
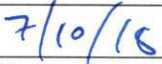




Confirmation of Approval

College/Unit	College of Liberal Arts and Sciences
Unit	School of Mathematical and Statistical Sciences
Document	Criteria for Promotion and Tenure

The attached document has been approved by the provost's office.

	
Deborah Clarke, Vice Provost for Academic Personnel	Date

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College of Liberal Arts & Sciences
Criteria for Promotion
School of Mathematical and Statistical Sciences

Approved by the dean on September 15, 2015

Approved by the faculty assembly of the school on October 30, 2015

Minor revisions July 9, 2018

SoMSS Promotion and Tenure Policies
School of Mathematical and Statistical Sciences
College of Liberal Arts and Sciences Arizona State University

For the purpose of approving, altering, amending, or repealing this promotion document, a quorum is defined as one-half the tenured faculty members and academic professionals with continuing appointments. This document will become effective upon approval by at least one-half of a quorum of the tenured faculty members and academic professionals in a secret ballot and upon approval by the University. This document may be revised, or repealed by a vote of a quorum in a secret ballot where voters may choose between approve, disapprove, or abstain for the given action. The action is approved if at least two-thirds of the voters selecting either approve or disapprove vote to approve the change. Proposals for amendments to this document must be made available to members of the tenured faculty and academic professionals with continuing appointments at least eight days prior to the date on which action is to be taken upon them. The policies of this document are effective for all candidates that are considered for promotion, tenure, or continuing status after October 30, 2015.

I. Definitions

The Promotion and Tenure (P&T) Committee shall be the Personnel and Budget Committee. All members of the P&T Committee, regardless of rank, shall participate in the evaluation of all candidates for promotion unless there is a conflict of interest. The term “appropriate membership” refers to all members at or above the rank to which the candidate desires to be promoted. When a candidate is considered for tenure and promotion to full professor, the consideration is done in two stages: the “appropriate membership” for the tenure part consists of the tenured faculty, while the appropriate faculty for the promotion part consists of the tenured full professors. For academic professionals, “appropriate membership” consists of all tenure-track faculty, and academic professionals at or above the rank for which the candidate is applying. The “appropriate membership” for a lecturer applying for promotion to senior lecturer consists of all tenure-track faculty, professors of practice, principal lecturers, and senior lecturers. The “appropriate membership” for a lecturer or senior lecturer applying for promotion to principal lecturer consists of all tenure-track faculty, professors of practice, and principal lecturers.

II. Criteria for Tenure

To be recommended for tenure in the School of Mathematical and Statistical Sciences, a faculty member must demonstrate excellence in teaching, must establish a record of excellence and creativity in scholarly research, and must participate in service to the University, the profession, and the community. In assessing the merits of a candidate’s record, teaching and research are weighted more heavily than service. An excellent record in teaching or research can compensate for a positive but not outstanding record in the other; however, an outstanding record in one area cannot offset a poor record in the other.

A. Teaching

Successful candidates for tenure are expected to have demonstrated excellence in teaching. The primary criterion for teaching excellence is the candidate's performance in teaching courses in the School of Mathematical and Statistical Sciences.

Quality of teaching and instruction are assessed through multiple indicators. By ABOR policy, student evaluations must form part of the evidence for assessing teaching excellence. Other examples of evidence are provided in the process page for promotion on the Provost's website. Those examples include (but not limited to):

- i. Written evaluations by peers based on classroom and/or seminar visitations.
- ii. Local and national awards for teaching.
- iii. Development of new courses.
- iv. Development of instructional materials, including computer software.
- v. Publication of textbooks.
- vi. Advising of undergraduate students, graduate students, or student organizations.
- vii. Supervision of undergraduate honors theses or research projects
- viii. Supervision of graduate students' research

Note: directing graduate student research, though not required for promotion, is weighted more heavily for promotion to professor than for promotion to associate professor.

B. Research and Creative Activities

The objectives of the review of research are to evaluate the creativity and significance of the individual publications, and to ascertain whether the body of work constitutes a substantial and continuing contribution to the research area. Written evaluations of the research provided by external reviewers who are experts in the candidate's research area play an important role in the review. A candidate for tenure is expected to have a strong record in research and to show promise of becoming a leading researcher and scholar in the mathematical sciences.

Research is judged primarily by the quality of research publications in reputable refereed journals, including both published papers and those accepted for publication. As researchers take different approaches to scholarship, no quota for an acceptable number of publications is used. The significance and impact of the results are more important than the number of publications. Some faculty members choose to publish in refereed conference proceedings or research monographs rather than in refereed journals; these outlets for research vary widely in quality, and the P&T Committee shall determine the research contribution of these publications.

In collaborative research in the mathematical sciences, co-authors are often listed in alphabetical order. For co-authored publications, the merit of the individual's contribution to scholarship shall be determined to the extent possible.

In addition to these primary indicators, other research contributions that also will be taken into account include:

- i. Survey articles
- ii. Unrefereed publications, including articles submitted for publication
- iii. References to the candidate's research appearing in publications by experts in the research area. It should be noted that citation rates, as well as the time scale over which they accrue, vary by sub-discipline within the mathematical sciences and thus citation counts by themselves are problematic as a metric to judge merit.
- iv. Presentation of papers at professional meetings and conferences, particularly when the presentation is invited.
- v. Invitations to present colloquia and seminars at other universities and research institutions.
- vi. Funding and attempts at obtaining funding for research from external sources, to the extent that the funding testifies to the quality of the research. It should be noted that in many areas of the mathematical sciences, external funding is very difficult to obtain. When research grants are available, the dollar amounts often vary substantially by mathematical sub-discipline.

C. Service

At the time of consideration for tenure, a candidate shall have developed a record of effective service in the School of Mathematical and Statistical Sciences, the profession, or the community. This service shall typically include:

- i. Participation in important School committees.
- ii. Refereeing for journals and/or reviewing proposals for external funding agencies.

Other activities that will be considered in the evaluation of a candidate's service include, but are not limited to:

- i. Participation in College and University committees.
- ii. Serving as editor or associate editor for refereed journals.
- iii. Serving as officer in a national or international scholarly society.
- iv. Organizing a national or international conference.
- v. Editing conference proceedings.
- vi. Reviewing articles for review journals.
- vii. Developing internship programs.
- viii. Consulting for other members of the University community.
- ix. Administration of graduate qualifying and comprehensive examinations.
- x. Participation in programs improving mathematics education at the elementary, secondary, or college level.

III. Criteria for Promotion of Tenure-Track Faculty

A. Promotion to associate professor (with tenure)

The criteria are the same as those for the granting of tenure in Section II.

B. Promotion to full professor from associate professor.

A candidate for promotion to full professor is expected to satisfy the criteria in Section II, but at a higher level than that expected for promotion to associate professor. Examples of such criteria for promotion candidates to professor include (but not limited to): a broadening or deepening of the candidate's research program since promotion to associate professor; increased visibility on the national or international scene, as indicated by invited talks, research visits, major grants, and/or editorial work. Supervision of graduate student research, though not required for promotion is weighted more heavily for promotion to professor than for promotion to associate professor.

IV. Procedures for Promotion and Tenure of Tenure-Track Faculty

A. Application for promotion or tenure.

The latest version of the university promotion and tenure policies applies.

B. Materials supplied by the candidate.

The latest version of the university promotion and tenure policies applies.

C. Soliciting Letters from External Reviewers.

A three-member *ad hoc* review committee for each candidate considered for promotion will be appointed by the School Director for the coming academic year after consultation with the new P&T committee. The main charge of each *ad hoc* committee is to document and to summarize the evidence about the candidate's case. It shall consist of faculty at or above the rank to which the candidate aspires, shall be chaired by a member of the new P&T Committee, and shall contain at least one faculty member in the candidate's research area (if possible) and at least one faculty member in another area of the mathematical and statistical sciences. The *ad hoc* review committee provides the School Director with a ranked list of ten recommendations for external evaluators. Taking the recommendations of the *ad hoc* committee under advisement and consulting with the Dean, the School Director selects ten external reviewers, exactly half of whom come from a list of external reviewers proposed by the candidate. All external reviewers should have sufficient experience in the discipline to judge the candidate's research: for example, an assistant professor should not be asked to review the work of a candidate for associate professor. Full professor reviewers are strongly preferred even for those being considered for tenure. The candidate's Ph.D. advisor, postdoc advisor, and the candidate's frequent or recent co-authors or co-PIs should not be among the list of reviewers. The School Director contacts the external reviewers according to the latest version of the university promotion and tenure policies.

D. Discussion by appropriate faculty.

Later in the Fall semester, with precise dates governed by the College's calendar for promotion and tenure decisions, but no later than three weeks before the College deadline, however, the Chair of the P&T Committee calls a meeting of the appropriate membership and the School Director for a discussion of the candidate's record relative to the School's standards for promotion and tenure. The discussion of the candidate's record at the meeting shall include a careful analysis of the reports of the external reviewers and the conclusions to be drawn from these reports. Each candidate shall be discussed and evaluated based on his or her individual qualifications; candidates shall not be ranked. Following discussion of each aspect of each candidate's application a vote is taken by secret ballot with space for comments; only appropriate membership who are present at the meeting may vote. Appropriate membership unable to attend the meeting may submit written comments to the Chair of the P&T Committee; comments that have been submitted in a timely manner shall be read at the meeting. Appropriate membership who attend the meeting are required to sign a statement that they were present at the meeting; this statement shall be kept confidential except in the event of an appeal by the candidate.

E. Summary statements.

Taking into consideration all available evidence of the strengths and weaknesses of the candidate's record, the assessments of the merits of the candidate's performance by the appropriate membership and the reports of the external reviewers, the P&T Committee decides whether to recommend the candidate for promotion and/or tenure. The P&T Committee prepares for the appropriate membership a summary statement providing the rationale for its decision; the summary statement shall include the outcome from the voting and shall clearly articulate the majority and minority opinions. The P&T summary statement shall be made available to the appropriate membership for comments in a timely manner before it is sent to the College. Independently, but informed by the recommendation of the P&T committee, the School Director decides whether to recommend the candidate for promotion/tenure and prepares a separate summary statement providing the rationale for this decision. The two summary statements should not include the names or affiliations of the external reviewers.

F. Notification of Recommendations and Final Decision.

The latest version of the university promotion and tenure policies applies. See ACD 506-4 and 508-1.

G. Last year of a probationary appointment.

In the case of a non-tenured faculty member in the last year of a probationary appointment, the consideration shall be initiated automatically and shall continue through all stages of the consideration process, unless the faculty member requests in writing that the consideration process be halted in accordance with university policy governing such action. Candidates in the last year of a probationary appointment must

submit a letter of resignation in order to avoid the tenure process.

H. Confidentiality.

In order to allow for full and frank discussion of the strengths and weaknesses of the candidate, it is essential that the deliberations of the appropriate membership and the P&T Committee be kept confidential. In particular, the detailed comments of external reviewers as well as the identity and affiliation of these persons must be kept confidential. Violations of the principle of confidentiality as it applies to personnel concerns constitute a serious breach of professional ethics, and seriously jeopardize the ability of the School to conduct its affairs in an effective and professional manner.

V. Criteria for Promotion of Lecturers and Senior Lecturers

Eligibility for promotion to senior or principal lecturer is determined by the latest version of university policies. Principal and Senior Lecturers generally hold doctorate degrees (or other appropriate terminal degrees). To be recommended for promotion to senior lecturer, a candidate must have five years or more of full-time service as a lecturer at ASU.

Candidates for promotion to principal lecturer will have at least seven years of college-level teaching experience; most of that experience should be at ASU. They should have records of continued and sustained excellence since the previous promotion.

A. Criteria for Promotion to Senior Lecturer

To be recommended for promotion to senior lecturer, the faculty member must demonstrate evidence of excellent teaching with evidence provided by student evaluations and written evaluations by faculty members. The candidate also shall have substantially contributed to other instructional activities and service in the School's educational mission which extend beyond the realm of classroom instruction. Candidates for promotion should demonstrate either the ability to teach a wide variety of classes or be able to teach classes in an area of high need for the School. Service activities that are considered valuable to the educational mission of the School include (but not limited to):

- Course coordination in multi-section classes
- Significant participation and/or chairing School, College, or University committees
- The development of instructional materials (e.g. textbooks, laboratory manuals, online materials) which can be used by other instructors of in-person or on-line courses
- Managing or assisting in the implementation of on-line homework and/or instructional materials for the benefit of other instructors and students
- Participation in programs involving mathematics education at the elementary and secondary levels
- Participation in major outreach programs to the community

- Consulting for other members of the University and/or the community
- Participating in training/mentoring sessions for new faculty and/or teaching assistants on tasks such as effective teaching strategies and appropriate use of technology in the curriculum
- Assist with the selection and hiring of graders and instructional assistants
- The impact of service contributions (in terms of students and instructors served) is more important than the quantity of time spent on service.

B. Criteria for Promotion to Principal Lecturer

To be recommended for promotion to Principal Lecturer, a candidate must have demonstrated a sustained track record of excellent teaching. The candidate also shall have substantially contributed to other instructional activities and service in the School's educational mission which extends beyond the level that is typically present for promotion cases to senior lecturer. The list of service criteria relevant to promotion to principal lecturer is the same as listed above in the section on promotion criteria for senior lecturer. However, the level of involvement, impact, and leadership expected for promotion to principal lecturer is higher than that for senior lecturer. Examples of leadership expected for promotion candidates to Principal Lecturer include (but not limited to):

- Course coordination that extends across multiple campuses of ASU
- Chairing an important committee or program
- Developing curriculum materials used by a large number of students and faculty members
- Leading consulting or authoring activities that impact a large number of members of the University and/or the community.
- Leading a major outreach program for the community
- Leading a training and/or mentoring program on instruction for new faculty or graduate students

C. Procedures for Promotion of Lecturers

i. Application for promotion.

The latest university process guide for promotions of fixed-term faculty applies. Requests for promotion to senior or principal lecturer should occur at the time as specified by university and college policies. The School Director will inform all candidates being considered for renewal of their lecturer or senior lecturer

contracts of:

1. The procedures for consideration for promotion to the rank of senior or principal lecturer;
2. A date, no sooner than two weeks after the initial notification of the procedures, by which they must notify the School Director of their desire to be considered for promotion to senior or principal lecturer; and
3. The date by which all materials must be submitted for the contract renewal and promotion consideration.

A lecturer or senior lecturer desiring promotion shall supply the School Director with all the materials as specified in the university and college procedures by the date specified by the Director.

ii. Discussion by Appropriate Membership.

No later than three weeks before the College deadline for the submission of the candidate's materials, a meeting will be called of the appropriate membership eligible to consider the promotion case. Candidates for promotion to senior lecturer will be discussed first. Candidates for promotion to principal lecturer will be discussed thereafter by the faculty at the rank of principal lecture or above. The discussion at the meeting shall include a careful analysis of the candidate's record in teaching and service. Each candidate will be evaluated on the basis of his or her individual qualifications; candidates shall not be ranked. Following the discussion of each candidate for promotion a vote will be taken by secret ballot, with space for comments. Only the appropriate membership present at the meeting may vote. Appropriate membership unable to attend the meeting may submit written comments to the Chair of the P&T Committee; comments that have been submitted in a timely manner shall be read at the meeting. All appropriate membership present at the meeting will be required to sign a statement that they were present at the meeting; this statement will be kept confidential in the event of an appeal by the candidate.

iii. Summary Statements.

Taking into consideration all available evidence of the strengths and weaknesses of the candidate's record, the assessments of the merits of the candidate's performance by the appropriate faculty, the P&T committee decides whether to recommend the candidate for promotion and prepares a summary statement for the College which includes the outcome of the vote as well as clearly articulates the majority and minority opinions. Independently, but informed by the recommendation of the P&T committee, the School Director decides whether to recommend the candidate for promotion and prepares a summary statement providing the rationale for this decision.

iv. Notification of Recommendations and Final Decision.

The latest version of the university policies for promotion of fixed-term faculty applies.