

Process Guide for Promotion and/or Tenure

(tenure-eligible faculty)

Academic Affairs Manual (ACD) policies governing faculty promotion and/or tenure: [ACD506-04](#), [ACD506-05](#)

Candidate Responsibilities

- Step 1.** Candidate submits to unit chair/director a list of at least 10 names of people he/she recommends to serve as potential external reviewers. Five of the 10 names provided by the candidate must be at approved peer or aspirational peer institutions. Proposed reviewers by the candidate and the chair/director must meet eligibility requirements as described in [ACD506-04](#). It is recommended that this occur early in the spring semester, following unit and college deadlines.
- Step 2.** Candidate checks with unit chair/director to determine the unit's submission deadlines for the following materials. According to the unit deadline, candidate submits electronic copies (PDF) of the following to the unit:
- a. A full and comprehensive **Curriculum Vitae** with page numbers and candidate name on each page.
 - b. A **Personal Statement** up to four pages in length, single spaced, 12 pt. font with page numbers and candidate name on each page. The personal statement should put past work into perspective, provide clear evidence of that work's impact on the field, and outline future goals. The personal statement should help reviewers see relationships between the candidate's teaching, research, and service, and how these activities have built the foundation for continued professional growth.
 - c. **Publications/Creative Materials:**
 - i. Candidate completes the [Confirmation of Publications/Creative Materials Selections](#) by listing up to four publication titles or descriptions of creative activity reflecting his/her research, scholarship, and/or creative activities; please include citation information as applicable and PDF page numbers on the form. A creative activities portfolio documenting overall professional activity may be submitted as one piece of evidence.
 - ii. Candidate provides unit with electronic copies of publications/creative materials identified on the Confirmation of Publications/Creative Materials Selections. If applicable, submit three copies of CDs or DVDs of copyrighted material which cannot be scanned (e.g. music, film, etc.).
 - iii. Candidate signs and submits Confirmation of Publications/Creative Materials Selections to the unit. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms. JPEG signature is accepted.
 - d. **Evidence of Excellence in Teaching and Mentoring.** These materials are in addition to the Summary of Student Evaluation of Instruction provided by the unit. Material in this category is included in the **Teaching Evidence** section. Candidates should work with their unit chair/director to identify appropriate materials that would effectively demonstrate an engaged effort to improve/sustain excellence in teaching and mentoring. The dossier should include at least three (3) different types of evidence of teaching excellence, one of which must be the candidate's Summary of Student Evaluations as required by ABOR policy. Other types of evidence may include, but are not limited to: recent, objective, and substantive peer or director evaluations of teaching, teaching or mentoring honors/awards, scholarship with a focus on pedagogy, evidence of student success through a sequence of courses, evidence of mentoring such as student theses and dissertations (especially to completion), papers co-authored with students and projects with student collaborators, evidence of student career success related to the candidate's teaching or mentoring, examples of effective teaching innovation by the candidate, peer review of student portfolios; or other evidence determined to be appropriate by the chair/director in consultation with the candidate, or facilitation of workshops on learning outcome assessment or other pedagogical topics. Evidence should not include student comments on evaluations, course materials (syllabi,

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sample tests), or other subjective materials. Tenured faculty may want to include teaching information from the previous ten years. If ten years of data at ASU is not available, course information from previous institutions can be included, if available. Material in this category should be selected carefully as the quantity of material counts toward the page/size limit described in the Supporting Materials section, regardless of whether materials are required by the college or academic unit. (Summary of Student Evaluation of Instruction does not count toward the 50 page/10 MB size limit.)

- e. **Supporting Materials (Optional).** Candidate submits electronic (PDF) of Supporting Materials to unit. Supporting materials may include a total of 50 pages not to exceed 10MB of additional electronic material highlighting excellence in teaching, research, and/or service. If the candidate chooses to include letters of support from faculty member from units outside their tenure home in this section, the letters are not confidential. A faculty member who will review and vote on the candidate should not contribute such a letter (per ACD 111-01). (Note that the materials in item (2.d.) are included and counted within this page/size limit.) Candidate completes, signs, and submits the [Confirmation of Optional Supporting Materials](#) sheet to the unit. If the candidate is not submitting any supporting materials, please indicate it on the form. Please include citation information as applicable and PDF page numbers on the form. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms. JPEG signature is accepted.

Note: Step 5.c. indicates the materials that are sent to external reviewers.

Unit responsibilities

Step 3. Confirm that unit criteria have final approval by the provost as mentioned in [P3 University Faculty Probationary, Tenure and Promotion Requirements for Academic Unit Bylaws](#).

- a. If faculty review criteria---including promotion and tenure criteria---are imbedded within a larger document (e.g. bylaws, policies or procedures guides), submit the entire approved document with bookmarks on the first page of the document as well as the criteria section. NOTE: External reviewers receive unit criteria only; all ASU levels of review receive the entire bookmarked document.
- b. If unit criteria are not applicable, please include a page that indicates that unit criteria are not included.
- c. Unit document(s) are included in **Unit and College Criteria** section.

Step 4. It is recommended that no later than May 15 the unit completes the following actions in preparation for external review:

- a. Unit chair/director develops a list of at least 10 names of people he/she recommends to serve as potential external reviewers. Five of the 10 names he/she provides must be at approved peer or aspirational peer institutions. Proposed reviewers by the candidate and the chair/director must meet eligibility requirements as described in [ACD506-04](#).
- b. Unit chair/director meets with dean to go over the list of all names submitted by the candidate and the unit chair/director for consideration as external reviewers. From the list, dean identifies acceptable reviewers, equally divided between candidate and unit chair/director lists.
- c. Unit chair/director informally contacts list of acceptable candidates identified by the dean. Informal contact is to ascertain reviewers' availability, with the goal of obtaining 10 available reviewers equally divided between the candidate and unit chair/director lists. At least five reviewers must be from peer/aspirational peer institutions.
 - i. The preference is **not** to name the candidate during the informal contact. **However**, if using the candidate's name is necessary in order to secure a strong pool of external reviewers, then the informal

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contact to each potential reviewer may include the candidate's name provided the chair/director does not comment on or discuss the case. The same approach should be used for all candidates in that unit for that year. If the candidate's name is used in the informal request, then the chair/director should note that fact in the chair/director letter.

- d. Unit chair/director completes the [External Reviewers Grid](#) identifying 10 reviewers equally divided between approved candidate reviewers and approved unit chair/director reviewers who are available and will receive a formal invitation to participate in the review. Once an external reviewer has been formally invited to participate, the reviewer remains on the grid even if he/she fails to submit a letter. Declined or no-response emails are not included with the received external reviewer letters in the PDF Portfolio. Indicate in participation status on the form if an alternate is not contacted.
 - i. External reviewers are listed with candidate-proposed reviewers in the first group and unit chair/director-proposed reviewers in the second group. Reviewers are assigned a C# to candidate-proposed reviewers and an L# to unit leader (chair/director)-proposed reviewers.
 - ii. If a formally-invited external later declines or fails to submit a letter, the unit may replace that reviewer with another dean-approved reviewer who has not yet been formally invited. The balance between candidate-proposed and unit chair/director-proposed reviewers must be maintained.
 - iii. Unit chair/director signs and submits External Reviewers Grid to dean for signature. All reviewers must be approved by the dean before a formal invitation is sent. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign or font) to sign forms. JPEG signature is accepted.

Step 5. It is recommended that no later than June 1, the unit formally invites and sends review materials to the external reviewers identified on the dean approved and signed External Reviewers Grid.

- a. Units are encouraged to use the [Sample Request Letter](#).
- b. In soliciting external letters, unit must comply with the [Academic Senate Requirements for Solicitation of Outside Letters of Recommendation](#).
- c. Contents of review packets submitted to the unit to be sent to external reviewers:
 - i. Candidate's current curriculum vitae.
 - ii. Candidate's personal statement.
 - iii. Candidate's publications or other material reflecting scholarly/creative and professional endeavors as submitted in Step 2.c.
 - iv. A current copy of the approved unit criteria (as described in Step 3).
- d. Unit coordinates receipt of the external letters and sends reminders for requested letters.
- e. Unit includes the reviewer C# or L# in the top right corner of the first page of each returned external reviewer letter.
- f. Units are encouraged to number the pages of each letter.
- g. Units are encouraged to acknowledge receipt of external letters.
- h. All external letters received must be signed by the external reviewer and included in the case file. If an unsigned external letter is received electronically, it should be received from the email address to which the invitation was sent. Unit should include the email at the end of the attached letter.
- i. Chair/director should note participation status of each external reviewer on the External Reviewers Grid.

Step 6. Unit compiles and completes the [Confirmation of Teaching Evidence](#) and [Summary of Student Evaluation of Instruction](#) and may include any other data **directly related** to course evaluations.

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- a. Student comments should not be included.
- b. Comparative data of teaching evaluation summary and description of the rating scale are required.
- c. All teaching evaluation scores from multiple units should be included. Teaching evaluation scores for cross-listed courses can be merged as long as it is noted on the form under additional information.
- d. All years of teaching evaluation scores at ASU should be included for faculty applying for promotion and tenure or tenure only. For tenured faculty, list all academic year courses taught since hire at ASU (limit to previous ten years). If ten years of data at ASU is not available, please include course information from previous institutions, if available.
- e. Academic unit-directed peer visit reports during the probationary period or since tenure can be inserted in the Teaching Evidence section by the unit.
- f. Summary of Student Evaluation of Instruction is the first document in the Teaching Evidence section and does not count toward the 50 page/10MB size limit.
- g. Unit bookmarks the first page of each item listed on the Confirmation of Teaching Evidence.
- h. Units are strongly encouraged to review completed Confirmation of Teaching Evidence and Summary of Student Evaluation of Instruction data with candidate and all other evidence provided that documents effective teaching (peer reviews, etc.) prior to unit personnel committee review of case materials.

Step 7. If external funding is expected for candidates in the candidate's academic unit, then the unit obtains a **Sponsored Project Activity** report from dean's office prior to initial internal review. (See instructional information in **Important Reminders** section.) Include a blank page with a note if no sponsored account information is available or applicable.

Step 8. Unit securely submits electronic candidate file to unit personnel committee. File includes:

- a. Materials submitted by candidate as outlined in Step 2.
- b. Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction and other evidence of effective teaching.
- c. If external funding is expected of candidates in the candidate's academic unit, Table of Sponsored Accounts from dean's office. Include a blank page with a note if no sponsored account information is available or applicable.
- d. External Reviewers Grid, external reviewer letters received, external reviewers' curricula vitae, and a copy of one official invitation letter.
- e. Complete unit bylaws or policies/procedures with criteria bookmarked.

Step 9. Unit adds signed internal letters with voting results and page numbers to the electronic case file from the following levels of review. If the committee vote is not unanimous, explicitly state the minority view in a separate section of the letter. Contextualize the vote in terms of the unit bylaws.

Reminder: All internal letters should refer to external reviewers by the C# or L# assigned to them on the External Reviewers Grid; no names of individuals or institutions can be referenced in any internal letter.

- a. Unit personnel committee, signed by all members of the committee. If a separate signature page is necessary, please include a sentence about the action that is being taken with the candidate's name at the top of the signature page. Do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.
- b. As applicable, center director or non-tenure home unit chair/director (in the case of a joint appointment). Such letters should represent an independent recommendation. Center directors who submit an internal letter and who belong to the candidate's tenure home unit may not vote on the case within the tenure home.

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- Step 10.** Unit submits complete file to unit chair/director for review and recommendation. Signed unit chair/director letter, including page numbers, is added to the electronic case file. See [Guidance for Chair/Director letters](#). Do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.
- Reminder: All internal letters should refer to external reviewers by the C# or L# assigned to them on the External Reviewers Grid; no names of individuals or institutions can be referenced in any internal letter.*
- Step 11.** Unit accurately completes [Academic Personnel Action \(APA\) form](#) with all appropriate signatures and adds to the electronic case file. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.
- Step 12.** The chair/director shall provide an oral statement of the strengths and weaknesses of the case to the candidate based on the reviews at the academic unit level; the candidate may choose to withdraw from further consideration at this point. If the candidate chooses to withdraw from further consideration, the chair/director contacts the dean as soon as possible. Then the dean contacts the provost's office as soon as possible.
- Step 13.** By the deadline established by the supervising college, the unit submits electronic **PDF Portfolio** of each case to college for review and recommendation. All sections below are PDFs (no other formats or folders) that are combined into a PDF Portfolio.
- a. The **PDF Portfolio** shall include sections titled and ordered as follows:
 - i. **01_APA form_Last NameFirst Initial**
 - ii. **02_Curriculum Vitae_Last NameFirst Initial**
 - iii. **03_Personal Statement_Last NameFirst Initial**
 - iv. **04_Unit and College Criteria_Unit Name_College Name** (with bookmarks, as described in Step 3)
 - v. **05_Internal Letters_Last NameFirst Initial** (unit personnel committee followed by unit chair/director with bookmarks)
 - vi. **06_External Letters_Last NameFirst Initial** (External Reviewers Grid, sample of external reviewer request letter, followed by external letters as ordered on the grid with bookmarks)
 - vii. **07_Teaching Evidence_Last NameFirst Initial** (Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction then other evidence with bookmarks)
 - viii. **08_Sponsored Project Activity_Last NameFirst Initial** (If external funding is expected of candidates in the candidate's academic unit; or includes a blank page with a note if no sponsored account information is available or applicable.)
 - ix. **09_Publications_Creative Materials_Last NameFirst Initial** (Confirmation of Publications/Creative Materials Selections followed by publications/creative materials in order they appear on the Confirmation of Publications/Creative Materials Selections sheet with bookmarks)
 - x. **10_External Reviewer Curricula Vitae_Last NameFirst Initial** (as ordered on the External Reviewers Grid with bookmarks)
 - xi. **11_(Optional) Supporting Materials_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials with bookmarks)
 - xii. **12_Addendum_Last NameFirst Initial** (If applicable, [Confirmation of Addendum Materials](#) followed by materials (with bookmarks) that were added to the file after the first response from an external reviewer is received. See **Late-add materials** in **Important Reminders** section.)

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- b. **PDF Portfolio** should be saved and titled using the following naming convention:
COLLEGE–UNIT–LastNameFirstName – ActionAcademicYear (e.g. *CLAS-PSY-SmithJane-PromotionTenure2014-15* or *HIDA-SOA-JonesTom-PromotionFull2014-15* or *BUS-MGT-JonesMary-TenureOnly2014-15* or *NUR-SmithRobert(Bob)-ProbationaryReview2014-15* or *LAW-ThomopsonMichael-ConditionalReview2014-15* or *NCIAS-SMNS-BrownBrian-Streamline2014-15*)
- c. If possible, unit should reduce PDF and use the text recognition option before submitting to the college. Do not lock the portfolio or the documents.
- d. **PDF Portfolio** should be uploaded to a secure site as directed by each college.
- e. No hard copy file is required.

College responsibilities

- Step 14.** College securely submits **PDF Portfolio** to college personnel committee. File includes:
- a. Materials submitted to and by the unit in Steps 8-11.
 - b. Confirm that the college and unit criteria included in the file have final approval by the provost as mentioned in [P3 University Faculty Probationary, Tenure and Promotion Requirements for Academic Unit Bylaws](#).
 - i. If faculty review criteria—including promotion and tenure criteria—are imbedded within a larger document (e.g. bylaws, policies or procedures guides), submit the entire approved document with bookmarks on the first page of the document as well as the criteria section. NOTE: External reviewers receive unit criteria only; all ASU levels of review receive the entire bookmarked document.
 - ii. If college criteria are not applicable, please include a page that indicates that college criteria are not included.
 - iii. College document(s) are included in **Unit and College Criteria** section.
- Step 15.** College adds the internal letter, with voting results and page numbers, from the college personnel committee signed by all members of the committee to the end of the **Internal Letters** section of the **PDF Portfolio**. If the committee vote is not unanimous, explicitly state the minority view in a separate section of the letter. Contextualize the vote in terms of the unit bylaws. If a separate signature page is necessary, please include a sentence about the action that is being taken with the candidate's name at the top of the signature page. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.
Reminder: All internal letters should refer to external reviewers by the C# or L# assigned to them on the External Reviewers Grid; no names of individuals or institutions can be referenced in any internal letter.
- Step 16.** College submits **PDF Portfolio** to dean for review and recommendation. Signed dean's letter, including page numbers, is added to PDF Portfolio at the end of the **Internal Letters** section. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.
Reminder: All internal letters should refer to external reviewers by the C# or L# assigned to them on the External Reviewers Grid; no names of individuals or institutions can be referenced in any internal letter.
- Step 17.** College reviews the Academic Personnel Action (**APA**) form for accuracy. College updates the Academic Personnel Action (APA) form with all appropriate signatures and adds to the **PDF Portfolio** replacing the previous APA form. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.

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- Step 18.** The dean shall provide an oral statement of the strengths and weaknesses of the case to the candidate based on the reviews at the college level; the candidate may choose to withdraw from further consideration at this point. If the candidate chooses to withdraw from further consideration, the dean contacts the provost's office as soon as possible.
- Step 19.** By the deadline established by the university, college submits the electronic **PDF Portfolio** of each case to university for review and recommendation. All sections below are PDFs (no other formats or folders) that are combined into a PDF Portfolio.
- a. The **PDF Portfolio** shall include sections titled and ordered as follows:
 - i. **01_APA form_Last NameFirst Initial** (revised to include college committee and dean's signatures)
 - ii. **02_Curriculum Vitae_Last NameFirst Initial**
 - iii. **03_Personal Statement_Last NameFirst Initial**
 - iv. **04_Unit and College Criteria_Unit Name_College Name** (with bookmarks, as described in Step 14)
 - v. **05_Internal Letters_Last NameFirst Initial** (unit personnel committee, unit chair/director, college committee, dean with bookmarks)
 - vi. **06_External Letters_Last NameFirst Initial** (External Reviewers Grid, sample of external reviewer request letter, followed by external letters as ordered on the grid with bookmarks)
 - vii. **07_Teaching Evidence_Last NameFirst Initial** (Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction then other evidence with bookmarks)
 - viii. **08_Sponsored Project Activity_Last NameFirst Initial** (If external funding is expected of candidates in the candidate's academic unit; or includes a blank page with a note if no sponsored account information is available or applicable.)
 - ix. **09_Publications_Creative Materials_Last NameFirst Initial** (Confirmation of Publications/Creative Materials Selections followed by publications/creative materials in order they appear on the sheet with bookmarks)
 - x. **10_External Reviewer Curricula Vitae_Last NameFirst Initial** (as ordered on the External Reviewers Grid with bookmarks)
 - xi. **11_(Optional) Supporting Materials_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials with bookmarks)
 - xii. **12_Addendum_Last NameFirst Initial** (If applicable, [Confirmation of Addendum Materials](#) followed by materials (with bookmarks) that were added to the file after the first response from an external reviewer is received. See **Late-add materials** in **Important Reminders** section.)
 - b. **PDF Portfolio** should be saved and titled using the following naming convention:
COLLEGE–UNIT–LastNameFirstName – ActionAcademicYear
(e.g. *CLAS-PSY-SmithJane-PromotionTenure2014-15*)
 - c. If possible, college should reduce PDF and use the text recognition option before submitting to the university. Do not lock the portfolio or the documents.
 - d. **PDF Portfolio** should be uploaded to a secure college-specific file on provost's share drive as directed by the university and notify the provost's office by email that the file has been uploaded.
 - e. **Please do not send a hard copy of the file.**
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IMPORTANT REMINDERS

Sponsored Project Activity

- A faculty sponsored project activity report shall be included in the case file for all promotion and/or tenure case files if external funding is expected of candidates in the person's academic unit. Prior to initial internal review, the unit secures from the dean's office a Sponsored Project Activity report taken from OKED Research Analytics. No changes should be made to the report. A candidate can include more information or clarification in the curriculum vitae or in supporting materials. The report should reflect activity from 2000 or time of hire for each fiscal year.

Internal Review

- Each level of review should provide a substantive evaluation of the case and directly address questions arising at earlier levels of review. Internal letters SHOULD NOT repeat case details that have already been addressed. Rather, evaluate the case, correct misstatements, substantiate or challenge claims, and provide additional information. Be scrupulous about providing evidence and documentation for important assertions about the case, and be sure to contextualize these assertions (acceptance rates in journals, significance of specific awards in your field, etc.).
- Each level of review should make an independent recommendation that is informed by recommendations from previous levels of review.
- Internal letters should explicitly address the following:
 - Detailed evaluation of the candidate's scholarly/creative activities including assessment of the quality and impact of the work.
 - Evaluation of the volume of scholarly activity and expected future contributions.
 - Unit/department expectations and disciplinary culture regarding (co-) authorship, authorship order, and grant activities.
 - Clear specifications of the candidate's contributions to collaborative projects (including external funding).
 - Comparative analysis of the candidate's standing in the field, relative to national peers.
 - Analysis of the candidate's scholarly/creative activities with respect to the unit's and college's missions.
 - Analysis of the candidate's teaching effectiveness.
 - Analysis of the quality of the candidate's service contributions.
 - If the committee vote is not unanimous, explicitly state the minority view in a separate section of the letter. Contextualize the vote in terms of the unit bylaws.

Personnel Committee

- All college and university committees meeting to review tenure and/or promotion files must inform the chair/director or dean (as appropriate) if there are major faults or omissions in the material or if significant questions or possible misunderstandings arise. The chair/director or dean may send additional letters to the committee as the case progresses if there is a need to either clarify or provide additional information.

Late-add materials

- Candidates seeking tenure must have their file complete by the deadline established by the college for submission to begin the review process. Any additional, revised or updated materials received after the first response from an external reviewer has been received is included as an addendum. If the information is received after the candidate's file has left the unit, then the materials are forwarded to each previous internal level of review. A brief statement should be written at each review level stating whether or not the new material would change their earlier recommendation in any way. The statement

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should be included after the original internal letter by that level of review. The deadline to submit additional materials, including the statement by each prior level of review, to the dean for the case is November 30th of each year. Any additional materials after that time require the dean or university librarian to seek approval from the provost's office for submission.

- Candidates for promotion only must have their file complete by the deadline established by the college for submission to begin the review process. There will be no additional materials accepted for candidates seeking promotion to full professor as they should have their case intact prior to making application. If a significant new achievement occurs, the dean can discuss the possibility of those materials being added with the provost's office.