

# Process Guide for Expedited Review

(tenure-eligible faculty)

Academic Affairs Manual (ACD) Policies governing expedited review: [ACD506-04](#) and [ACD506-05](#)

## **SECTION I: Expedited Review for Tenure-Eligible Faculty currently at ASU**

(see [Section II](#) below for information regarding Expedited Review of New Hires)

### **Preliminary Steps**

- The college dean submits a request to the executive vice president and provost of the university for an expedited review, including:
  - a. Reason(s) that support the review
  - b. Explanation why the tenure and/or promotion review should not proceed under the regular process identified by [ACD506-04](#), “Tenure,” and [ACD506-05](#), “Faculty Promotion.”
  - c. Copy of the faculty member’s current **Curriculum Vitae**.
  - d. Documentation establishing *extraordinary circumstances* (i.e. an offer letter from another employer, receipt of an extraordinary award or honor that is likely to generate offers of employment or bring distinction to the individual and institution, etc.)
- The executive vice president and provost of the university or designee will make every effort to approve or deny the request for an expedited review within 48 hours after receipt.
- The college dean or designee will notify the unit chair/director and the faculty immediately of the decision regarding the request. If a positive response, every effort will be made to conclude the expedited review within 21 calendar days following the initiation of the review or as soon as possible thereafter. A negative response generates no further action from this point.

### **Candidate Responsibilities**

- Candidate submits to unit chair/director a list of six names of people s/he recommends to serve as potential external reviewers. Three of the six names provided by the candidate must be at peer or aspirational peer institutions as defined by the unit chair/director, college, and/or university. Proposed reviewers must meet eligibility requirements as described in [ACD506-04](#).
- Candidate submits electronic copies (PDF) of the following to the unit:
  - a. A full and comprehensive **Curriculum Vitae** with page numbers and candidate’s name on each page.
  - b. A **Personal Statement** up to four pages in length, single spaced, 12 pt. font. 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 and submits the [Confirmation of Publications/Creative Materials Selections](#) by listing four publication titles or descriptions of creative activity reflecting his/her research, scholarship, and/or creative activities; please include page numbers as applicable.
    - ii. Candidate provides unit with electronic copies of publications/creative materials identified on the Confirmation of Publications/Creative Materials Selections. A portfolio documenting overall professional

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activity may be submitted as one piece of evidence in lieu of a publication or other material reflecting scholarly/creative and professional endeavors.

- iii. Candidate signs and submits Confirmation of Publications/Creative Materials Selections to the unit.
- d. **Evidence of excellence in teaching and mentoring.** Material in this category counts towards the page/size limit on supplemental materials. These materials are in addition to the summary of student evaluations provided by the unit. 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. Examples include—but are not limited to—peer evaluations, teaching or mentoring honors/awards, scholarship with a focus on pedagogy, participation in or facilitation of workshops on learning outcome assessment or other pedagogical topics, evidence of student success through a sequence of courses, list of student theses and dissertations mentored to completion, evidence of student career success related to the candidate's mentoring, or other evidence determined to be appropriate by the chair/director. Evidence should not include student comments on evaluations, course materials (syllabi, sample tests), or other subjective materials. Material in this category should be selected carefully as the quantity of material counts toward the page/size limit described in the Supplemental Materials section (e).
- e. *(Optional)* Candidate submits electronic (PDF) **Supplemental Materials** to unit. Supplemental materials may include a total of 50 pages not to exceed 10MB of additional electronic material highlighting excellence in position effectiveness, teaching, research, and/or service. (Note that the materials in item (d) are counted within this page/size limit.) Candidate completes, signs, and submits the [Confirmation of Optional Supplemental Materials](#) sheet to the unit.

**Note: Bullet 2.c. under Unit Responsibilities indicates the materials that are sent to external reviewers.**

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## Unit Responsibilities

- Upon notification of approval for expedited review, unit completes the following actions in preparation for external review:
  - a. Unit chair/director develops a list of 6 names of people s/he recommends to serve as potential external reviewers. Three of the 6 names provided by the candidate must be at peer or aspirational peer institutions as defined by the unit chair/director, college, and/or university. Proposed reviewers must meet eligibility requirements as described in [ACD506-04](#).
  - b. Unit chair/director meets with dean to go over the list of 12 names (candidates list plus unit chair/director list). From the 12 names, the 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 6 available reviewers, equally divided between the candidate and unit chair/director lists, who can provide written reviews within approximately 10 calendar days following the request. At least 3 reviewers must be from peer/aspirational peer institutions. The review letters may be submitted electronically or by facsimile.
    - 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 request to each potential reviewer may include the candidate's name as long as the request to each reviewer is essentially the same with no comment or discussion about 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.

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- d. Unit chair/director completes the [External Reviewers Grid](#) identifying reviewers who are available and will receive a formal invitation to participate in the review.
  - e. Unit chair/director submits External Reviewers Grid to dean for signature.
- Unit formally invites and sends review materials to the external reviewers identified on the dean approved 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](#), with the exception of the number of reviewers and abbreviated response time.
  - 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. The portfolio documenting overall professional activity may be submitted as one piece of evidence.
    - iv. A current copy of the approved academic unit tenure/promotion criteria.
  - d. Unit coordinate receipt of the external letters and sends reminders for requested letters.
  - e. Units are encouraged to acknowledge receipt of external letters.
  - f. 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 to which the letter was attached.
  - g. Unit chair/director should note status of missing letters on the External Reviews Grid by providing context/clarification as to why reviewers declined or were unable to review the case (as applicable).
- Unit compiles and completes the [Summary of Student Evaluation of Instruction](#) and may include any other data **directly related** to course evaluations. Student comments should not be included. Units are strongly encouraged to review completed 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.
- **NEW!** If external funding is expected for candidates in the candidate's academic unit, then the unit obtains a Table of Sponsored Accounts from dean's office prior to initial internal review. (See instructional information in **Important Reminders** section.)
- Unit submits electronic candidate file to unit personnel committee. File includes:
  - a. Materials submitted by candidate as outlined in Step 5.
  - b. 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
  - d. [External Reviewers Grid](#), a copy of one official invitation letter, external reviewer letters received, and reviewers' curriculum vitae.
  - e. Unit criteria.
- Unit adds signed internal letters to the electronic case file from the following levels of review:

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

  - a. Unit Personnel Committee, signed by all members of the committee.

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- 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.
- Unit submits complete file to unit chair/director for review and recommendation. Signed unit chair/director letter is added to the electronic case file.  
*Reminder: All internal letters should refer to external reviewers by the number assigned to them on the External Reviewers Grid; no names of individuals or institutions should be referenced in any internal letter.*
- Unit completes Academic Personnel Action (APA) form with all appropriate signatures and adds to electronic case file.
- Unit submits electronic **PDF Portfolio** of the case to college for review and recommendation. For information about creating a **PDF portfolio**, please see [Create a PDF Portfolio](#).
  - a. The **PDF Portfolio** shall include sections titled and ordered as follows:
    - i. **1\_APA form**
    - ii. **2\_Curriculum Vitae**
    - iii. **3\_Personal Statement**
    - iv. **4\_Unit and College Criteria**
    - v. **5\_Internal Letters** (unit chair/director followed by personnel committee)
    - vi. **6\_External Letters** (External Reviewers Grid, sample of external reviewer request letter, followed by external letters as ordered on the External Reviewers Grid.)
    - vii. **7\_Teaching Evaluation** (Summary of Student Evaluation of Instruction and other Evidence of Excellence in Teaching and Mentoring, as applicable)
    - viii. **8\_Table of Sponsored Accounts** (If external funding is expected of candidates in the candidate's academic unit)
    - ix. **9\_Publications/Creative Material** (Confirmation of Publications/Creative Materials Selections followed by publications/creative materials in order they appear on the Confirmation of Publications/Creative Materials Selections sheet)
    - x. **10\_External Reviewers Vitae** (as ordered on the External Reviewers Grid)
    - xi. **11\_(Optional) Supplemental Materials** (Confirmation of Optional Supplemental Materials followed by supplemental materials)
  - b. **PDF Portfolio** should be saved and titled using the following naming convention:  
College–Unit–LastNameFirstName–ActionAcademicYear  
(e.g. CLAS-PSY-SmithJane-ExpeditedReview2012-13)
  - c. Unit should reduce PDF before submitting to the college/university libraries.
  - d. **PDF Portfolio** should be uploaded to a secure site as directed by each college.
  - e. No hard copy file is required.

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## College Responsibilities

- At the dean's discretion, the college submits **PDF Portfolio** to college personnel committee, or a subset thereof. File includes:
  - a. Materials submitted to and by the unit as outlined in Steps 9-12.

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- b. College criteria added to unit and college/university libraries criteria section.
- If the dean requested the use of the college personnel committee, the college adds the internal letter from the college personnel committee signed by all members of the committee to the beginning of the Internal Letters section of the **PDF Portfolio**.  
*Reminder: All internal letters should refer to external reviewers by the number assigned to them on the External Reviewers Grid; no names of individuals or institutions can be referenced in any internal letter.*
- College submits **PDF Portfolio** to college dean for review and recommendation. Signed college dean's letter is added to **PDF Portfolio** at the beginning of the Internal Letters section.  
*Reminder: All internal letters should refer to external reviewers by the number assigned to them on the External Reviewers Grid; no names of individuals or institutions can be referenced in any internal letter.*
- College updates the Academic Personnel Action (APA) form with all appropriate signatures and adds to the **PDF Portfolio** replacing the previous APA form.
- College submits electronic **PDF Portfolio** of each case to the university for review and recommendation. For information about creating a **PDF portfolio**, please see [Create a PDF Portfolio](#).
  - a. The **PDF Portfolio** shall include sections titled and ordered as follows:
    - b. **1\_APA form**
    - c. **2\_Curriculum Vitae**
    - d. **3\_Personal Statement**
    - e. **4\_Unit and College Criteria**
    - f. **5\_Internal Letters** (dean followed by college personnel committee if solicited by dean, unit chair/director, and unit personnel committee)
    - g. **6\_External Letters** (as ordered on the External Reviewers Grid, a copy of one official invitation letter, external letters.)
    - h. **7\_Teaching Evaluation** (Summary of Student Evaluation of Instruction and other evidence of effective teaching, as applicable)
    - i. **8\_Table of Sponsored Accounts** (If external funding is expected of candidates in the candidate's academic unit)
    - j. **9\_Publications/Creative Material** (Confirmation of Publications/Creative Materials Selections followed by publications/creative materials in order they appear on the Confirmation of Publications/Creative Materials Selections sheet)
    - k. **10\_External Reviewers Vitae** (as ordered on the External Reviewers Grid)
    - l. **11\_(Optional) Supplemental Materials** (Confirmation of Optional Supplemental Materials followed by supplemental materials)
  - m. **PDF Portfolio** should be saved and titled using the following naming convention:  
College–Unit–LastNameFirstName–ActionAcademicYear  
(e.g. CLAS-PSY-SmithJane-ExpeditedReview2012-13)
  - n. Unit should reduce **PDF Portfolio** before submitting to the university.
  - o. **PDF Portfolio** should be uploaded to secure college-specific file on Provost's share drive as directed by the university.
  - p. No hard copy file is required.

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## **SECTION II: Expedited Review for New Hires**

The expedited review process is also used to make the scholarly review of faculty hired with tenure consistent with the scholarly review of faculty coming through the ranks at ASU.

### **Candidates at Peer/Aspirational Peer Institutions**

For candidates employed at a peer or aspirational peer institutions who currently hold the rank at which they are being hired (e.g., hired as associate professor, currently associate professor; hired as professor, currently professor), University Provost and President will review:

1. Candidate's Curriculum Vitae
2. Reference letters, or notes from reference calls
3. Unit chair/director's and dean's letters of support for hire with tenure

The President may make a decision following this review or may call for additional information as needed. Questions regarding determination of peers and aspirational peers should be referred to Vice Provost for Academic Personnel in the Office of the University Provost.

### **Candidates at Non-Peer Institutions**

For candidates employed with tenure at an institution that is not an official peer/aspirational peer for ASU, and who would be hired in the same rank that they now hold, a subcommittee of University Promotion and Tenure Committee, University Provost, and President will review the following:

1. Candidate's Curriculum Vitae
2. Reference letters, or notes from reference calls
3. Unit chair/director's and dean's letters of support for hire with tenure

The President may make a decision following this review or may call for additional information as needed. Questions regarding determination of peers and aspirational peers should be referred to Vice Provost for Academic Personnel in the Office of the University Provost.

### **Candidates seeking tenure/promotion with hire**

For candidates who are not tenured at their current institution or who are requesting promotion to a higher rank, an expedited Promotion and Tenure review will be required, including faculty and administrative review(s) at all levels. To accommodate the need for prompt decision making, (a) the college personnel committee review may be bypassed so long as there is faculty review at the department and university level; and (b) the university faculty review may be conducted by a sub-committee of the University Promotion and Tenure Committee. Consistent with the regular promotion and tenure process, this review shall include independent evaluations from external reviewers solicited by the department chair/dean. After review and recommendation by the University Provost, the President will make the decision on hire, rank, and tenure.

It is permissible to make an offer of a tenured position contingent on the successful result of an expedited promotion and tenure review process. The following template should be followed in such letters: "We are pleased to offer you an appointment as Associate Professor/Professor in the Department/School of \_\_\_\_\_. Your appointment is for a full-time position and is categorized as tenured, contingent on the successful result of an expedited tenure review process. If the expedited tenure process is not successful, under current policy you will be eligible for consideration for tenure no later than your fourth year of employment (academic year \_\_\_\_)."

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## IMPORTANT REMINDERS

### Table of Sponsored Accounts

- **NEW!** A Table of Sponsored Accounts shall be included in the case file for all expedited reviews for tenure-eligible faculty currently at ASU 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 Table of Sponsored Accounts taken from the ASU Faculty Dashboard. Table should reflect activity from calendar year 2000 or time of hire. (See example below.)

**Sponsored Accounts by Calendar Year** 

Year	Proposals	Awards	Expenditures	FA Income
2000	\$464,000.00	\$119,121.00	\$98,681.55	\$19,000.74
2001	\$195,775.92	\$179,178.00	\$158,595.37	\$21,197.72
2002	\$255,783.00	\$115,000.00	\$127,826.19	\$18,945.33
2003	\$537,000.00	\$115,001.00	\$116,331.12	\$22,091.65
2004	\$72,844.00	\$120,344.00	\$112,868.86	\$22,317.17
2005	\$59,359.00	\$125,485.00	\$141,536.84	\$28,009.11
2006	\$437,072.00	\$151,287.00	\$141,614.92	\$27,407.72
2007	\$14,887.00	\$96,476.00	\$94,875.21	\$18,211.40
2008	\$60,961.00	\$89,286.00	\$113,080.19	\$21,451.78
2009	\$477,820.13	\$175,473.00	\$176,051.56	\$15,465.45
2010	\$16,256.00	\$97,192.00	\$86,713.37	\$14,254.67
2011	\$0.00	\$85,000.00	\$73,516.52	\$13,546.73
2012	\$377,501.00	\$85,000.00	\$71,536.03	\$13,257.78
2013	\$0.00	\$0.00	\$19,256.16	\$3,542.82