



<b>College</b>	<b>College of Liberal Arts and Sciences</b>	
<b>Unit</b>	<b>School of Mathematical and Statistical Sciences</b>	
<b>Document</b>	<b>Promotion and Tenure Policies</b>	
<b>Approved by the faculty</b>		<b>Date:</b>
<b>Reviewed by the dean</b>		<b>Date:</b>

**Provost office approval**

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## **SoMSS Promotion and Tenure Policies (Nov. 18, 2011)**

### **School of Mathematical and Statistical Sciences College of Liberal Arts and Sciences Arizona State University**

This document shall take effect upon approval by a majority vote of the tenured faculty and academic professionals with continuing status in the School of Mathematical Sciences and Statistics in a secret ballot, and upon approval by the University. All promotion, tenure, and continuing status decisions are to be made in accordance with the guidelines in the ACD manual and the CLAS Bylaws. The policies of this document are effective for all candidates that are considered for promotion, tenure, or continuing status after January 1, 2012.

#### **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 faculty” refers to all tenured faculty members at or above the rank to which the candidate desires to be promoted. When a candidate is considered for tenure and/or for promotion to associate professor, “appropriate faculty” refers to all tenured associate professors and full professors. The “appropriate faculty” for a candidate considered for promotion to full professor consists of all tenured full professors. When a candidate is considered for tenure and promotion to full professor, the consideration is done in two stages: the appropriate faculty 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 faculty” consists of all tenure-track faculty, and academic professionals at or above the rank for which the candidate is applying. The “appropriate faculty” for a lecturer applying for promotion to senior lecturer consists of all tenure-track faculty, principal lecturers, and senior lecturers. The “appropriate faculty” for a lecturer or senior lecturer applying for promotion to principal lecturer consists of all tenure-track faculty 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 effectiveness 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 can not offset a poor record in the other.

#### A. Teaching

Successful candidates for tenure are expected to have demonstrated effectiveness in teaching. The primary criterion for teaching effectiveness 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 as described by the ACD manual and CLAS policies.

Other evidence may include:

- Written comments by students.
- Written evaluations by peers based on classroom and/or seminar visitations.
- Local and national awards for teaching.

Other factors may also be considered when evaluating contributions to teaching. These include, but are not limited to:

- Development of new courses.
- Development of instructional materials, including computer software.
- Publication of textbooks.
- Advisement of undergraduate students, graduate students, or student organizations.
- Supervision of undergraduate honors theses or research projects.
- Supervision of graduate students' research.
- Administration of graduate qualifying and comprehensive examinations.

#### 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 successful 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 papers in print 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 mathematics, co-authors are usually listed in alphabetical order. For co-authored publications, the merit of the individual's contribution to scholarship shall be determined to the extent possible.

Other research contributions that may be taken into account include:

- Survey articles.
- Unrefereed publications, including articles submitted for publication.
- References to the candidate's research appearing in publications by experts in the research area.
- Presentation of papers at professional meetings and conferences, particularly when the presentation is invited.
- Invitations to present colloquia and seminars at other universities and research institutions.
- 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 difficult, if not impossible, to obtain. When research grants are available, the dollar amounts usually reflect the norms for the research area more than the merit of the candidate.

### 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:

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

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

- Participation in College and University committees.
- Serving as editor or associate editor for refereed journals.
- Serving as officer in a national or international scholarly society.
- Organizing a national or international conference.
- Editing conference proceedings.
- Reviewing articles for review journals.
- Developing internship programs.
- Consulting for other members of the University community.
- 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) from assistant professor.

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

#### B. Promotion to full professor from associate professor.

A successful candidate for promotion to full professor is expected to have become a leading researcher in his or her discipline; to have demonstrated excellence in teaching; and to have made contributions in service to the University, the community, and the profession at a level higher than that expected of candidates for promotion to associate professor.

The candidate is expected to satisfy the criteria in Section II. In addition, the candidate is expected to have a substantial body of high quality research indicating that the candidate is a leading researcher in the discipline. Supervision of publishable Master's theses or Ph.D. dissertations is considered to be a contribution to research.

### 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 Referees.

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 evaluators, exactly half of whom come from the candidate's list. All referees 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. Normally, the candidate's Ph.D. advisor should not be one of the reviewers. The School Director contacts the external evaluators 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 faculty 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 evaluators 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 faculty who are present at the meeting may vote. Faculty 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. Faculty and academic professionals 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 faculty and the reports of the external evaluators, the P&T Committee decides whether to recommend the candidate for promotion and/or tenure. The P&T Committee prepares for the appropriate faculty a summary statement providing the rationale for its decision; the summary statement shall include the outcome from the voting. Should there be strong disagreement among the members of the P&T Committee or the appropriate faculty, this statement can include majority and minority views. The P&T summary statement shall be made available to the appropriate faculty 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.

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. 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 faculty and the P&T Committee be kept confidential. In particular, the detailed comments of external evaluators 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. Promotion and Continuing Status for Academic Professionals

The procedures for promotion and continuing status decisions for academic professionals follow the latest version of the university promotion and continuing appointment policies.

The criteria used for evaluation of academic professionals are:

### A. Job Performance.

Does the candidate meet the responsibilities of the current position, and can he or she be expected to meet the responsibilities of the new position if promoted? A successful candidate for promotion to associate academic professional must have attained considerable expertise in the areas of responsibility, and must be able to function autonomously. A successful candidate for promotion to senior academic professional must exceed the criteria for associate academic professional, possess the appropriate terminal academic degree in the area of competence, and be considered an expert in the field.

### B. Professional Development and Contribution.

The candidate is expected to keep his or her skills current, through advanced training or other appropriate means.

### C. Service to the School, University and Community.

At the time of consideration for continuing status or promotion to associate academic professional, a candidate shall have developed an excellent record of service in the School of Mathematical and Statistical Sciences, the University, and the profession. Such service may include, but is not limited to:

- Participation in School, College and University committees.
- Participation in professional societies.

## VI. Criteria for Promotion of Lecturers

Eligibility for promotion to senior or principal lecturer is determined by the latest version of university policies. The School of Mathematical and Statistical Sciences expects that the required teaching experience has been full time. To be recommended

for promotion to senior lecturer, a lecturer shall normally have a doctorate in the mathematical sciences or closely related area, and at least five years of experience in teaching mathematics at the college level.

The candidate must be an outstanding teacher in First-Year Mathematics, as evidenced in student evaluations and written evaluations by faculty members, and shall have substantially contributed to other instructional activities and demonstrated leadership in the School's educational mission in First-Year Mathematics education. The candidate must also have a record of exemplary service in the School, College, or University, and in the overall First-Year Mathematics program or outreach. Service activities included in the evaluation are discussed in Section II.C.

## VII. Procedures for Promotion of Lecturers

### A. Application for promotion.

Requests for promotion to senior or principal lecturer should occur at the time of the normal contract review, 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.

### 2. Materials supplied by the candidate.

By the date specified in VII.A.3, a lecturer or senior lecturer desiring promotion to senior or principal lecturer shall supply the School Director with:

- Current, dated vitae including the following information:
  1. Academic training.
  2. Chronological list of employment.
  3. Courses taught and additional instructional activities.
  4. Honors, awards, and other special recognition of teaching excellence.

5. Service to the School, University and/or community, e.g. service on School or University committees.

- A list of three School members at or above the rank applied to willing to write letters of recommendation for the candidate. It is the candidate's responsibility to ask those School members to provide these letters of recommendation to the School Director by the same specified date.
- A self-assessment, including a personal statement describing the candidate's teaching philosophy, experience, and goals.
- Optional additional materials to support the case, including, but not limited to, written testimonials from former students, copies of lecture notes or other classroom materials, or evidence of attendance at conferences, workshops, etc., devoted to improvement of teaching.
- Any other document required by the latest version of the university policies for renewal of multi-year appointments and promotion of fixed-term faculty.

B. Discussion by Appropriate Faculty.

No later than three weeks before the College deadline for the submission of the candidate's materials, a faculty meeting will be called for all faculty at the rank of senior lecturer or above. 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 faculty present at the meeting may vote. Faculty 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 faculty 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.

C. 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. Should there be strong disagreement among the members of the P&T committee or the appropriate faculty, this statement can include majority and minority views. 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.

D. Notification of Recommendations and Final Decision.

The latest version of the university policies for renewal of multi-year appointments and promotion of fixed-term faculty applies.