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Bylaws

School of Earth and Space Exploration

Arizona State University

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Preamble

These Bylaws describe the procedures by which the School of Earth and Space Exploration (henceforth SESE) in the College of Liberal Arts and Sciences (henceforth CLAS) at Arizona State University self-governs and carries out the responsibilities and privileges entrusted to SESE. These By-Laws are binding upon current and future administrative officers and members of this academic unit ([Academic Affairs Manual](#), henceforth ACD, [112-01](#)). In case of conflicts, the policies and procedures of [CLAS](#), ASU, and/or the Arizona Board of Regents (henceforth [ABOR](#)) take precedence. If one portion of the bylaws comes into conflict with these policies, the rest of the bylaws remain binding.

The mission of SESE is to produce new ideas, knowledge, and technology within the astrophysical, engineering, geological, and planetary sciences to educate people who can extend and apply that knowledge for the benefit of the state of Arizona, the nation, and society in general. In order to implement its vision SESE strives to:

- Offer quality undergraduate education that provides students with a broad earth and space science background that prepares them for employment and graduate school.
- Provide quality graduate education through the offering of research-based M.S. and Ph.D. degrees.
- Conduct original, world-class research as part of ASU's mission to be ranked among the very best public universities.
- Provide general education and outreach appropriate to the Phoenix metropolitan area, the state of Arizona, and the nation.

Article 1 - Organization

1.1 Name

These bylaws apply to SESE in CLAS at ASU and to all its members and activities. SESE is organized to provide flexibility in responding to the diverse and constantly changing developments in the Earth and Space sciences and to allow needed movement of personnel and resources to address these developments.

1.2 Representative Bodies

1.2.1 SESE Assembly

The SESE Assembly (hereafter referred to as the Assembly) is the governing body of SESE and follows the rules of [ACD 505-02](#) and [505-03](#). All persons with voting privileges [see [Article 2](#)] are members of the Assembly.

1.2.2 ASU and CLAS Senates

Two CLAS Academic Senators and Two University Senators will be elected by the Assembly in the spring of each academic year, or as needed, to represent SESE on the CLAS Academic and University Senates. Senators must be members of the SESE Assembly and will nominally serve three-year terms beginning the fall following election. Senators are expected to attend all Senate meetings (or arrange for a substitute), to represent the interests of SESE through the CLAS and Academic Senates, and to report to the Assembly on College and University issues.

1.2.3 Executive Committee

The Executive Committee consists of the SESE Director and Associate Directors [see [Article 3](#)]. The Director chairs the Executive Committee. The Executive Committee serves as the administrative and policy group for SESE. They advise the Director on strategic plans, personnel decisions, budgetary issues, tenure and promotion cases, post-tenure reviews, annual performance reviews, workload assignments, merit distributions, hiring priorities, and maintain the bylaws.

Article 2 - Membership, Rights, and Privileges

Membership in the Assembly is extended to those holding an appointment with the University and engaging in research and/or teaching of areas related to Earth and Space Exploration, as described below. The Assembly will (1) represent common interests among a reasonable number of SESE faculty; (2) facilitate the academic operations of SESE; (3) promote faculty interaction; and (4) reflect a progressive approach to the research, teaching, and outreach programs of SESE.

2.1 Faculty Membership

Faculty include all employees of the Arizona Board of Regents in teaching, research, or service whose Notice of Appointment is as lecturer, senior lecturer, instructor, assistant professor, associate professor, professor, research faculty, or persons who are otherwise designated as faculty on the Notice of Appointment [[ACD 505-02](#)]. Faculty associates have academic appointments but are not members of the faculty. Graduate students who serve as assistants, associates, or otherwise are academic appointees, but not members of the faculty.

2.1.1 Tenure-Accruing Positions

All faculty with the title Regents' Professor, named professorship/chair, Professor, Associate Professor, Assistant Professor whose lines are budgeted within SESE constitute the tenure-track faculty of the Assembly [[ACD 505-02](#)]. Only tenure-track faculty with at least 50% of their line budgeted in SESE and with at least a 50% FTE at ASU have full voting privileges in the Assembly. Tenure-track faculty with less than

50% of their line budgeted in SESE and with at least 50% FTE at ASU have voting privileges on all matters except personnel issues.

2.1.2 Nontenure-Accruing Positions

Generally, nontenure-accruing faculty are members of the Assembly unless provisions in these bylaws exclude such membership [[ACD 505-02](#)]. These appointment categories include adjunct faculty, instructors, lecturers, senior lectures, academic professionals, research faculty, visiting faculty, faculty research associates, faculty associates, postdoctoral research associates, and other non-continuing appointments [[ACD 505-02](#)].

2.1.2.1 Adjunct Faculty

Adjunct faculty hold an appointment at another institution, but also have an appointment through SESE with the University [[ACD 505-02](#)]. Appointments of Adjunct Faculty require the written recommendation of a voting faculty member to the Director or designated Associate Director. In the Director or designated Associate Director approves the appointment, then the Personnel and Budget Committee will review the record of the candidate and, with the written concurrence of the sponsoring faculty member, recommend the appointment to the Director or designated Associate Director, who will then forward it to the CLAS Dean for the appointment. Appointments can be made for up to two years at a time. Renewals will follow the same procedure as the initial appointment.

Adjunct faculty are not members of the Assembly and may not vote.

2.1.2.2 Lecturers and Senior Lecturers

Lecturers and senior lecturers are nontenured, nontenure-track faculty members whose responsibilities, as defined by the Director or designated Associate Director, may include teaching graduate, undergraduate, or clinical courses, or supervising supplemental kinds of student learning [[ACD 505-02](#)]. Lecturers are not eligible for tenure, but they can receive appointments varying in length from one to three years.

Appointments of Lecturer or Senior Lecturer require the Personnel and Budget Committee [see [Section 5.1](#)] to review the record of the candidate and recommend the appointment to the Director or designated Associate Director. If the Director or designated Associate Director approve, the recommendation will then be forwarded to the CLAS Dean for approval and appointment. Appointments can be made for up to two years at a time. Renewals will follow the same procedure as the initial appointment.

Lecturers and Senior Lectures are members of the Assembly and may vote on issues of instruction.

2.1.2.3 Instructors

The Instructor title will be used as a temporary designation for newly hired people who, upon completion of their dissertations or other final degree requirements, will be ranked as assistant professors [[ACD 505-02](#)]. Their rank may be changed during an academic year. Should it change during the fall semester, then the academic year will be considered the first year of their six-year probationary period. However, should it change during the spring semester, their tenure clock will not begin officially until the next fall semester. This title may also be used for other year-to-year appointments.

Appointments of Instructor require the Personnel and Budget Committee [see [Section 5.1](#)] to review the record of the candidate and recommend the appointment to the Director or designated Associate Director. If the Director or designated Associate Director approve, the recommendation will then be forwarded to the CLAS Dean for approval and appointment. Appointments can be made for up to two years at a time. Renewals will follow the same procedure as the initial appointment.

Instructors are members of the Assembly and may vote on issues of instruction.

2.1.2.4 Research Faculty

Research faculty are nontenured, nontenure-eligible faculty members who are qualified to engage in, be responsible for, or oversee a significant area of research or scholarship [[ACD 505-02](#)]. They may serve as principal or co-principal investigator on grants or contracts administered by the University. Research faculty may serve on appropriate department and graduate supervisory committees, but may not serve as sole chairs of graduate supervisory committees. Research faculty who are hired or supported by research grants or contracts are not guaranteed space, facilities, or services beyond those approved for currently active grants or contracts.

Appointments of Research Faculty require the written recommendation of a voting faculty member to the Personnel and Budget Committee [see [Section 5.1](#)]. The Personnel and Budget Committee will review the record of the candidate and recommend the appointment to the Director or designated Associate Director. If the Director or designated Associate Director approve, the recommendation will then be forwarded to the CLAS Dean for approval and appointment. Renewals will follow the same procedure as the initial appointment.

Generally, assistant research professors are appointed for one-year terms. Associate research and research professors may be appointed for one-year or multiple-year terms of up to three years, provided they possess the experience, expertise, or qualifications, established over a sustained period, that qualify them to advance SESE's research mission in a substantial way.

Research Faculty are members of the Assembly and may vote on non-personnel matters.

2.1.2.5 Visiting Faculty

Visiting faculty are temporary appointees who are normally expected to return to their own institutions at the expiration of the appointment (one month to two years). They are appointed as visiting instructors, visiting assistant professors, visiting associate professors, or visiting professors [[ACD 505-02](#)]. Visiting Faculty may receive funds from ASU or elsewhere.

Appointments of Visiting Faculty require the written recommendation of a voting faculty member to the Personnel and Budget Committee [see [Section 5.1](#)]. The Personnel and Budget Committee will review the record of the candidate and recommend the appointment to the Director or designated Associate Director. If the Director or designated Associate Director approve, the recommendation will then be forwarded to the CLAS Dean for approval and appointment. Renewals will follow the same procedure as the initial appointment.

Visiting Faculty are not members of the Assembly and may not vote.

2.1.2.6 Faculty Research Associates

Faculty Research Associates are persons who hold an advanced degree and are employed on a research grant or contract [[ACD 505-02](#)]. Faculty Research Associates must have research experience (typically several years as a postdoctoral research associate or comparable position), and be ready to develop a semi-independent research program. Criteria for appointment include demonstration of productive research as shown by publications and presentations at conferences.

Faculty Research Associates may propose as Principal Investigators on sponsored projects, but they must be associated with a voting faculty member who is responsible for identifying space and other supporting facilities and activities.

Appointments of Faculty Research Associate require the written recommendation of a voting faculty member to the Personnel and Budget Committee [see [Section 5.1](#)]. The Personnel and Budget Committee will review the record of the candidate and recommend the appointment to the Director or designated Associate Director. If the Director or designated Associate Director approve, the recommendation will then be forwarded to the CLAS Dean for approval and appointment. Renewals will follow the same procedure as the initial appointment.

Faculty Research Associates are not members of the Assembly and may not vote.

2.1.2.7 Faculty Associates

Faculty associates are persons qualified by training and experience to teach University-level courses; they may be doctoral students who have completed all degree requirements except the dissertation [[ACD 505-02](#)]. Appointments may be made on a semester basis by the Director or designated Associate Director.

Faculty Associates are not members of the Assembly and may not vote.

2.2 Academic Professionals

Academic Professionals include all employees designated by the Notice of Appointment as “professional”. Academic Professionals are nonclassified employees who are involved with research or teaching programs, have advanced degrees and/or specialized training, and require professional and intellectual freedom [[ACD 505-03](#)]. The following job titles (sometimes modified by “visiting” or “acting”) are used within the Academic Professional category of research: Postdoctoral Research Associate, Research Professional, Research Administrator, Research Engineer, Research Scientist, Research Professional, and Research Technologist. Each Academic Professional may have one of these job titles at the rank of either assistant, associate, or full/senior [[ACD 503-03](#)].

Academic Professional may propose as Principal Investigators on sponsored projects, but they must be associated with a voting faculty member who is responsible for identifying space and other supporting facilities and activities.

Academic Professionals on state funds are responsible to the Director or designated Associate Director. Academic Professionals on other funds are responsible to the tenure-accruing or tenured faculty member [see [Section 2.1](#)] who is the source of those funds. Academic professionals on continuing appointment or probationary lines with at least a 50% FTE in SESE may attend Assembly Meetings and vote only on issues relating to Academic Professionals.

Academic Professionals may attend Assembly Meetings, but are not members of the Assembly and may not vote.

2.2.1 Postdoctoral Research Associates

Postdoctoral Research Associates are supported by and responsible to a sponsoring faculty member or Academic Professional, who determines the salary, terms and conditions of appointment, and duties [[ACD 503-03](#)]. Only tenure-accruing or tenured faculty [see [Section 2.1](#)] or Academic Professionals with the title “Research Scientist” may sponsor Postdoctoral Research Associates. The sponsoring faculty member or Academic Professional is responsible for space and other support requirements of the Postdoctoral Research Associate. Postdoctoral Research Associates are not eligible to propose as Principal Investigators on sponsored projects.

2.2.2 Research Scientist

Research Scientists hold a Ph.D. and works cooperatively or independently in conducting research, seeking outside funding, and supervising others in carrying out significant research projects [[ACD 503-03](#)]. Research Scientists on continuing appointment or probationary lines may propose as Principal Investigators on sponsored projects, but they must be associated with a voting faculty member who is responsible for identifying space and other supporting facilities and activities.

2.3 Staff, Teaching Assistants, and Research Assistants

Staff, teaching assistants, and research assistants may attend Assembly meetings at the invitation of the Director or designated Associate Director but do not vote.

2.3.1 Staff

All individuals holding technical or clerical positions on SESE funding are responsible to the Director or designated Associate Director.

2.3.2 Teaching Assistants and Teaching Associates

Teaching Assistants are appointed by either the Director, designated Associate Director, or the Graduate Oversight Committee [see [Section 5.3.2](#)]. Once the assignments have been made, the Teaching Assistant or Teaching Associate is responsible to the faculty member(s) to whom they are assigned.

2.3.3 Research assistants

Research Assistants on non-state funding are responsible to the tenure-accruing faculty [see [Section 2.1](#)] or Academic Professional Research Scientist [see [Section 2.2](#)] who is the source for that funding. Research Assistants on SESE, University, or state funding are responsible to the Director or designated Associate Director.

Article 3 - Officers

3.1 Director

SESE is led by a Director who is responsible for the efficient execution of University policies and for overall leadership of the unit [[ACD 504](#)]. The Director represents SESE in its official business with other University personnel, with students, and with the public.

Leadership duties of the Director include [[ACD 504](#), [ACD 505-05](#)]:

- setting strategic directions
- planning to reach strategic goals
- identifying new funding resources
- encouraging excellence from each faculty and staff member
- long-range planning for development of degrees and course work
- management of undergraduate and graduate education programs
- maintenance of a positive and productive atmosphere
- budget preparation
- budget administration, including limitation of expenditures to budget constraints
- allocations within the annual operating budget
- management of day-to-day operations
- planning and allocating office and laboratory facilities
- performing annual evaluations of Assembly members based on recommendations by the Personnel Committee or the appropriate supervisors
- performing probationary reviews or promotion and tenure reviews
- setting wage increases and salary levels
- recruitment of Assembly members to fill vacant and new positions
- maintaining open and frequent communications with the Assembly members

The Director is appointed and evaluated by the CLAS Dean with the advice the Assembly members. At least once every two years, input from the voting Assembly will be requested by CLAS for evaluation of the Director by CLAS. The Director should subsequently meet with the Assembly within 1 month from receipt of the evaluation to discuss ways of responding to the evaluation suggestions.

3.2. Associate Directors

One or more Associate Directors for SESE may be appointed from among the voting Assembly by the Director. The Associate Directors will perform those duties and assume responsibilities as designated by the Director, including responsibilities pertaining to daily operations, undergraduate education, graduate education, and strategic initiatives. One of the Associate Directors will be Acting Director when the Director is away from the post. The Associate Directors serve at the pleasure of the Director.

Article 4 - Meetings

4.1 Assembly Meetings

4.1.1 Frequency

The SESE Assembly will meet at least once each month during the academic year or more often as needed. Robert's [Rules of Order](#) will provide general guidance for Assembly meetings.

4.1.2 Notification

Except for urgent business that requires an immediate response, the Director or designated Associate Director must announce meetings at least 1 week in advance by verbal or written notice, with an agenda distributed at that time. Items requiring a vote must be introduced at the prior Assembly meeting, unless approved by majority of a quorum. Assembly members may submit agenda items. These must be included on the agenda if they are received 1 week before a meeting announcement is distributed.

4.1.3 Quorum

Two-thirds of the eligible voting Assembly constitutes a quorum.

4.1.4 Voting

Voting normally will be done by a show of hand, but any voting member may request the use of a secret ballot on any vote. All requests for secret ballot will be honored. Upon approval of a petition to the Director any voting member may vote in absentia.

A simple majority of a quorum will decide a vote, except for a two-thirds majority vote required to change the By-Laws.

4.1.5 Minutes

Minutes of all Assembly meetings will be recorded and distributed to SESE members within 2 weeks.

4.2 Special Meetings

Special SESE meetings may be called at any time by the Director, designated Associate Director, or by 10% of the voting Assembly members. Special meetings with an agenda must be announced at least four (4) working days before the meeting is to occur.

Article 5 - Standing Committees

The number, size, and function of SESE standing Committees is subject to change from time to time in accordance with the needs of SESE. The Committee chairperson will keep records of the business transacted and will report on Committee activities during the monthly Assembly meetings [see [Section 4.1](#)].

Members of a standing Committee will be elected on a staggered basis, with each elected member serving a three-year term. Election to a Committee will be determined by a votes cast by the Assembly [see [Section 4.1.4](#)] during an Assembly meeting held in

the spring semester. The newly elected member will assume his/her duties at the start of the new academic year, replacing the longest serving member.

5.1 Personnel and Budget Committee

The Personnel and Budget Committee will be constituted and function within the recommendations described in the [CLAS Bylaws](#).

5.1.1 Promotion and Tenure Committee

The Promotion and Tenure Committee will advise the Director on all personnel matters including, but not limited to, vacancies, new positions, promotion and tenure, sabbaticals, retentions, leaves of absence, and merit raises. The Committee will evaluate all untenured faculty annually. The Committee will meet and evaluate all faculty and Academic Professionals who qualify for promotion. One or two ad hoc members may be appointed to the Committee by the Director or designated Associate Director in order to have representation from the candidate's area of expertise or to maintain continuity with previous evaluations.

The Committee will use the criteria described in [ACD 506-04](#), [Section 6.5](#), and [Section 6.8.4](#) for their evaluations. The Committee will prepare a report that summarizes all information relevant to the candidate's qualifications for promotion, but it will not make a recommendation. At an Assembly meeting this report will be presented to the voting faculty above the rank of the candidate for discussion. A second meeting will be held approximately one week after the first, and a vote will be recorded at that meeting [see [Section 4.1.4](#)]. The Committee will then prepare a summary of the case and submit it to the Director or designated Associate Director along with the numerical result of the faculty voting. Inclusion of minority report(s) by faculty member(s) who voted are permitted.

The Committee will also evaluate all probationary Academic Professionals annually as described in [ACD 507-08](#) and [Section 6.8.4](#). The Director or designated Associate Director will appoint an Academic Professional with probationary or continuing status to serve on the Committee when evaluating probationary Academic Professionals.

The Committee will evaluate requests for sabbatical leaves proposed by faculty and Academic Professionals per [ACD 705](#), and will forward their recommendation to the Director or designated Associate Director.

The Committee will consist of four elected members of the voting Assembly, two of whom must be tenured faculty. The chair of the Committee is elected annually by the Committee from among its members. Members of the Promotion and Tenure Committee are elected on a staggered basis, each elected member serving a three-year term. Either one or two members will be elected in any given year, the number depending on how many members' term(s) expire that year. The election will be held during the spring semester. The newly elected members will assume their duties at

the start of the new academic year, at which time the senior member rotates off the Committee.

5.1.2 Annual Evaluation Committee

The Annual Evaluation Committee is responsible for conducting Annual Performance Evaluations of all voting faculty. It does the same for Academic Professionals who receive any state funding. The Committee will conduct evaluations according to procedures set forth in [Section 6.3.2](#). These evaluations will be transmitted to the Director as input into the Annual Evaluation process.

The Annual Evaluation Committee will consist of four members of the voting faculty. Members of the Annual Evaluation Committee are elected on a staggered basis, each elected member serving a three-year term. Either one or two members will be elected in any given year, the number depending on how many members' term(s) expire that year. The election will be held during the spring semester. The newly elected members will assume their duties at the start of the new academic year, at which time the senior member rotates off the Committee.

5.2 Graduate Recruitment and Oversight Committee

The Graduate Recruitment and Oversight Committees are responsible for (a) recruitment and admission of graduate students and (b) oversight of the graduate program once graduate students have been admitted. The Committee reports to the Director or designated Associate Director.

5.2.1 Graduate Recruiting Committee

Duties include: active recruitment of new graduate students, printing and mailing graduate fliers, recommending admission of new graduate students, and establishing funding policy and recommending awards of funds to prospective graduate students.

The Graduate Recruiting Committee will consist of three elected members of the voting faculty. The senior elected member serves as Chairperson of the Committee. Members are elected each spring on a staggered basis, with each elected member serving a three-year term.

5.2.2 Graduate Oversight Committee

Duties include: maintaining the Graduate Program Guidebook, advising graduate students prior to selection of their thesis or dissertation advisor, monitoring the academic progress of graduate students, administering the graduate examinations, and attending to the general well being of graduate students.

The Graduate Oversight Committee will consist of three elected members of the voting faculty. The senior elected member serves as Chairperson of the Committee.

Members are elected each spring on a staggered basis, with each elected member nominally serving a three-year term.

5.3 Undergraduate Recruitment and Oversight Committee

The Undergraduate Recruitment and Oversight Committee is responsible for recruitment, admission, of undergraduate students and overseeing the undergraduate program once undergraduate students have been admitted. The Committee reports to the Director or designated Associate Director.

5.3.1 Undergraduate Recruiting Committee

Duties include: active recruitment of SESE undergraduate majors from ASU, Phoenix, Arizona, regional, and national talent pools, recommending admission of new undergraduate majors, assisting the Director or designated Associate Director with developing undergraduate educational programs, and establishing funding policy and recommending funding awards to undergraduate students.

The Undergraduate Recruiting Committee will consist of three elected members of the voting faculty. The senior elected member serves as Chairperson of the Committee. Members are elected each spring, or as needed, on a staggered basis, with each elected member serving a three-year term.

5.3.2 Undergraduate Oversight Committee

Duties include: administering the undergraduate program, encouraging involvement of SESE undergraduates in research, advising SESE undergraduate majors, monitoring the academic progress of SESE undergraduate majors, and attending to the general well being of SESE undergraduate majors.

The Undergraduate Oversight Committee will consist of three elected members of the voting faculty. The senior elected member serves as Chairperson of the Committee. Members are elected each spring on a staggered basis, with each elected member serving a three-year term.

Article 6 - Personnel Activities

6.1 Faculty Profiles

Every full-time member of the tenure-accruing or tenured faculty [see [Section 2.1](#)] must be involved in academic activities which, taken together, constitute a full (100%) load. Contributions must be made in teaching, research, and service (which includes contributions to SESE's or ASU's affirmative action and minority student recruitment and retention goals). Normally, the teaching and research activities will each vary between 30% and 60%, while service will normally vary between 10% and 30%. The

distribution of effort in these areas should match as closely as possible the skills and predilections of each faculty member.

6.1.1 Teaching

All faculty members are expected to be active in undergraduate and graduate teaching. A normal teaching load, averaged over a period of time, should consist of a balance of lecture or seminar or laboratory courses and directing of undergraduate and graduate students.

Each faculty member will be asked by the Director or designated Associate Director to indicate her/his teaching preferences. The Director or designated Associate Director will establish the teaching obligation of each faculty member based on the educational responsibilities of SESE, the skills and predilections of each faculty member, and the faculty member's record of contributions in other areas. Except in special cases, no course will normally become the exclusive domain of one faculty member.

6.1.2 Research

All faculty members are expected to be active in performing significant research, publishing their results in peer-reviewed scientific journals, and securing external funding for support of their research efforts and those of their students and other members of their research groups.

6.1.3 Service

All faculty members are expected to perform service and outreach at the SESE, CLAS, University, National or International levels.

6.2 Faculty Work Plans

In the first week of January each faculty member will submit to the Director a work plan that describes the faculty member's proposed effort for the coming year. In this work plan the faculty member will indicate the proposed percentage effort in each of the three areas of teaching, research, and service, plus specific data justifying the proposed distribution of effort. Within two weeks, the Director will present to each faculty member a possibly revised work plan for signature or further discussion. Work plan revisions should be based on balancing SESE's needs and goals with the faculty requests.

A faculty member choosing to appeal their work plan must, within 10 working days of being notified of the Director's work plan, send a letter stating their case to the Director. The Director must respond within 10 working days. If a response within the specified time frame does not happen or if the Director's response results in an unsatisfactory response, the faculty member may appeal to the Review Committee [see [Section 5.2](#)]. Such appeal must be made within 10 working days. The Review Committee will meet separately with the appealing faculty meeting and the Director to resolve the issue, and

will report their findings to the appealing faculty member and Director within 10 days of receipt of the appeal. The Review Committee may request that the Director provide information regarding the work plans of other faculty members for purposes of comparison. This procedure must be followed prior to appeal to CLAS.

If individual circumstances should change significantly during the following year, the faculty member should submit a revised work plan to the Director for discussion and approval.

6.3 Faculty Annual Performance Evaluations

Annual performance evaluations serve the following purposes and are guided by [\[ABOR 6-211\]](#), [\[ABOR 6-302\]](#), [\[ACD 506-10\]](#):

1. To comply with Board of Regents' requirements for an annual review of all faculty with the purpose of encouraging the faculty member to establish goals for continued academic progress
2. To guide salary decisions
3. To institute the first step in the post-tenure review process for tenured faculty.

6.3.1 Annual Evaluation Process

The Director is responsible for conducting annual performance evaluations for all tenured and probationary faculty [\[ACD 506-10\]](#) and for ensuring the fair and consistent application of policy during annual performance evaluations. It is the Director's responsibility to see that these evaluations are completed by March 31, with input from the Annual Evaluations Committee [\[ACD 506-10\]](#), [\[ABOR 6-211\]](#), for all tenured and probationary faculty.

Evaluations will be held annually in the spring and will cover the period January 1 to December 31 of the preceding calendar year. In the first week of February, the Director will call for faculty to prepare annual reports as appropriate at the time (e.g., CLAS's Faculty Activity Report). At the beginning of March, the Annual Evaluation Committee will gather the submitted materials and teaching evaluations of individual faculty members.

Using this information, the Annual Evaluations Committee will recommend a score for each faculty member in the areas of teaching, research, and service, as well as an overall rating. These scores will be based on a scale approved by the University. These ratings will be measured relative to average performance of the entire SESE faculty. The Annual Evaluations Committee review of each faculty member is due to the Director by March 15.

The Director will then conduct an independent review of each faculty member based on the same scale and information and submit the evaluations to CLAS by March 31.

The Director should provide a summary of the University scores at an Assembly meeting by May 30.

The Director will [[ACD 506-10](#)]:

1. Notify each faculty member that evaluation material will be furnished to the Director and Annual Evaluations Committee 4 weeks prior to the evaluation due date.
2. Provide each faculty member, annually, a written letter by May 30 commenting on his or her performance, including areas of strength, weakness, needed improvement, opportunities for growth, and expectations for future distribution of effort and performance.
3. For faculty who have not yet been tenured and/or promoted to full rank, provide a statement in the annual letter that indicates that the procedures for the annual evaluation differ from the procedures for a tenure or promotion review.

In years when merit funding is available, the annual evaluations will guide the allocation of across-the-board salary adjustments [see [Section 6.4](#)]. However, the evaluations will be conducted whether or not funding will be available.

In accordance with [ABOR 6-211](#), [ABOR 6-302](#), and [ACD 506-10](#) the annual performance evaluation:

1. will normally cover 36 months, with substantial emphasis on the current year for evaluation.
2. will assess the faculty member's contributions in terms of teaching, research, and service (which includes affirmative action).
3. will provide distinct numerical measurements based a University approved scale.
4. will be based on written expectations that both the faculty member and the Director have agreed upon [see [Section 6.2](#)]
5. will assess past performance as well as establish expectations for future distribution of effort and achievements.
6. will take into account the distribution of effort across various types of faculty responsibilities.
7. will be conducted each year, although the Director may differentiate between "in depth" evaluations conducted every three years and "updated" evaluations conducted annually. Faculty will be told at the start of the work plan process which type of evaluation will be applied.

Faculty who participate as joint, affiliated, or “core” faculty in another unit must document their contributions to these programs and these contributions will be considered in the annual performance evaluation. All Joint Appointment evaluations will be weighted by the percentage of the faculty member’s appointment in SESE.

Faculty may discuss or appeal their evaluation to the Director and Review Committee [see [Section 6.2.3.5](#)].

6.3.2 Annual Evaluation Criteria

The Director and the Annual Evaluations Committee will consider the following non-rank ordered contributions when making their assessments:

6.3.2.1 Teaching Criteria

Teaching a full load of undergraduate and/or graduate courses consistent with the percentage effort agreed upon in the individual faculty work plan.

Teaching effectively as indicated by student evaluations, student advising, student mentoring, and peer evaluations.

Recruiting high-quality undergraduate and/or graduate students.

Effective advising and guiding of graduate students.

Developing and/or improving of courses/curricula.

Delivering “short courses”, “lecture series”, “summer schools” in specialty areas at local, national, or international venues.

Developing programs in the earth and space sciences to enhance cultural diversity.

Receiving recognition of teaching excellence by receipt of awards.

Involving undergraduate students in research projects.

Advising honors thesis projects.

Establishing interdisciplinary teaching collaborations within SESE.

6.3.2.2 Research Criteria

Performing high-quality research consistent with the percentage effort agreed upon in the individual faculty work plan.

Publishing papers in peer- reviewed international journals as first, last or otherwise significant author.

Publication of books, book chapters, or monographs.

Demonstrating the impact of research results through publication citation metrics.

Receiving awards that recognize the impact of research results.

Presenting invited talks at national or international meetings.

Serving as the principal thesis advisor or co- advisor for graduate student(s) and/or postdoctoral research associate(s).

Expending, commensurate with rank, sponsored research grants during the calendar year.

Serving as Principal Investigator or Co-Investigator on peer-reviewed sponsored projects.

Actively seeking external funding for research programs.

Sustaining external funding that support individual faculty research programs.

Establishing innovative laboratory facilities, experimental techniques, or computer programs that lead to new research.

Serving as investigator on major equipment or support grants.

Establishing interdisciplinary research collaborations within SESE.

6.3.2.3 Service Criteria

Performing high-quality service consistent with the percentage effort agreed upon in the individual faculty work plan.

Serving as an Associate Director in SESE.

Serving as chair of a SESE Committee.

Serving as Director or Co- Director of a major research initiative or center.

Serving as an Editor or Associate/Scientific Editor for a major professional journal.

Holding elected office in major professional organizations.

- Chairing a major professional committee.
- Serving on NRC, NSF, DOE, DOD, NASA or international review panels.
- Serving on graduate student examination committees.
- Serving as an academic advisor to SESE undergraduate students.
- Serving on SESE Committee(s).
- Serving in a position related to CLAS governance or committees.
- Serving in a position related to University governance or committees.
- Conducting outreach activities for the general public, local schools, and community.
- Serving to reach SESE's or ASU's affirmative action and minority student recruitment and retention goals.

6.3.2.4 Overall

The level of participation and accomplishment of faculty members in each of the 3 categories above may vary from year to year and at various stages of an individual's career. It may also vary in response to SESE's needs, unusual activities such as extended field or observational work in distant locations, sabbatical leaves, assignment to national committees, construction of laboratory apparatus, and special assignments. The overall rating allows the Annual Evaluation Committee and the Director to take these factors into consideration.

6.3.2.5 Evaluation Appeals

If performance in teaching, research, or service is determined to be unsatisfactory by the Director in a given year, the Director and faculty member will develop a written, signed plan designed to improve performance. The implemented plan will include specific goals, timelines, and benchmarks that will be used to measure progress at specified intervals. If the faculty member and Director are unable to develop a plan that both can sign, an appeal of the evaluation may be filed.

All appeals of performance evaluations are directed to the next higher administrator above the evaluator [ACD 506-10](#). As noted in [ACD 506-10](#), the request for an appeal must be made within 30 working days (excluding summer) of being notified of the Director's evaluation. The final decision lies with the appeal review administrator who must complete the review and notify the appellant within 30 working days (excluding summer) after the receipt of the appeal. Individuals may also file a complaint regarding their annual performance evaluation in accord with [ACD 401](#), "Nondiscrimination, Anti-Harassment, and Nonretaliation" [[ACD 506-10](#)].

6.3.3 Relationship to Probationary, Tenure, and Promotion Reviews

Annual performance evaluations are retrospective and summative, whereas tenure and promotion reviews are prospective and summative. Annual feedback on progress toward tenure for probationary faculty may occur at the same time and be based upon the same material as the annual performance evaluation, but probationary reviews are prospective and reflect the Assembly's estimate of the candidate's future promise. Thus, the procedures and standards used in annual performance evaluations differ from those used in retention, promotion, and tenure reviews [[ACD 506-10](#), [506-04](#), and [506-05](#)].

The final decision about the performance level in an annual review is made by the Director with input from the Personnel and Budget Committee [see [Section 5.1](#)], whereas the final decision in a probationary, tenure, or promotion review is made by the ASU President based on independent assessments from the Personnel Committee, Director, CLAS personnel committee, CLAS dean, and for tenure and promotion the University personnel committee.

Even though annual performance evaluations differ significantly from probationary, tenure, and promotion reviews, there are common elements. Annual performance evaluations are as similar as possible to the other reviews in terms of teaching, research, and service assessments [[ACD 506-10](#)].

6.4 Faculty Salary Adjustments

For SESE-wide merit raises, the Director will use the annual evaluation ratings averaged over the past 3 years [[ACD 506-12](#)]. For faculty who have served for less than 3 years, adjustments will be based on the ratings averaged over the years in service. Appeals will be filed with the next highest administrator.

Compression and inversion salary issues will be examined each year that school-wide merit raises are available. If individual problem cases have arisen, the Director may allocate a portion of the available salary funds to address the problem.

The amounts allotted for faculty and Academic Professionals will be divided into two equal pools, one of which will be used for fixed increases and the other for proportional increases. In both cases, raises will be apportioned according to the following ratios: people with the highest ratings (a "5") will receive 1.5 times as much increase (calculated either as a fixed amount or as a percentage) as those with a rating of 4, and three times as much as those with a rating of 3. Ratings of 2 will receive any across the board or cost of living increase. Ratings of 1 will receive no salary increase of any kind. Calculation factors (F) are thus 1.0 for a rating of 5, 0.67 for a rating of 4, 0.33 for a rating of 3, and 0.00 for a rating of 2 or lower.

The two parts of the salary increase will be computed separately. To calculate the fixed component, each faculty member will initially be assigned ($\$1000 \times F$). These amounts will be totaled, and divided by the available pool to arrive at a correction factor. Thus, if

the fixed amounts total \$6000 and \$10,000 is available, the product of $(\$1000 \times F)$ will be multiplied by $Q1=10/6$ to determine the fixed increase for each individual. To calculate the proportional component, each faculty member will initially be assigned $(1\% \times \text{base salary} \times F)$. These products will be added, and then this sum will be divided by the available pool. Thus if the proportional amounts total \$15,000 and only \$10,000 is available the product of $(1\% \times \text{base} \times F)$ will be multiplied by $Q2=10/15$. For split appointments, base salaries will be determined based on the proportion of one's appointment that is in SESE. Fixed increments will also be scaled. The two parts of the salary computation will be added to arrive at total raise:

$$\text{Raise} = (F \times 1000) \times Q1 + (F \times 1\% \times \text{base}) \times Q2$$

6.5 Faculty Promotion

The purpose of promotion is to recognize and reward accomplishment [[ACD 506-05](#)]. Promotion is awarded on the basis of proven excellence rather than on a lack of deficiencies. Promotions of tenure-eligible faculty to the ranks of associate professor or professor may be accompanied with tenure. Demotion does not occur.

The collection of supporting materials pertinent to all such decisions is the responsibility of the faculty member, except that the Personnel Committee and the Director will collect supplementary, confidential evaluation letters where required. A list of requirements for promotion is given in [ACD 506-05](#).

6.5.1 Promotion to Associate Professor and Granting of Tenure

Promotion to associate professor and awarding of tenure requires a candidate to have achieved excellence (taking into account the rank) in both research and teaching. Service must at least be "satisfactory" or "effective". An assistant professor whose intent is to remain at the University must apply for promotion no later than the sixth year of service as an assistant professor at ASU [[ACD 506-04](#)]. An early application is also possible.

6.5.1.1 Quality of Teaching

Candidates should

1. Establish themselves as excellent teachers in lower- and upper-division undergraduate courses, and
2. Be actively involved in graduate education, including mentoring and instruction of graduate students and, if appropriate, postdoctoral researchers.

Evidence of the quality of teaching will include a summary of student evaluations collected and reported in accord with University procedures, and a peer or supervisory review of instructional materials [[ACD 506-05](#)]. The evaluation of instructional materials will take into account relevant factors such as student

learning, the currency of the course, and the contribution of the course to SESE's curriculum, pedagogy, and the scholarship of instruction. Peer observation of teaching is a required part of the evaluation.

6.5.1.2 Quality of Research

Candidates should present a substantial record of productive research, indicative of future performance at a high level, through

1. Publishing work conducted at ASU in refereed journals. This work should describe original research and define or significantly enrich the relevant scientific field.
2. Making presentations and actively participating in meetings and conferences in their fields, and
3. Securing sufficient, continuous, sponsored funding to build a successful research program that supports students, postdoctoral students, travel, and laboratory or field operations.

Evidence of the quality of research may also be measured by indicators such as the importance, innovativeness, and relevance of the work as suggested by external letters; the quality of the journals; or citation metrics [[ACD 506-05](#)].

6.5.1.3 Quality of Service

Candidates should

1. Serve effectively and conscientiously in committee assignments in SESE, and/or CLAS, and/or the University, and/or national or international professional organizations (see 6.3.2.3 for a list of service criteria).
2. Participate in the review process for papers and proposals.

Evaluation of service will assess both quality and quantity. Contributions to affirmative action/diversity, recruitment and retention, faculty governance, collegial working environments, and professional behavior are also assessed by peers and the Director [[ACD 506-05](#)].

6.5.2 Promotion to Full Professor

Promotion to full professor will be based on an overall record of excellence, such as new discoveries or models that advance the discipline and serve society [[ACD 506-04](#)], and the promise of continued effectiveness in professional development [[ACD 506-05](#)]. Exceptional quality of service will be assessed in relation to service to the profession or the public. An overall record of excellence requires national or international recognition for scholarly achievement in one or more areas of faculty

endeavor. There is no set time for promotion from associate professor to full professor.

6.5.2.1 Quality of Teaching

Candidates should show evidence of

1. Sustained, effective, and inspired teaching contributions at the undergraduate and graduate levels,
2. Effective student mentoring at the graduate level, including consideration of the quality of the students who were advised and where they were placed upon leaving ASU, and
3. Evidence of developing and improving the curriculum, which may include obtaining grants for instructional equipment, curriculum improvement, and delivering various “short courses”, “summer schools” or other instructional activities.

Evidence of the quality of teaching will include a summary of student evaluations collected and reported in accord with University procedures, and a peer or supervisory review of instructional materials [[ACD 506-05](#)]. The evaluation of instructional materials will take into account relevant factors such as student learning, the currency of the course, and the contribution of the course to SESE’s curriculum, pedagogy, and the scholarship of instruction. Peer observation of teaching is a required part of the evaluation.

6.5.2.2 Quality of Research

Candidates should show

1. Evidence of a substantial body of original research that defines and/or significantly enriches one or more areas of the relevant sciences.
2. Evidence of a substantial, continuous flow of publications in high-quality, refereed, professional journals.
3. Evidence of recognition as a major influence in one or more areas of research; such recognition includes giving invited presentations at conferences and universities of high stature, professional awards, and election to positions in national and international professional societies.
4. Evidence of continuing external grant support from major peer-review funding agencies, with candidates serving as Principal Investigator. Simultaneous support by more than one grant is typical.

5. That funding is at a sustaining level adequate to support all aspects of the person's research program, essentially independent of SESE or other University funds. Faculty serving as co-investigators on proposals for major equipment grants are recognized as making valuable contributions in meeting institutional goals, but such activities are secondary to serving as Principal Investigator on sponsored projects to solve scientific problems.

Evidence of the quality of research may also be measured by indicators such as the importance, innovativeness, and relevance of the work as suggested by external letters; the quality of the journals; citation metrics; or longevity of influence [[ACD 506-05](#)].

6.5.2.3 Quality of Service

Candidates should be involved in a wide variety of service activities. For example, they should have prominent achievement in several of the following:

1. Holding positions as officer in professional organization.
2. Service as journal editor, associate editor, or on editorial boards.
3. Service on review panels and boards for agency and national professional organizations.
4. Service on national and international professional committees, particularly serving as Chair.
5. Conscientious and effective service, including serving as Chair, in committee assignments at all levels of the University (see 6.3.2.3 for a list of service criteria).

Evaluation of service will assess quality as well as quantity. Each component of service will be evaluated in appropriate terms. Service to the University will be assessed in terms of impact on the well being of SESE and the University; service to the academic profession will be assessed in terms of its overall value for the national distinction of SESE. Contributions to affirmative action/diversity, recruitment and retention, faculty governance, collegial working environments, and professional behavior are also assessed by peers and the Director [[ACD 506-05](#)].

6.5.3 Final Decision on Promotion or Tenure

The final decision on promotion, tenure, or retention is made by the President or designee [[ACD 506-05](#)]. Notification of the decision is provided in the review year. Protest of a tenure or promotion denial may be made according to [ACD 506-02](#) and must be made within 30 days of the notification.

6.6 Renewal of Research Professors

Research Professors are appointed to advance the research mission of SESE. The Research Professor is expected to demonstrate excellence in research activity in order to have his/her contract renewed. Evaluation of performance will be based on the following criteria weighted by the workload distribution agreement with the Director.

6.6.1 Quality of Research

Candidates should show

1. Publications in leading refereed journals and similar publications. Publication of books, book chapters, and monographs are also recognized as contributions.
2. Receipt of external funding to support their research programs.
3. Invitations to speak or present at meetings, conferences, and at other institutions.

6.6.2 Other Metrics

Evidence for performance excellence may additionally include the following:

1. Establishment of innovative laboratory facilities, experimental techniques, or computer capabilities that allow new opportunities for research.
2. Establishment of effective research collaborations with ASU faculty and/or individuals at other institutions.
3. Effective mentoring at the graduate or undergraduate level, including supervising research experiences for students and/or recruitment of high quality students.
4. Teaching activities that advance the research mission of SESE, such as developing short courses to teach specific methods or techniques to students at ASU or improving courses in SESE's curriculum.
5. Effective and conscientious service to SESE, CLAS, University, or community, cooperation in outreach activities.

6.7 Renewal of Lecturers

Lecturers (see definition in ACD [505-02](#)) are appointed to assist in meeting the instructional mission of SESE. The lecturer is expected to demonstrate excellence in instructional activity at the undergraduate level. Evaluation of performance will be based on some combination of the following criteria.

6.7.1 Instructional Contributions

1. Experience and skill in teaching of courses; including evidence of useful strategies in teaching materials and presentation
2. Course evaluations above the school norms or mean for comparable classes
3. Evidence of accessibility to students outside of class time

4. Assisting other faculty members with course materials, ideas, and approaches; development of demonstration materials, samples, etc. for collective use of the faculty
5. Preparation of new courses, new course materials, new approaches to course delivery
6. Development of demonstration materials and samples for the collective use of the faculty

6.7.2 Service

Service at any level (e.g., SESE, CLAS, University, community, profession), cooperation in outreach activities, and supporting curriculum development and efforts within SESE (see 6.3.2.3 for a list of service criteria).

6.7.3 Other Metrics

1. Instructional Contributions that include guest lecturing; and/or advisement of Honors student projects within introductory SESE courses.
2. Professional Development that include (a) helping to improve teaching beyond one's own classroom through such activities as publishing articles, textbooks, books, or serving in a leadership role for a state or national group working for the improvement of teaching; (b) receipt of grants to develop or promote good teaching and/or (c) scholarly presentations to develop or promote good teaching.

6.8 Promotion to Senior Lecturer

Lecturers are appointed to assist in meeting the instructional mission of SESE. A Senior Lecturer (see definition in ACD 505-02) generally holds a doctorate degree (or appropriate terminal degree) and has a minimum of 5 years of college-level teaching experience or equivalent qualifications and experience. The Senior Lecturer is expected to demonstrate sustained excellence in teaching and related activity at the undergraduate level. Evaluation for promotion to Senior Lecturer will be based on some combination of the following criteria.

6.8.1 Instructional Contributions

1. Sustained excellence and skill in teaching of courses; including evidence of useful strategies in teaching materials and presentation;
2. Course evaluations consistently above the school norms for comparable classes;
3. Evidence of regular accessibility to students outside of class meeting times;
4. Regular assistance offered to other faculty members on content or method;
5. Preparation of new courses, new course materials, and/or new approaches to course delivery;
6. Development of teaching resources for collective use by the faculty. Evidence of the quality of teaching will include a summary of student evaluations collected and reported in accord with University procedures, and a peer or supervisory review of

instructional materials (see ACD 506-06). The evaluation of instructional materials will take into account relevant factors such as student learning, the currency of the course, and the contribution of the course to SESE's curriculum and pedagogy and the scholarship of instruction. Peer evaluation of teaching is a required part of the evaluation. Evidence of the quality of teaching may also be measured by indicators such as the effectiveness, innovativeness and relevance of the work as suggested by letters from knowledgeable peers.

6.8.2 Service

Service at any level (e.g., SESE, CLAS, University, community, profession), cooperation in outreach activities, and support to curriculum development and related efforts within SESE, CLAS, or the University (see 6.3.2.3 for a list of service criteria).

6.8.3 Other Metrics

1. Instructional Contributions, which may include guest lecturing or advisement of Honors student projects in introductory SESE courses.
2. Professional Development, which may include (a) scholarly presentations on good teaching; (b) scholarly publication of articles, reference books, or textbooks; (c) service in a leadership role for a state, national, or international organization working for the improvement of teaching; or (d) receipt of grants to develop, assess, and/or disseminate effective teaching resources and practices.

6.9 Promotion to Principal Lecturer

Lecturers are appointed to assist in meeting the instructional mission of SESE. A Principal Lecturer (see definition in ACD 505-02) generally holds a doctorate degree (or appropriate terminal degree) and has a minimum of 7 years of college-level teaching experience or equivalent qualifications and experience. The Principal Lecturer is expected to demonstrate sustained excellence in teaching and related activity at the undergraduate level and to make meaningful contributions to education across SESE. Evaluation for promotion to Principal Lecturer will be based on some combination of the following criteria.

6.9.1 Instructional Contributions

1. Sustained excellence and skill in teaching of courses; including evidence of useful strategies in teaching materials and presentation;
2. Course evaluations consistently well above the school norms for comparable classes;
3. Evidence of regular accessibility to students outside of class meeting times;
4. Regular and repeated assistance offered to other faculty members on content or method;
5. Preparation of new courses, new course materials, and/or new approaches to course delivery;

6. Development of teaching resources for collective use by the faculty. Evidence of the quality of teaching will include a summary of student evaluations collected and reported in accord with University procedures, and a peer or supervisory review of instructional materials (see ACD 506-06). The evaluation of instructional materials will take into account relevant factors such as student learning, the currency of the course, and the contribution of the course to SESE's curriculum, pedagogy, and the scholarship of instruction. Peer evaluation of teaching is a required part of the evaluation. Evidence of the quality of teaching may also be measured by indicators such as the effectiveness, innovativeness and relevance of the work as suggested by knowledgeable peers.

6.9.2 Service

Service at any level (e.g., SESE, CLAS, University, community, profession), cooperation in outreach activities, and support to curriculum development and related efforts within SESE, CLAS, or the University (see 6.3.2.3 for a list of service criteria).

6.9.3 Other Metrics

1. Instructional Contributions, which may include guest lecturing or advisement of Honors student projects in introductory SESE courses.
2. Professional Development, which may include (a) scholarly presentations on good teaching; (b) scholarly publication of articles, reference books, or textbooks; (c) service in a leadership role for a state, national, or international organization working for the improvement of teaching; or (d) receipt of grants to develop, assess, and/or disseminate effective teaching resources and practices.

6.10 Academic Professional Profiles

Academic professionals in SESE hold unique positions and each has specific job descriptions and responsibilities. Probationary/continuing Academic Professional appointments in SESE are made for the following reasons:

1. The need for high-level or unique critical expertise, along with a long-term funding commitment to ensure continuity.
2. An expectation that the Academic Professional will participate, long-term, in advancing the mission of SESE and/or discipline through his or her academic expertise, with position effectiveness, professional contributions, and institutional, professional, and/or community service.

Academic Professionals on probationary appointments will have a position description that articulates standards for position effectiveness, professional development, and institutional, professional, and/or community service [[ACD 507-05](#)]. Individual Academic Professionals may have different percentages of effort in each category. The position

description will be amended whenever major changes occur in the duties and/or responsibilities of the Academic Professional.

All probationary and continuing status Academic Professionals report directly to the Director or designated Associate Director, who is responsible for overseeing their annual evaluation by the immediate supervisor.

6.10.1 Academic Professional Annual Evaluation Process

The performance by Academic Professionals on probationary appointments will be evaluated annually by the immediate supervisor and, where appropriate, the Director or to whom the supervisor reports [[ACD 507-05](#)]. Evaluations will be held annually in the spring and will cover the period January 1 to December 31 of the prior calendar year. In the first week of February, the Director will call for supervisors to begin their annual evaluations of Academic Professionals.

6.10.2 Academic Professional Annual Performance Evaluations

Supervisors or, where appropriate the Director, will evaluate each Academic Professional in the areas of job performance, professional development, service, and overall based on a University approved scale.

6.10.2.1 Job Performance Criteria

Job performance is fulfillment of the duties and responsibilities of the position held as detailed in the job description. SESE documents should specify task-related standards for job performance based on the duties and responsibilities assigned in each Academic Professional job description.

6.10.2.2 Professional Development Criteria

1. Documentation of efforts to keep abreast of current developments in the area of responsibility.
2. Development of new capabilities, methods, procedures, and/or instrumentation in areas of responsibility.
3. Collaboration with faculty and students in facilitating, carrying out, and/or documenting innovative research, teaching, and or service activities. In general, these are activities that represent a commitment to the profession or to the discipline beyond the daily duties of the position.

6.10.2.3 Service Criteria

Use of professional expertise in serving the interests of SESE, CLAS, University, community and/or higher education.

6.10.2.4 Appeal of the Annual Evaluation

If job performance, professional development or service is determined to be unsatisfactory by the supervisor in a given year, the supervisor and faculty member will develop a written, signed plan designed to improve performance. The implemented plan will include specific goals, timelines, and benchmarks that will be used to measure progress at specified intervals. Termination based on poor job performance is also an option. The plan will include specific goals, timelines, and benchmarks that will be used to measure progress at regular intervals. If the supervisor and Academic Professional are unable to develop a plan that both can sign, an appeal may be filed.

All appeals of performance evaluations are directed to the next higher administrator above the evaluator [ACD 506-10](#). As noted in ACD 506-10, the request for an appeal must be made within 30 working days (excluding summer) of being notified of the Director's evaluation. The final decision lies with the appeal review administrator who must complete the review and notify the appellant within 30 working days (excluding summer) after the receipt of the appeal. Individuals may also file a complaint regarding their annual performance evaluation in accord with [ACD 401](#), "Nondiscrimination, Anti-Harassment, and Nonretaliation" [\[ACD 506-10\]](#).

6.10.3 Academic Professional Salary Adjustments

See [Section 6.4](#) for SESE-wide merit raises.

6.10.4 Academic Professional Promotion

The fulfillment of responsibilities as defined in individual job descriptions is expected to be a major factor in decisions relating to promotion and the granting of Continuing Status. The following are criteria for performance at each rank of Academic Professional [\[ACD 507-07\]](#). Promotion to a higher rank requires performance at the appropriate level.

6.10.4.1 Assistant

Must meet minimum degree or other training requirements, and show promise of excellent performance, leadership, independence, and initiative.

6.10.4.2 Associate

Demonstrated sustained excellence in day-to-day performance and expertise in all job related responsibilities, regular participation in professional development, sustained evidence of initiative, demonstrated leadership or managerial capability.

6.10.4.3 Senior

Outstanding performance of duties and fulfillment of all job-related responsibilities, recognized excellence in chosen field, evidence of substantial professional accomplishment, significant contributions to SESE programs.

6.10.5 Academic Professional Awarding of Continuing Status

Academic Professionals who are working toward continuing appointment will have probationary reviews prior to the review for continuing appointment [[ACD 507-05](#) and [507-06](#)]. An Academic Professional on a probationary appointment will either achieve continuing appointment within the annual specified period or will be issued a terminal contract for the following year. A probationary Academic Professional on state funds may be granted continuing status [[ACD 507-09](#)] only in recognition of the following:

1. A demonstrated mastery of the skills, knowledge, and understanding needed to perform at the highest possible level.
2. Outstanding job performance and the promise of continued excellence.
3. A clear commitment to professional development and service.
4. Demonstration of an appropriate involvement in SESE programs and service
5. Flexibility and the potential to adapt to changing SESE needs.

Article 7 - Amendment Procedures

Proposed amendments or changes to the bylaws may originate with any voting member of the Assembly and must be endorsed by two additional voting members. Proposed amendments or changes must be submitted in writing to the Director or designated Associate Director, who will refer the matter to an ad hoc bylaws committee if necessary for further study. The proposed amendments will be presented at an Assembly meeting within 1 month of submission.

Votes to amend or change the bylaws will be taken at an Assembly meeting subsequent to the meeting at which such changes are presented [see [Section 4.1.4](#)]. A two-thirds majority of the eligible voters is required to approve amendments or changes.

Appendix 1 - Faculty Workplan Agreement Form

Proposed Faculty Workplan for Calendar Year 20 _____

Faculty Name: _____

Percentage effort (must sum to 100%)

Teaching: _____

Research: _____

Service: _____

Teaching Goals:

• Summer:

• Fall:

• Spring 20:

Research Goals:

• Publications:

• Grant Proposals:

Service Goals:

I agree with the above proposed distribution of my efforts:

Faculty Name (printed)

Faculty name (signature)

Date

Director (printed)

Director (signature)

Date