteria dictate that they must be applied for concurrently.

The purpose of continuing appointment is to reward excellence and to provide academic professionals with job security and annual reappointment until retirement, resignation, release for budgetary reasons, release for reasons of educational policy change, or dismissal for cause. Attainment of continuing appointment can occur only through specific notification from the president and may not result from inaction or inadvertence. It can be granted only to individuals who are on state-funded salary lines and whose position is identified as one of probationary status.

Applying for Continuing Appointment

During or prior to the final probationary year (the sixth academic year for an individual hired full-time as an assistant or the fourth year for an individual hired full-time as an associate or full), an academic professional who is on probationary status must apply for continuing appointment.

Note: The years are counted from July 1, with an initial partial year not counting.

Once an academic professional receives continuing appointment, all contracts for subsequent years will be expressly “with continuing appointment.” For academic professionals who are not granted continuing appointment upon application in their sixth year or who are not reappointed as the result of an annual review, the [Notice of Appointment](#) for the following year will be a terminal contract. The individual who is not reappointed shall not be employed subsequently under a year-to-year appointment except on a part-time (less than 50 percent FTE) basis.

Applying for Promotion

Academic professionals, after consulting with their supervisors, may apply for promotion at any time. The granting of a promotion does not constitute continuing status.

Decisions of the executive vice president and provost of the university on the granting or denying of promotion or continuing appointment are final unless an academic professional alleges irregularities or unfairness in the process and proceeds with a grievance, as outlined in [ACD 509-03](#), “Grievance Policies and Procedures for Academic Professionals.” Recommendations from grievances are forwarded to the president of the university, who makes the final decision on the grievance.

In some cases, depending on related prior experience and education, the hiring official, upon consultation with the executive vice president and provost of the university and appropriate personnel in the hiring unit, may waive the probationary period and grant continuing appointment at the time of hire. When this is done, the chair of the unit and the supervising dean will provide written documentation to the vice provost that they have consulted with appropriate peer-review committees.

Year-to-Year Academic Professionals Reappointed as Probationary Employees

If a year-to-year academic professional is reappointed as a probationary employee, then in future years when applying for continuing status, he or she can ask that reviewing committees also consider the year-to-year service.

Ranks

Assistant

All academic professionals appointed to this initial rank must meet the minimum criteria for appointment as defined at the unit level (“unit” refers to the supervising department or, in some cases, the supervising college or center). Under ordinary circumstances, an academic professional would be expected to have earned an advanced degree or to have acquired a high level of the particular skill needed for the position. As assistant academic professionals gain experience, they are expected to improve their job performance and demonstrate growth and involvement in professional areas as well as in university service.

Applying for Continuing Appointment

Full-time assistant academic professionals on probationary status must apply for continuing appointment no later than their sixth year of service, but this requirement has no bearing on applications for promotion.

Applying for Promotion

Applicants for promotion carry the burden of proof to show that they have reached the level of accomplishment specified in their unit’s documents describing criteria for promotion. Individuals who feel they have reached that level of accomplishment prior to their sixth year may apply early.

Associate

Academic professionals appointed to or promoted to this rank must exceed the criteria for initial appointment to the rank of assistant academic professional. They must have attained considerable expertise in the areas of competence required by their jobs and should be able to function autonomously. Associate academic professionals must demonstrate excellence in their job performance and must continue to demonstrate professional growth and involvement in university and community service.

The system is designed to accommodate successful careers at the associate level, and a person at the associate level need never apply for promotion to the full or senior level.

Full or Senior

Academic professionals appointed to or promoted to this rank must exceed the criteria for associate academic professionals and must have substantial professional experience and education, including advanced training and, typically, an appropriate terminal degree or other evidence of superior skills as outlined in the unit's criteria. Academic professionals at this level must demonstrate a high level of competence and should be considered experts in their chosen fields. Both the professional development and the service activities of academic professionals must involve sharing knowledge and experience with others by providing substantial guidance and leadership in areas of professional or academic interest.

Although there is no set time line for promotion from associate to full or senior rank, it would be unusual for an individual to accumulate the expected record of accomplishment without working for several years at the associate level.

Job Titles

In addition to a designation of rank, academic professionals have job titles that are used to describe individual assignments. These job titles are selected at the unit level from a list provided by the Office of the Executive Vice President and Provost of the University. The designations of "assistant," "associate," "senior" or "full" (usually not stated) are used as modifiers in front of job titles. Academic professionals may also have administrative appointments, but these titles are supplementary to basic academic professional job titles.

A change in job title or responsibility cannot result in a demotion in rank.

Requirements for Personnel Review for Promotion and Continuing Appointment

Establishing Written Criteria and Procedures for Review

Decisions on retention, continuing appointment, and promotion shall be based on written criteria and procedures developed within each college, the University Libraries, and each branch campus employing academic professionals. Unit criteria must require recommendations from peer-review committees at the college level, and optionally at the department level, if there are more than five academic professionals employed by a department. Unit administrators have the responsibility of working closely with their academic professionals when written criteria and procedures are developed. The procedures must be accepted by a two-thirds majority of the academic professionals in a unit and must also be approved by the dean and the executive vice president and provost of the university at each campus.

Evaluating Progress and Performance

Successful progress toward promotion and toward continuing appointment (for [probationary employees](#)) is demonstrated by the progressive mastery of the skills, knowledge, and understanding necessary to discharge one's responsibilities at the highest possible level. The award of promotion and/or continuing appointment requires excellent performance along with the promise of continued excellence. Performance will be evaluated during the probationary period through annual evaluations (see [ACD 506-08](#), "Annual and Probationary Evaluations for Academic Professionals") and in the second and fourth years, through more extensive pre-continuing-appointment reviews conducted under the direction of the executive vice president and provost of the university and including additional levels of peer and administrative evaluation.

Job Performance, Professional Development and Contribution, and Service as Criteria for Review

Specific categories to be considered and included in college documents outlining the criteria for retention, continuing appointment, and promotion are job performance, professional development and contribution, and service.

Due to the variety of academic professional duties and responsibilities, both the unit document and individual goals and objectives determine the scope and appropriate category for specific activities. For example, a given academic professional may have teaching and research as a primary role; these activities would then fall within the category of job performance. For others, such activities may be supplementary to other tasks and would therefore fall within the category of professional development and contribution.

Unit procedures should define the expectations of the unit and illustrate how the academic professional can successfully earn the award of promotion and/or continuing appointment. Unit procedures should also clarify how the results of academic professionals' second- and fourth-year pre-continuation reviews will be incorporated in promotion and/or continuing appointment decisions.

Job Performance

Job performance is fulfillment of the duties and responsibilities of the position held—the daily requirements of successful performance. Department documents should specify task-related standards for job performance based on the duties and responsibilities assigned in each academic professional job description.

Professional Development and Contribution

The professional development and contribution category includes participation that represents a commitment to the profession or to the discipline beyond the daily duties of the position.

Service

Service is characterized by the use of professional expertise to serve the interests of the unit, the university, the community (local, state, national, or international), or higher education. Some service activities will require greater commitment than others and this may be considered in evaluating service for the granting of continuing appointment and/or promotion. It should also be recognized that some academic professionals may have greater opportunities for service than others.

Continuing Appointment and Review Committees

To ensure peer review, as mandated by the Board of Regents, each college employing one or more academic professionals must establish a peer-review committee. Departments or centers with more than five academic professional employees should also establish a peer-review committee at that level.

Because of the differences in the roles that academic professionals fill and the differences in the numbers of academic professionals in various colleges, each college may determine the makeup of its peer-review committee, which may include faculty and staff members as well as academic professionals. Colleges with very few academic professionals may combine their efforts and form a multi-college peer-review committee. Neither peer-review committee members nor administrators can act as evaluators for the same individual at more than one level in the process.

Academic professional peer-review committees will act on applications for continuing appointment and/or promotion, as well as on the probationary reviews conducted in the second and fourth years, and on sabbatical applications from academic professionals. The makeup and working procedures of these standing committees should be described as part of the department and college procedures.

The executive vice president and provost of the university will appoint a University Committee on Academic Professional Promotion and Continuing Appointment to offer advice regarding the granting of continuing appointment and/or promotion. This committee will be a standing committee composed of one representative with continuing appointment selected from the academic professionals employed within each college, the University Libraries, and each branch campus. The committee will be chaired by the assistant

vice president for academic personnel and will be selected and will serve in a fashion comparable to that of the University Promotion and Tenure Committee.

Review committees at all levels will examine promotion and/or continuation applications for compliance with review procedures and for content. Recommendations will be made by evaluating the academic professional's accomplishments using the unit's criteria, the job description, and the supporting documents provided by the candidate, the outside evaluators, [supervising administrators](#), and other committees.

Review Decisions

The executive vice president and provost of the university makes the final decision whether to grant or deny promotion or continuing appointment.

Probationary Academic Professionals

Probationary academic professionals applying for continuing status may be:

1. granted continuing appointment
- or
2. denied continuing appointment.

An individual denied continuing appointment in the sixth year will receive a terminal contract for the seventh year. With an early application (prior to the sixth year of employment), a denial of continuing appointment will not necessarily result in a terminal contract, although a recommendation for a terminal contract can be made at any time during the probationary period, based on cumulative evidence from performance reviews (see [ACD 506-08](#), "Annual and Probationary Evaluations for Academic Professionals").

Academic Professional with Continuing Appointments

Academic professionals with continuing appointments who request promotion may be:

1. granted promotion
- or
2. denied promotion.

In either case, their continuing appointment status is not affected.

Year-to-Year Academic Professionals

Year-to-year academic professionals who request promotion may be:

1. granted promotion
- or

2. denied promotion.

The denial of continuing appointment or retention should not be construed as the result of the candidate's failure or poor performance. Considerations such as the need for a different area of specialization or for a new emphasis, or the need to shift a position or resources to another program, may dictate that the individual not be retained. Anyone receiving a negative decision on continuing appointment or retention is entitled, upon request to the executive vice president and provost of the university, to a written statement of the reasons for the denial.

Notification during the Review Process

See [ACD 506-10](#), "Notification of Consideration for Tenure/Continuing Status, Promotion, or Retention," for notification procedures.

Procedure

Continuing Appointment and/or Promotion Reviews

Continuing appointment and promotion processes follow the "Schedule of Personnel Actions" distributed annually by the Office of the Executive Vice President and Provost of the University. The same materials will be required for academic professionals and faculty, with the exception that the letters of reference for academic professionals may come from within ASU, whereas all letters for faculty (other than those in the internal chain of review) must come from outside ASU. In order to give the reviewer an opportunity to develop a quality response, all reviewers shall be given at least 30 [days](#) to respond. See [ACD 506-07](#), "Evaluation for Tenure and Promotion," for information on how letters of reference are to be solicited. Only deans, department chairs, and center directors are authorized to represent the institution in requesting such letters.

Review for continuing appointment and/or promotion involves multiple levels of evaluation. This broad base provides a mechanism for ensuring quality control and provides checks and balances for perceived biases at one or more levels. The academic professional's request for continuing appointment and/or promotion moves through these levels unless, after consultation with the unit director or dean, the academic professional requests that the application be withdrawn.

The order of review of a continuing appointment and/or promotion application is as follows. The application moves:

1. from the academic professional and his or her supervisor (in consultation with the primary evaluator, if different) to a unit personnel review committee (this step may be skipped in units with fewer than five academic professionals)
2. from the unit personnel review committee to the unit administrator (usually a department chair or center director)
3. from the unit administrator to the college peer review committee
4. from the college peer review committee to the dean of the college
5. from the dean of the college to the University Academic Professional Promotion and Continuing Appointment committee

and

6. from the University Academic Professional Promotion and Continuing Appointment Committee to the provost of each campus.

The academic professional and the supervisor (in consultation with the primary evaluator, if different) have the responsibility for ensuring that the materials compiled for review are prepared in compliance with unit and university policies and that the materials are complete. Each review committee and each administrator adds an evaluative statement to the materials and forwards them to the next level according to the yearly “Schedule of Personnel Actions,” distributed each summer by the vice provost.

Committee deliberations are confidential. The only people authorized to discuss results are department chairs, center directors, and deans. If an academic professional withdraws a request for promotion and/or continuing appointment, the nonconfidential portions of the request package shall be returned to the academic professional. Confidential materials will be placed in the personnel file of the academic professional in the supervising dean’s office. In these instances, nothing will be forwarded to the Office of the Executive Vice President and Provost of the University, except in the final year of a probationary appointment, when the request package must go forward unless the candidate submits a resignation.

[ACD manual](#) | [ASU policies and procedures manuals](#) | [Search manuals](#) | [ACD manual contact](#) | [Provost’s Office Web site](#)

[Back to Top](#)

Effective: 7/1/1982

Draft Revised: 4/29/2003 |



ACD ~~506 508~~ – 10 04: Notification of Consideration for Tenure/Continuing Status, Promotion, or Retention

Purpose

To describe notification procedures during promotion, ~~tenure~~/continuing status, and probationary review processes

Sources

Office of the Executive Vice President and Provost of the University

Academic Senate

Applicability

Faculty

Academic professionals

Policy

Notification during the Review Process

The following procedures pertain to the notification of ~~faculty~~ and [academic professionals](#) while their promotion reviews, [tenure/continuing status](#) reviews, and probationary reviews are in process.

Promotion Review

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

Tenure/Continuing Status Review

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

Probationary Review

~~Faculty members and academic~~ Academic professionals under review prior to their final probationary year may be informed orally by the chair and/or dean of the recommendations being made.

Upon completion of the probationary review, the executive vice president and provost of the university or designee will notify each dean in writing whether the ~~faculty member or~~ academic professional will be retained, retained conditionally, or given a terminal contract for the succeeding year. ~~Those faculty who will receive a terminal contract or whose contracts are not being renewed for a succeeding year will be notified in writing by the executive vice president and provost of the university.~~

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

Notification of Conditional Contract

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

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

Final Notification of Action

Individuals being considered for promotion or ~~tenure/~~continuing status will be informed in writing of the final decision by the executive vice president and provost of the university.

Probationary ~~faculty and~~ academic professionals who are reviewed before their final probationary year will be informed in writing by their deans or department chairs after the deans have received written notification of retention decisions from the executive vice president and provost of the university.

All ~~faculty and~~ academic professionals on [probationary appointments](#) who are not to be retained will be notified by the executive vice president and provost of the university.

Cross-Reference

See [ACD 508-01](#), “Nonreappointment.”

[ACD manual](#) | [ASU policies and procedures manuals](#) | [Search manuals](#) | [ACD manual contact](#) | [Provost’s Office Web site](#)

[Back to Top](#)