

ACADEMIC AFFAIRS POLICIES AND PROCEDURES MANUAL



**College of Integrative Sciences and Arts
and
University College**

Revised: 1/8/2019

Assistant Professors without tenure hired prior to 8/16/2019 may use the criteria in either document titled The College of Integrative Sciences and Arts Academic Affairs Policies and Procedures manual approved on 01/08/2019 when going up for promotion with tenure. See below for recommended criteria.

Associate Professors going up for promotion to full will utilize the most recent criteria in The College of Integrative Sciences and Arts Academic Affairs Policies and Procedures manual approved on 01/08/2019.

Fixed-Term faculty going up for promotion will use the most recent criteria in The College of Integrative Sciences and Arts Academic Affairs Policies and Procedures manual approved on 01/08/2019. The criteria did not change from the previous document to the current approved document.

Tenure-Track Faculty in Year 1 or 2 (hired 8/16/18 or 8/16/19) will use new criteria

Tenure-Track Faculty in Year 3 or 4 (hired 8/16/16 or 8/16/17) will chose the criteria they want to use

Tenure-Track Faculty in Year 5 or 6 (hired 8/16/14 or 8/16/15) will use the previous criteria

000 INTRODUCTORY MATERIAL

The College of Integrative Sciences and Arts and University College (hereafter referred to as “the College” or “the Colleges”) Academic Affairs Policies and Procedures Manual provides information for the Colleges’ **faculty** and **academic professionals** and their **administrators** on academic organizations, governance and personnel. This information applies directly to faculty, faculty with administrative **appointments**, academic professionals and academic professionals with administrative appointments.

This manual is intended to be consistent with the **Academic Affairs Policies and Procedures Manual (ACD)** and the Board of Regents’ **Conditions of Faculty Service** and **Conditions of Service for Academic Professionals**, the policies under which faculty and academic professionals at the College are employed.

Whenever federal or state law, the Board of Regents, or the president of ASU makes revisions in policy, the Office of the Dean of the College of Integrative Sciences and Arts and University College will issue revisions to this manual.

Corrections, changes or suggestions should be communicated to the assistant to the dean.

In the event of an inconsistency or conflict, applicable law and Board of Regents’ policies supersede university policies, and university policies supersede College or lower-unit bylaws, policies, or guidelines.

The Colleges reserve the right to add, amend, or revoke any of the contained **rules**, policies, regulations and instructions or incorporate additional ones, with notice, as circumstances or the good of the College community may require.

100 BYLAWS INTRODUCTION

Revised: 1/8/2019

PREAMBLE

These bylaws outline the structural framework and operational policies and procedures of the College of Integrative Sciences and Arts and University College at Arizona State University. These rules apply to all faculties and operations of the College of Integrative Sciences and Arts and University College.

ARTICLE I. Mission Statement and Objectives

Section 1. Mission Statement

The College of Integrative Sciences and Arts and University College provide students across ASU with the knowledge and skills to comprehend and effectively engage the changing world of the 21st century at local, national and global levels.

Section 2. Objectives

(i) To offer a variety of undergraduate and graduate degree programs as well as minors and certificates that are innovative and rigorous; (ii) to provide general education course offerings for students at Arizona State University; (iii) to support knowledge enterprise development by advancing research, clinical and creative activities that promote discovery, innovation and human

understanding; (iv) to form strategic partnerships within Arizona State University, with community organizations, and with national associations to create sustainable and substantive academic programs.

ARTICLE II. Membership

Section 1. Definitions of Faculty and College Assembly

According to the Academic Affairs Policies and Procedures Manual, [ACD 505-02](#), faculty include all employees of the Arizona Board of Regents in teaching, research or service whose Notice of Appointment is as lecturer, senior lecturer, principal lecturer, instructor, assistant professor, associate professor, professor, assistant clinical professor, associate clinical professor, clinical professor, professor of practice, research faculty or persons who are otherwise designated as faculty on the Notice of Appointment. Graduate students who serve as assistants, associates or otherwise are academic appointees, as well as graduate students, but are not members of the faculty. The Colleges' assembly is composed of all faculty so designated on the Notice of Appointment as defined in [ACD 505-02](#) and [ACD 112-01: Academic Constitution and Bylaws](#).

Section 2. Definition of Voting Members

The Colleges' voting faculty includes all those who constitute the Colleges' assembly (lecturer, senior lecturer, principal lecturer, instructor, assistant professor, associate professor, professor, clinical faculty, professor of practice, research faculty or persons who are otherwise designated as faculty on the Notice of Appointment) and academic professionals with multiyear, probationary continuing or fixed appointments, as defined in [ACD 112-01](#).

ARTICLE III. Colleges' Structure and Administration

Section 1. Colleges' Structure

The Colleges are led by a dean and consist of several academic areas called Faculties. Each Faculty is led by a faculty head and consists of all persons on a teaching, administrative or research appointment within the area. Each Faculty shall establish internal committees, policies or procedures through which the Faculty may function within the range of its authority and responsibility. No faculty-level policies or procedures may conflict with those of the Colleges, Arizona State University or the Arizona Board of Regents.

Section 2. Officers

A. Dean of the Colleges

The Dean of the Colleges is responsible for the efficient execution of university policies and for the overall leadership and management of the Colleges, in consultation with the faculty and staff through discussion and other participatory procedures. General responsibilities of the Dean of the Colleges are outlined in the Academic Affairs Policies and Procedures Manual, [ACD 102](#). The executive vice president and provost of the university will evaluate the Dean of the Colleges. Faculty members evaluate the performance of the Dean of the Colleges, including instructional effectiveness, and share these results with the executive vice president and provost of the university, as outlined in the Academic Affairs Policies and Procedures Manual, [ACD 111-03](#).

B. Faculty Head

The Dean of the Colleges, in consultation with the respective Faculty, appoints each faculty head. The faculty head is responsible for the overall leadership of the Faculty and shares leadership and decision-making responsibilities with faculty and staff through discussion and other participatory procedures. The faculty head will be evaluated by the Dean of the Colleges who will seek feedback from the unit faculty, including the appropriate faculty-level committee charged with evaluating instruction.

C. University Senators

The number of the Colleges' university senators is determined by the rules of the constitution of the university senate, which is empowered by the Academic Affairs Policies and Procedures Manual, [ACD 112-01](#). The College's university senators shall be elected from among the current College-voting faculty. Each senator's primary duties will be to attend university senate meetings, represent the Colleges to the senate and report back to the Colleges' faculty on issues of importance. University senators should be elected by May 1 for a term beginning the next academic year.

D. Leadership of the College Assembly

1. The College Assembly Council (CAC) will consist of the university senators, a secretary and parliamentarian. The CAC will serve as the executive board of the College of Integrative Sciences and Arts/University College Assembly.
 - a. The CAC shall have general supervision of the affairs of the College of Integrative Sciences and Arts/University College Assembly between its business meetings, fix the hour and place of meetings, make recommendations to the College of Integrative Sciences and Arts/University College Assembly, propose amendments to bylaws, initiate and stimulate the study of matters of concern to the colleges and university and perform such other duties as necessary which are specified in the bylaws. The CAC shall be subject to the orders of the College of Integrative Sciences and Arts/University College Assembly, and none of its acts shall conflict with action taken by the Assembly.
 - b. The CAC shall meet at least once a semester and schedule special meetings as needed. All meetings shall provide for teleconference participation of members not able to be physically present. Half the membership shall constitute a quorum. The CAC shall keep minutes of its meetings and make such minutes available to the College of Integrative Sciences and Arts/University College Assembly within two weeks.
2. The College of Integrative Sciences and Arts/University College Assembly shall elect one senator to serve as a new president-elect of the CAC and the College of Integrative Sciences and Arts/University College Assembly by May 15 each spring semester. The president-elect will take office June 1 of the following year.
 - a. In the event that the office of president is vacated, the president-elect shall become president, and a new president-elect shall be elected.
 - b. The president or his or her designee (president-elect) shall convene meetings of the CAC and shall preside over the section of meetings of the College of

Integrative Sciences and Arts/University College Assembly related to faculty business.

3. The secretary of the CAC shall be the secretary of the College of Integrative Sciences and Arts/University College Assembly. The secretary shall be responsible for notifying members of all meetings of the CAC and the College of Integrative Sciences and Arts/ University College Assembly and shall keep records of all College of Integrative Sciences and Arts/University College Assembly business, including assembly meeting attendance of faculty and assist in conducting the annual elections. The secretary shall be chosen from among the members by the CAC for a term of one year and shall be a member of the College of Integrative Sciences and Arts/University College Assembly.
4. The parliamentarian shall be chosen from among the members by the CAC for a term of one year and shall be a member of the College of Integrative Sciences and Arts/University College Assembly.

E. Other Officers

The Dean of the Colleges may appoint other officers as needed.

ARTICLE IV. Faculty Responsibilities

The Colleges encourage their faculty members to achieve a healthy balance in their commitments to academic activities, which can include teaching, service and research/creative activity appropriate to rank and job title. Such activities are viewed as integral and necessary parts of the university's mission and purpose. All members of the Colleges share in the responsibility for their success. The faculty is responsible for the quality of the instructional programs and for making curricular decisions within the context of university initiatives. General responsibilities of the faculty are outlined in Arizona Board of Regents Policy 6-201, *Conditions of Faculty Service*.

All Colleges' faculty members are expected to contribute to the well-being of the College community by working to achieve both individual goals and Colleges'/faculty goals. It is the responsibility of the faculty heads to ensure that workloads are appropriately negotiated with faculty and allocated.

The faculty will be responsible for conducting substantive reviews of the performance of their peers on an annual basis. The reviews will be in keeping with the goals and objectives of the Colleges and according to the framework and criteria described in the College-wide Guidelines for Annual Review. Annual reviews will be used as input on contract renewal decisions. Each Faculty within the Colleges will decide how to review its non-faculty academic appointees (e.g., faculty associates, teaching assistants, or associates, course managers and course coordinators).

ARTICLE V. Meetings and Elections

Section 1. Quorum

A quorum of the Colleges' assembly membership is required to conduct the Colleges' business. A quorum is defined as a majority of the voting membership of the Colleges' assembly in residence (i.e., not on leave) during the semester. Voting faculty members who are on approved leaves of absence or sabbatical leave do not count towards making a quorum but may vote on matters if they are present for the meeting(s) in which such matters are discussed.

Section 2. Meetings of the Colleges' Assembly

The Dean of the Colleges addresses the Colleges' assembly during at least two regular meetings, preferably one each semester, per academic year. Other meetings can be called as needed by the Dean of the Colleges or the assembly leadership. Any member of the Colleges' assembly may submit items to the assembly leadership for placement on the agenda. Except in an emergency, the assembly leadership will announce meetings at least one week in advance and ideally distribute a preliminary agenda at least 72 hours in advance. Notification by electronic mail will satisfy these requirements. The assembly leadership must place an item on the agenda or call a special meeting to discuss a particular item if requested in writing by at least 10 members of the Colleges' assembly. Nonmembers of the Colleges' assembly can be invited to meetings by the assembly leadership.

Upon request, meetings will be conducted according to the latest edition of Robert's Rules of Order. If there are procedural disagreements, the Colleges' parliamentarian will settle the dispute.

The secretary shall take minutes of each meeting and distribute them to the assembly. Corrections and additions should be submitted before or at the next Colleges' meeting where attendees will approve the minutes. The office of the Dean of the College is responsible for seeing that one copy of the minutes is stored for safekeeping while at least one other copy is kept elsewhere for reference. The minutes shall include a list of members in attendance and not in attendance, the names of those making motions and amendments and a summary of all actions taken.

Section 3. Nominations

Nominations for positions elected by the Colleges' assembly, including self-nominations, will be taken from the voting membership of the Colleges' assembly. Each nominee who accepts nomination shall give a brief statement of his or her qualifications and desire for the position.

Section 4. Voting and Election Procedures

Unless otherwise stated in this document or other documents referenced herein, matters put to a vote are typically decided by a simple majority of the votes cast. Depending on the matter at hand, voting may be by voice vote, hand vote or electronic or written ballot. A written ballot will be used for a particular issue if requested by any voting member. If a written ballot is used, the results will be counted by two tellers appointed by the assembly president and the ballots will be destroyed after the results are announced. Proxy votes will not be allowed.

For university senators and other College-wide elections, the Colleges shall use plurality voting. Each member of the Colleges' voting faculty will be asked to vote for his or her preferred candidate(s) depending on the number of seats to be filled. The candidate with the highest number of votes would be elected. If there are multiple seats to be filled, the candidate(s) with the next highest number of votes would be elected.

ARTICLE VI. Committees

Section 1. Standing Committees

A. Colleges' Personnel Committee for Nontenure-Eligible Faculty

The Colleges' Personnel Committee for Nontenure-Eligible Faculty makes recommendations concerning promotion and (if necessary) contract renewal (see [P21a, Process Guide for Renewal of Multi-Year Faculty Appointments](#)). The committee will consist of one member elected by each Faculty area with contract faculty. If the Dean of the Colleges determines

that members-at-large should be added to the committee, he or she may appoint members-at-large or request that one be elected by the Colleges' assembly. Senior Lecturers, Principal Lecturers and Clinical faculty are eligible for service to the committee. Committee members may only vote on promotions to their rank or to a lower rank. Faculty heads may not serve on this committee. Committee members shall hold three-year staggered terms. When a vacancy occurs, the Colleges' faculty will elect a replacement to serve out the term of that seat on the committee. Each year, the committee members shall elect the chair of the committee. The selection of the committee and its chair shall take place by May 1 of each year. When appropriate, the committee will serve as an appeals committee for annual review.

B. Colleges' Personnel Committee for Tenured/Tenure-Track Faculty

The Colleges' Personnel Committee for Tenured/Tenure-Track Faculty makes recommendations concerning promotion, tenure, post-tenure review and sabbatical leaves. The committee should consist of one tenured member elected by each Faculty area with tenured faculty. When possible, the members of this committee should be tenured faculty at or above the rank to which applicants are aspiring. If the Dean of the Colleges determines that members-at-large should be added to the committee, he or she may appoint members-at-large or request that one or more be elected by the Colleges' assembly. Faculty heads may not serve on this committee.

Committee members shall hold three-year staggered terms. When a vacancy occurs, the Colleges' faculty will elect a replacement to serve out the term of that seat on the committee. Each year, the committee members shall elect the chair of the committee. The selection of the committee and its chair shall take place by May 1 of each year. When appropriate, the committee will serve as an appeals committee for annual review.

C. Standards Committee

The function of the Standards Committee is to review petitions from students in any program in the Colleges and make a recommendation to the University Standards Committee. The goal of the committee is to help ensure that students are treated fairly and that they have every reasonable opportunity to earn their degrees in a timely fashion. The committee shall consist of at least six members. Committee members shall hold two-year staggered terms. Eligible members for the Standards Committee include academic success specialists and other advising staff and contract or tenured/tenure-track faculty from all campuses where the Colleges offer academic programs. When a vacancy occurs, the Dean of the Colleges will appoint a replacement to serve out the term of that seat on the committee. The selection of the committee and its chair shall take place by May 1 of each year.

The committee should meet monthly, and each meeting should occur at least two weeks before the monthly meeting of the University Standards Committee because petitions regarding any university standard will need to be forwarded with the Colleges' recommendation to the University Standards Committee. In emergency situations (e.g., if the decision will determine whether a student may register for classes in a term that begins that week), the Standards Committee may conduct its business electronically.

D. Colleges' Curriculum Committee

The function of the Curriculum Committee is to help individuals develop curriculum proposals that advance the mission of the Colleges. The committee will review proposals for new courses and proposals for new degrees, including new majors, minors, concentrations and certificates and make recommendations to the Dean of the Colleges.

The committee should consist of at least eight members. The committee shall include one person from the Maricopa County Community College District (MCCCD) and one representative of each of the faculties in the Colleges. Each Faculty within the Colleges shall elect committee members for two-year staggered terms by May 1 for the subsequent academic year. When a vacancy occurs, the Dean of the Colleges will appoint a replacement to serve out the term of that seat on the committee. At the first meeting of the academic year, the members of the committee shall elect a chair.

The Faculties within the Colleges do not need to have their own curriculum committees; however, faculty members within a Faculty could meet to discuss curriculum proposals developed in that faculty. For example, the faculty members who teach history may wish to discuss a revision to the history major.

The head of each Faculty will be responsible for submitting curriculum proposals to the Curriculum Committee. Committee members should review proposals within one month of receiving them, sooner if possible. Proposal reviews may be conducted electronically or in person, depending on the situation. Once the committee has finished a review, the chair should forward the recommendations to the Dean of the Colleges and notify the faculty head that originally submitted the proposal.

E. Colleges' Awards Committee

The Colleges' Awards Committee oversees the creation and evaluation processes for bestowing awards on the Colleges' faculty, staff and/or students in areas such as teaching, research, service, etc. The committee shall consist of at least 5 members. Eligible members include full-time faculty and staff in the Colleges; College of Integrative Sciences and Arts students may also serve as designated by the Dean. Committee members shall hold three-year staggered terms. Each year, the committee members shall elect the chair of the committee. The selection of the committee and its chair shall take place by May 1 of each year.

F. Colleges' Grade Appeal and Academic Integrity Committee

Students enrolled in a College of Integrative Sciences and Arts or University College course who believe that they have been unfairly or improperly graded may follow the Primary Procedures outlined in [Section 600 Student Academic Grievance Procedures](#) in this document. If the Dean of the Colleges recommends a hearing of a student academic grievance, the grievance will be referred to the Colleges' Grade Appeal and Academic Integrity Committee. The Committee will be a standing committee of faculty and appointed student representatives. For each appeal, 3 committee members will be selected to hear the case and will follow the Secondary Procedures outlined in [Section 602](#) of this document to make a recommendation to the dean. For grade appeals, 3 faculty committee members will hear the case. For cases involving academic integrity, 2 faculty committee members and 1 student committee member will hear the case.

The committee will consist of one member elected by each Faculty area in the College of Integrative Sciences and Arts and University College as well as 3 student representatives appointed by the faculty head and approved by the dean. The student representatives must be College of Integrative Sciences and Arts students. Faculty committee members shall hold 2-year staggered terms, and student committee members shall hold a 1-year term. The selection of the committee shall take place by May 1 of each year.

G. Colleges' Accessibility Committee

The Colleges' Accessibility Committee collaborates with the **Disability Resource Center** and other campus agencies to guide college activities related to ensuring accessible and inclusive learning and teaching environments. The committee makes recommendations to the colleges to align course activities, materials and assignments as well as instructional methods with national laws, regulations and recommended practices related to disability, accessibility and ADA compliance. The committee will consist of members elected from each unit in the College of Integrative Sciences and Arts and University College. Committee members shall hold two-year staggered terms. Eligible members for the Accessibility Committee include contract or tenured/tenure-track faculty and staff from the colleges. Each year, the committee members shall elect the chair of the committee. The selection of the committee and its chair shall take place by May 1 of each year.

Section 2. Other Committees

The Dean of the Colleges is authorized to appoint other committees as needed by the Colleges. The Dean of the Colleges will attempt to include representation on such committees from each group affected by the committee's work. The Dean of the Colleges may appoint a committee chair or ask that the members elect a chair. Each committee chair is responsible for calling meetings and may be required to submit a report for the committee on request of the Dean of the Colleges.

Assistant Professors without tenure hired prior to 8/16/2019 may use the criteria in either document titled The College of Integrative Sciences and Arts Academic Affairs Policies and Procedures manual approved on 01/08/2019 when going up for promotion with tenure. See below for recommended criteria.

Associate Professors going up for promotion to full will utilize the most recent criteria in The College of Integrative Sciences and Arts Academic Affairs Policies and Procedures manual approved on 01/08/2019.

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ARTICLE VII. Amendments

These bylaws may be altered, amended or repealed by a two-thirds majority of votes cast by a quorum of the eligible voting faculty. Any member of the Colleges' assembly may propose an amendment as a motion during a meeting of the Colleges' assembly. A motion for an amendment shall be considered at one meeting, discussed at a follow-up meeting and then voted on through voting procedures.

ARTICLE VIII. Parliamentary Authority

These bylaws provide the organization by which and through which the Colleges may function within the range of its authority and responsibility, as prescribed by state law, Arizona Board of Regents policies and Arizona State University's Academic Affairs Policies and Procedures (**ACD policies**). If any policy or procedure in these bylaws should be found to conflict with policies or procedures of Arizona State University or the Arizona Board of Regents, the policies and procedures of the latter two bodies shall take precedence.

200 PERSONNEL POLICIES FOR TENURED/TENURE-TRACK FACULTY

Revised: 1/8/2019

The purpose of promotion and tenure reviews in the Colleges is to assure and reward excellence in research and creative activity, teaching and service. Probationary reviews are conducted to provide tenure-track faculty with timely evaluation of their development and their ability to meet promotion and tenure criteria. For further details on tenure and promotion and file content requirements, see **ACD 506-04 Faculty Personnel Actions: Tenure** and **P5, Process Guide for Promotion and/or Tenure**. The date when promotion files are due in the Office of the Executive Vice President and Provost of the University is specified annually in the **schedule of personnel actions** released by the Office of the Executive Vice President and Provost.

201: Promotion from Assistant to Associate Professor

Promotion to associate professor requires an overall record of excellence and the promise of continued excellence. The candidate must have achieved excellence in teaching and instructional activities as well as in research, scholarship and/or creative activities. Service must at least be "satisfactory" or "effective."

201-01: Research and Creative Activity

For promotion to the rank of Associate Professor with tenure, the Colleges require that candidates present evidence of a continuing program of scholarly research and/or creativity that is focused and sustained, has progressed beyond the candidate's doctoral dissertation and indicates the candidate's potential for achieving national or international recognition. By the end of the candidate's probationary period, this program must have resulted in a significant number of refereed publications of high quality.

Research or creative productivity is indispensable for candidates for promotion and tenure. Particular emphasis is placed on the quality of publications, as judged by specialists in the relevant field (the external referees) and by the candidate's Peer Review Committee. As the Colleges are interdisciplinary units, the most appropriate and most highly valued types of scholarly production will be different for faculty in differing fields. In general, however, publications carrying the most weight include scholarly and creative books, monographs, articles in appropriate refereed journals or other works, edited volumes in all media (e.g.,

electronic books and journals), critical editions of texts, critical translations, and/or special issues of refereed journals, innovative textbooks, anthologized works and technical reports. Where applicable, computer programs, CD-Rom texts, hypertexts, databases and technological innovations with scholarly, creative or pedagogical applications will also be considered evidence of appropriate faculty activity in this evaluative category.

Other publications, such as book reviews, encyclopedia entries, or conference proceedings may carry less weight. While quality is stressed over quantity, a candidate for promotion to Associate Professor will have produced a sufficient number of high-quality publications as is appropriate to the discipline. The faculty member should clearly demonstrate a steady and productive research output as well as evidence of an ongoing research agenda. Each unit should come up with research promotion criteria relevant to its discipline.

Because the period of time between the acceptance of a manuscript and its publication is often lengthy, works in press, with appropriate documentation, may be considered evidence of scholarly productivity. Candidates for promotion will normally have presented papers at professional conferences or have given public readings, but conference participation and reading do not take the place of publication.

The quality of research and creative activities are measured by indicators such as the scholarly standards reflected in the work; its impact on intended audiences; the importance, innovativeness and relevance of the work as suggested by external peer reviewers or other appropriate authorities; the quality of the journals, publishers, conferences or other communicative outlets; citations of the work; its longevity of influence; and other similar indicators appropriate to the discipline and academic unit. The scholarly aspects of all professional responsibilities undertaken on behalf of the academic unit, including instructional activities and service, may be assessed within this category if provided for in academic unit policy.

It is also expected that the candidate will have actively engaged in seeking external support from major organizations and agencies. The faculty recognize that appropriate levels of external funding support vary widely across disciplines, and it is expected that successful candidates will meet or exceed funding expectations for their specific area of research or creative activity.

201-02: Teaching and Instruction

High-quality teaching is essential to gaining tenure, and evidence of the quality of teaching and instruction must be assessed through multiple indicators. Review of instructional materials should consider relevant factors such as student learning, the appropriateness of course content, curriculum development, program development, the currency of taught courses, the creation of new courses, technological and pedagogical innovations, workshops conducted for teachers and graduate students and the contributions of courses to the unit's curriculum, pedagogy and scholarship of instruction. Other possible indicators might include peer or supervisory evaluation of teaching performance and materials and participation in teaching workshops. Additionally, teaching awards and honors are strong positive indicators. Mentoring of students at all levels, whether through independent studies, direction or service on honors theses, and graduate student committees, conducting workshops or other opportunities for enhanced teacher-student interaction, are highly valued in the evaluation process. The candidate for promotion and tenure will normally have shown ability in the area of curriculum development, for example, by developing and offering new courses, seminars or workshops or by redesigning existing courses. Excellence in teaching is an important

component for tenure and promotion considerations. Unsatisfactory teaching would provide grounds for a negative recommendation for tenure and promotion; however, pedagogical achievement cannot compensate for insufficient scholarly or creative productivity.

201-03: Service

For promotion to the rank of associate professor and for the achievement of tenure, the Colleges expect that the candidate will have served the university and the profession in a substantive fashion, commensurate with junior standing. The Colleges expect active involvement in the life and work of the unit, but they also value the importance of more general university service, service to the profession and community service that extends the faculty member's teaching and research activity to constituencies outside the university.

The quality of service to the academic profession are assessed in terms of the significance of the recognition brought to the individual and the university, the impact on the field and the extent to which the service promotes the national distinction of the academic unit in the profession. Service to the university includes assessment of contributions to: faculty governance; the work of the academic unit, Colleges and university; and collegial working environments. The evaluation of public/community service is based on the quality and relevance to the academic unit's mission as well as the value of that service from the perspective of the community organization or partner.

202: Promotion from Associate Professor to Professor

Promotion from associate professor to professor is not associated with a particular time span. An associate professor is never required to apply for promotion. Promotion to the rank of full professor requires a demonstration of maturity and distinction in one's field of study as well as in the three areas of evaluation. The candidate must also demonstrate continued effectiveness in teaching, research, scholarship and/or creative activities, and service since the promotion to associate professor and evidence of contributions at a level beyond that reflected in the promotion decision to associate professor. Generally, an overall record of excellence requires national and/or international recognition for scholarly and/or creative achievement.

202-01: Research and Creative Activity

The candidate for promotion to professor should provide evidence of continuing creative activity or research and publication and should have achieved a substantial body of research or creative works judged in the terms outlined in **201-01**. The successful candidate for promotion to professor will have a number of high-quality publications or creative works appropriate for the discipline and a demonstrated commitment to seek external funding. Further, a candidate for professor will often have developed a reputation such that the candidate will receive invitations to present lectures, collaborate in printed volumes or research projects and give keynote addresses or readings. These or other measures will be used to determine if the candidate for promotion has achieved an appropriate level of external recognition for the research program or primary creative field. The work of the successful candidate for promotion to professor should be judged as highly original and creative by the external referees and a selection of the publications should be considered leading contributions in the relevant field.

202-02: Teaching and Instruction

In order to earn promotion to the rank of professor, faculty members in the Colleges must meet the criteria established for promotion to associate professor and present a record of sustained excellence in instruction and student advising and mentorship.

202-03: Service

Those seeking promotion to professor will be expected to have made significant service contributions to the Colleges and university, as well as to the profession judged in the terms outlined in **201-03**. This service, internally, will consist of major committee work, including often the chairing of a working committee. Externally, the candidate will normally have been called upon to participate in editorial board work, committee work for the national organization appropriate to the subfield or other such professional service.

203: Procedures for Promotion and Tenure Review

203-01: External Review

Each candidate for promotion requires external review as specified by **ACD 506-05**:

External evaluation of the faculty member's record is solicited for use in personnel decisions. This shall be done in a timely manner, in accordance with dates established by the Provost's Office each year and should specify which areas of performance (i.e., teaching and instruction, research and creative activities, service) are included. Materials appropriate to the review should be provided to the reviewer.

1. The head of the academic unit or Dean of the Colleges proposes 10 reviewers and the candidate proposes 10 reviewers. Reviewers ultimately solicited will represent both lists equally. All reviews received are included in the candidate's file.
2. While a specific number of completed reviews is not required, typically, 10 external reviews are solicited to ensure that the candidate's file is thoroughly reviewed. Typically there should be a minimum of five completed external evaluations from professors who are at highly respected colleges/universities (e.g., peer or aspirational peer institutions). These reviewers may not have a close professional or personal connection with the candidate (e.g., co-author, co-PI, or member of the candidate's dissertation committee).
3. Evaluations are solicited by the unit head from persons of high reputation in the candidate's field.
4. The reviewer is asked for a curriculum vitae and a statement regarding his or her acquaintance with the applicant.
5. Guidelines with specific questions are furnished to each reviewer so that the evaluations have a consistent format and can be used objectively.
6. To give the reviewer an opportunity to develop a quality response, the reviewer has at least 30 days to respond.
7. Tenure and promotion decisions include consideration of external letters.
8. Letters written by ASU students, staff members or colleagues cannot substitute for external evaluations of faculty members. And
9. The campus promotion and tenure committee will not accept letters, either positive or negative, that have not come through a unit's established review procedures.

External letters of evaluation are solicited on a confidential basis. Neither the names of the reviewers nor the contents of the letters are to be shared with the applicant for tenure or promotion. Only officially appointed or elected review committees or other faculty groups specified by unit bylaws and administrators in the review hierarchy examine the letters.

Letters should be kept in a central location and viewed only there. Solicitation letters to external reviewers should include a statement that describes who will have access to the letter of review and the extent to which confidentiality can be assured.

203-02: Peer Review

The Peer Review Committees shall be composed of three individuals, chosen ad hoc by the Dean of the Colleges in consultation with the candidate and his or her faculty head. This committee should be made up of tenured faculty in the Colleges who have worked closely with the faculty member or who have a professional or discipline-based understanding of the faculty member's field of research (preferably from the faculty's home unit). When possible, the members of the Peer Review Committee should be tenured faculty at or above the rank to which applicants are aspiring. One of the three members of the Peer Review Committee may be a tenured ASU faculty member from outside the Colleges. A faculty member from the Colleges must chair the Peer Review Committee.

The Peer Review Committee writes an initial evaluation of the file, contextualizing the faculty member's achievements, and makes an overall recommendation. A peer committee of this sort is particularly important in interdisciplinary Colleges, where even the head may not have deep background in the faculty member's research area or methodologies.

203-03: Faculty Head's Review

After receiving the Peer Review Committee's evaluation, the faculty head writes an independent evaluation of the candidate's materials and after consideration of the Peer Review Committee report makes an overall recommendation. The faculty head 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.

203-04: College Personnel Committee for Tenured/Tenure-Track Review

The Personnel Committee for Tenured/Tenure-Track Faculty, as constituted by Article VI, Section 1.B, of the bylaws will review the candidate's file.

The committee evaluates the file and makes an independent recommendation based on the candidate's materials and after consideration of the evaluations of the Peer Review Committee and faculty head.

In a case where a Colleges' Personnel Committee member has already provided written commentary on a candidate, either as faculty head or as a member of the Peer Review Committee, that individual shall recuse himself or herself from that candidate's evaluation by the Colleges' Personnel Committee.

203-05: Dean's Review

The Dean of the College of Integrative Sciences and Arts/University College makes his or her independent evaluation based on the candidate's materials and after consideration of the previous reviews. The Dean of the Colleges shall provide an oral statement of the strengths and weaknesses of the case to the candidate based on the reviews at the Colleges' level; the candidate may choose to withdraw from further consideration at this point. The file is then

forwarded to the ASU Promotion and Tenure Committee, in accordance with policies and procedures articulated by the executive vice president and provost of the university.

300 PERSONNEL POLICIES FOR CONTRACT FACULTY

Revised: 1/8/2019

Contract faculty in the College of Integrative Sciences and Arts/University College refers to faculty who are not tenure-track and who have fixed-term appointments, e.g., clinical faculty, research faculty, academic professionals, instructional professionals, lecturers, instructors and faculty associates.

Section 300 deals primarily with policies and procedures for the promotion of contract faculty. For further details on promotion of contract faculty and promotion file contents, see [ACD 506-05 Faculty Personnel Actions: Faculty Promotion and Process](#) and [P6, Process Guide for Promotion and Fixed Term Faculty](#). The date when promotion files are due in the Office of the Executive Vice President and Provost of the University is specified annually in the [schedule of personnel actions](#) released by the Office of the Executive Vice President and Provost.

301: Contract Faculty—Lecturers

Lecturers, senior lecturers and principal lecturers are nontenured, nontenure-track faculty members whose responsibilities, as defined by the Dean of the Colleges, may include teaching graduate, undergraduate or clinical courses, or supervising supplemental kinds of student learning as defined by the supervising Dean of the Colleges. Lecturers are not eligible for sabbatical leave.

301-01: Promotion from Lecturer to Senior Lecturer

A senior lecturer normally holds an appropriate doctorate or terminal degree and has a minimum of five years of college-level teaching experience or equivalent qualifications and experience ([ACD 505-02](#)). The lecturer's request for promotion is not based on time in rank, and the candidate must meet all conditions and include all materials specified in the Academic Affairs Policies and Procedures Manual, [ACD 506-05](#).

The five years of college-level experience should be a full-time faculty appointment. College-level teaching experience must have occurred at an accredited university or college. Faculty members are eligible to apply for promotion to senior lecturer in their fifth year. For those who have three or more years of a successful full-time faculty appointment before coming to ASU, requests for promotion to senior lecturer typically can be made during their second year at ASU.

Lecturers requesting promotion to senior lecturer will be evaluated with respect to evidence of excellence in teaching and service. The faculty member initiates the application for promotion from lecturer to senior lecturer by submitting a portfolio of materials specified in [ACD 506-05](#) and [P6, Process Guide for Promotion and Fixed Term Faculty](#).

The materials are reviewed by two faculty reviewers who have been selected by the Dean of the Colleges (see [section 303](#)); a faculty-based peer review committee, if appropriate; the faculty head; the Colleges' personnel committee for contract faculty; and the Dean of the Colleges. The recommendations are forwarded to the executive vice president and provost of the university, who makes the final decision.

Review of instructional materials should consider relevant factors such as student learning, the appropriateness of course content, curriculum development, program development, the currency of taught courses, the creation of new courses, technological and pedagogical innovations, workshops conducted for teachers and graduate students and the contributions of courses to the unit's curriculum, pedagogy and scholarship of instruction. Other possible indicators might include peer or supervisory evaluation of teaching performance and materials, student evaluations, participation in teaching workshops, teaching awards and honors. Student mentoring should be consistently meritorious to help advance the overall mission of the Colleges.

Evaluation of service requires the assessment of quality as well as quantity. Service to the university is assessed in terms of contributions to the work of the academic unit, college and university and its impact on the well-being of the Colleges and university. Peers and faculty heads assess contributions to fostering diversity and inclusiveness, recruitment and retention of students, faculty governance, collegial working environments and professional behavior. The evaluation of public/community service is based on the quality of the service rendered, its applicability to the candidate's teaching responsibilities, the quality and relevance to the academic unit's mission and value of that service from the perspective of the community organization or partner. The quality of service to the academic profession is assessed in terms of its overall value for the national distinction of the Colleges, the significance of the recognition brought to the individual and the university and the impact of the service on the field.

301-02: Promotion from Senior Lecturer to Principal Lecturer

A principal lecturer normally holds an appropriate doctorate or terminal degree and has a minimum of seven years of college-level teaching experience or equivalent qualifications and experience (**ACD 505-02**). Normally, candidates for principal lecturer will have been at the rank of senior lecturer for three years full time or more. However, the request for promotion is based not on time in rank or years of service but rather exceptional teaching, service and leadership.

Senior lecturers requesting promotion to principal lecturer will be evaluated with respect to evidence of exceptional teaching, service and leadership. The faculty member initiates the application for promotion from senior lecturer to principal lecturer by submitting a portfolio of materials specified in **ACD 506-05** and **P6, Process Guide for Promotion and Fixed Term Faculty**.

The materials are reviewed by two faculty reviewers who have been selected by the Dean of the Colleges (see **section 303**); a faculty-based peer review committee, if appropriate; the faculty head; the Colleges' personnel committee for contract faculty; and the Dean of the Colleges. The recommendations are forwarded to the executive vice president and provost of the university, who makes the final decision.

Review of instructional materials should consider relevant factors such as student learning, the appropriateness of course content, curriculum development, program development, the currency of taught courses, the creation of new courses, technological and pedagogical innovations, workshops conducted for teachers and graduate students and the contributions of courses to the unit's curriculum, pedagogy and scholarship of instruction. Other possible indicators might include peer or supervisory evaluation of teaching performance and materials, student evaluations, participation in teaching workshops, teaching awards and honors. Candidates should evidence outstanding student mentoring to help advance the

overall mission of the Colleges. Principal lecturers should have a distinguished, sustained, recognized record of exceptional contributions to discipline-based or interdisciplinary instructional content, teaching modalities or technologies or outcome-determined student success.

Evaluation of service requires the assessment of quality as well as quantity. Service to the university should be assessed in terms of contributions to the work of the academic unit, Colleges and university and its impact on the well-being of the Colleges and university. Peers and faculty heads assess contributions to fostering diversity and inclusiveness, recruitment and retention of students, faculty governance, collegial working environments and professional behavior. The evaluation of public/community service is based on the quality of the service rendered, its applicability to the candidate's teaching responsibilities, the quality and relevance to the academic unit's mission and value of that service from the perspective of the community organization or partner. The quality of service to the academic profession is assessed in terms of its overall value for the national distinction of the Colleges, the significance of the recognition brought to the individual and the university and the impact of the service on the field. Principal lecturers should have a distinguished, recognized record of exceptional service to the university, the community and the profession.

302: Contract Faculty—Clinical Faculty

Clinical faculty are nontenured, nontenure-eligible faculty members who are qualified by training, experience or education to direct or participate in specialized university functions, including student internships, training or other practice components of degree programs. They are appointed as clinical instructors, clinical assistant professors, clinical associate professors, clinical professors or internship/practicum/training supervisors.

Generally, assistant clinical professors are appointed to one-year terms. Associate clinical professors and clinical professors may be appointed to one-year or multiple-year terms of up to three years. Specific terms depend on the extent to which associate or full clinical professors possess the experience, expertise or qualifications established over a sustained period of time that qualify them to develop or supervise practice components of degree programs or to perform other duties that the Dean of the Colleges determines will significantly enhance clinical/ professional learning and advance the goals of the assigned academic unit or program in a substantial way. Multiple-year appointments must be approved by the Provost. Clinical faculty are not eligible for sabbatical leave.

302-01: Internship, Practicum, or Other Clinical Training Practice Components of the Degree Program

Clinical faculty who participate in the training, education and/or supervision of students in internship, practicum or other clinical training programs will be licensed in the appropriate area of clinical training for which they are responsible if such licensure is required by the faculty member's discipline or relevant professional practice. In the event licensing is a requirement, clinical faculty members are expected to maintain their clinical license and practice within the scope of their licensing board. Clinical faculty will report to the university any change in license status, such as suspension or revocation, immediately upon such actions being taken.

The clinical faculty members are responsible for the oversight, supervision, training and education of students enrolled and/or assigned to them. Clinical faculty members are responsible for providing training, education and supervision consistent with the standards of care that apply to the student in the training setting.

Clinical faculty may become involved in the design and evaluation of student internship, practicum or training programs. Roles and responsibilities may include but are not limited to: consultation with other faculty and internship, practicum or training site administrators and clinicians; review of current best practices and applicable standards in relevant internship, practicum or training programs; evaluation of data on internship, practicum or training site performance; and contributing to new or revised policy and procedures for training programs.

Clinical faculty with areas of expertise in areas relevant to their unit or program may contribute to relevant areas of the unit. Examples of technical expertise include:

1. Program design and evaluation, such as measurement of training program performance, measurement of processes and outcomes.
2. Training and evaluation in the use of special technologies programs that advance teaching, learning or administration within the faculty member's unit.
3. Design of courses, course content or supplemental training and education that contribute to programmatic development of the unit or program.

302-02: Promotion Reviews for Clinical Faculty

After the completion of three years in rank at ASU in the current position, the individual may elect to be considered for promotion (from assistant to associate clinical professor, from associate to full clinical professor). The basis of the review will be the annual workload agreement negotiated between the clinical faculty member and the faculty head. The annual performance review will form a significant part of the promotion review documentation. The three primary areas to be considered in the evaluation are:

1. **Job Performance**—Fulfillment of the duties and responsibilities of the position held as detailed in the job description and in the workload agreement. The focus of the review will be on the relevant domains for each clinical faculty member and may include: teaching and instruction, training and supervision, administration and service.
2. **Scholarship/Professional Development**—Evidence of continued professional development in relevant areas of the position. Efforts to keep abreast of current developments in areas of responsibility. Development of new capabilities, methods and procedures, new knowledge and/or instrumentation in area(s) of responsibility. Collaboration with faculty and students in facilitating, carrying out and/or documenting innovative research, teaching, supervision and/or service activities. Research, publications, presentation at conferences and grant writing. In general, these are activities that represent a commitment to the profession or to the discipline beyond the daily duties of the position.
3. **Service**—Use of professional expertise in serving the interests of the Colleges, unit, university, community, discipline and/or higher education. It is also recognized that some clinical faculty may have greater opportunities for service than others.

302-03: Criteria for Promotion of Clinical Faculty

The fulfillment of the agreed-upon workload and responsibilities is expected to be a major factor in decisions relating to promotion. The following are criteria for performance at each rank. Promotion to a higher rank requires performance at the appropriate level. (The terms in boldface text correspond to the definitions given in [section 303](#).)

1. **Assistant**—Must meet degree or other training requirements and show promise of excellent performance, leadership, independence and initiative.
2. **Associate**—Demonstrated sustained excellence in day-to-day performance and expertise in all job performance responsibilities (e.g., teaching supervision, coordinating), regular participation in professional development (e.g., scholarship, continuing education, professional presentations and workshops), sustained evidence of initiative, demonstrated leadership and managerial capability and a commitment to service activities (e.g., committee service, community engagement).
3. **Full**—Sustained, outstanding performance of duties and fulfillment of all job performance responsibilities, recognized excellence in chosen field (e.g., awards external to the Colleges); evidence of substantial professional accomplishment (scholarship, professional presentations or workshops at the national or international level); contribution to Colleges, unit or university programs; and proven commitment to service (e.g., service to profession at state, national or international levels, community engagement).

302-04: Procedures for Promotion Review of Clinical Faculty

The Peer Review Committee shall be composed of three individuals, chosen by the Dean of the Colleges in consultation with the candidate and his or her faculty head. This committee should be made up of faculty in the Colleges that have worked closely with the faculty member or who have a professional or discipline-based understanding of the faculty member's area of specialty. One of the three members of the Peer Review Committee may be an ASU faculty member from outside the Colleges. A faculty member from the Colleges must chair the Peer Review Committee.

The Peer Review Committee writes an initial evaluation of the file, contextualizing the faculty member's achievements and making an overall recommendation. A peer committee of this sort is particularly important in an interdisciplinary College where even the head may not have deep background in the faculty member's clinical area or methodologies. The faculty head 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.

After receiving the Peer Review Committee's evaluation, the faculty head writes an evaluation of the candidate's materials and makes an overall recommendation. The file is forwarded to the Colleges' Personnel Committee, which also writes an evaluation of the candidate's materials and makes an overall recommendation.

The Dean of the College of Integrative Sciences and Arts/University College make his or her evaluation based on the candidate's materials and makes a recommendation to the executive vice president and provost of the university who makes the final decision.

303: Contract Faculty - Academic Professionals (all fields)

Academic Professionals are nontenured, nontenure-eligible faculty, including librarians and researchers, who are qualified by their advanced degrees and/or specialized training to be involved with research, academic support and/or teaching programs. They may be appointed as administrative professionals, archivists, clinical professionals, fine arts specialists, instructional professionals, learning resources specialists, librarians, museum professionals, research scientists or research professionals. The ranks of appointment for all academic professionals shall be assistant, associate or full with the exception of academic associate, biodesign researcher and

senior biodesign researcher. The rank of Full Academic Professional will be used to designate the most senior rank.

Generally, assistant academic professionals are appointed to a year-to-year fixed-term appointments. Associate or full academic professionals may be appointed to multiple year fixed-term appointments of up to three years. Specific terms depend on the extent to which associate or full academic professionals possess the experience, expertise or qualifications established over a sustained period of time that qualify them to develop or supervise practice components of degree programs or to perform other duties that the Dean of the Colleges determines will significantly enhance academic/professional learning and advance the goals of the assigned academic unit or program in a substantial way. Academic professionals are not eligible for sabbatical leave.

303-01: Promotion Reviews for Academic Professionals

After the completion of three years in rank at ASU in the current position, the individual may elect to be considered for promotion (from assistant to associate academic professional, from associate to full academic professional). The basis of the review will be the annual workload agreement negotiated between the academic professional faculty member and supervisor. The annual performance review will form a significant part of the promotion review documentation. The three primary areas to be considered in the evaluation are:

1. **Job Performance**—Fulfillment of the duties and responsibilities of the position held as detailed in the job description and in the workload agreement. The focus of the review will be on the relevant domains for each academic professional faculty member and may include: teaching and instruction, training and supervision, administration and service.
2. **Scholarship/Professional Development**— Evidence of scholarship and professional development consists of: evidence of continued professional development in relevant areas of the position; efforts to keep abreast of current developments in areas of responsibility; development of new capabilities, methods and procedures, new knowledge and/or pedagogies in area(s) of responsibility; and collaboration with faculty and students in facilitating, carrying out and/or documenting innovative research, teaching, supervision and/or service activities. In general, these are activities that represent a commitment to the profession or to the discipline beyond the daily duties of the position.
3. **Service**—Use of professional expertise in serving the interests of the Colleges, unit, university, community, discipline and/or higher education. It is also recognized that some academic professionals may have greater opportunities for service than others.

303-02: Criteria for Promotion of Academic Professionals

The fulfillment of the agreed-upon workload and responsibilities is expected to be a major factor in decisions relating to promotion. The following are criteria for performance at each rank. Promotion to a higher rank requires performance at the appropriate level. The terms in boldface text correspond to the definitions given in [section 304](#).

1. **Assistant**—Must meet degree or other training requirements and show promise of excellent job performance, leadership, independence and initiative.
2. **Associate**—Must meet advanced degree or other training requirements. Must demonstrate sustained excellence in day-to-day performance and expertise in all job performance responsibilities. Faculty members are eligible to apply for promotion to Associate Academic Professional in their third year. For those who have three or more years of a successful full-time appointment before coming to ASU, requests for promotion to Associate Academic Professional typically can be made during their second year at ASU.

3. **Full**—Must meet advanced degree or other training requirements. Must demonstrate outstanding performance of duties and fulfillment of all job performance responsibilities, recognized excellence in chosen field; evidence of substantial scholarship and professional accomplishment; contribution to Colleges, unit or university programs; and proven commitment to service. Normally, candidates for Full Academic Professional will have been at the rank of Associate Academic Professional for three years full time or more. However, the request for promotion is based not on time in rank or years of service but rather exceptional job performance, scholarship/professional development and service.

303-03: Procedures for Promotion Review of Academic Professionals

The Peer Review Committee shall be composed of three individuals, chosen by the Dean of the Colleges in consultation with the candidate and his or her faculty head. This committee should be made up of faculty in the Colleges that have worked closely with the faculty member or who have a professional or discipline-based understanding of the faculty member's area of specialty. One of the three members of the Peer Review Committee may be an ASU faculty member from outside the Colleges. A faculty member from the Colleges must chair the Peer Review Committee.

The Peer Review Committee writes an initial evaluation of the file, contextualizing the faculty member's achievements and making an overall recommendation. A peer committee of this sort is particularly important in an interdisciplinary college where even the head may not have deep background in the faculty member's clinical area or methodologies.

After receiving the Peer Review Committee's evaluation, the faculty head writes an evaluation of the candidate's materials and makes an overall recommendation. The file is forwarded to the Colleges' Personnel Committee, which also writes an evaluation of the candidate's materials and makes an overall recommendation. The Dean of the Colleges makes his or her evaluation based on the candidate's materials and makes a recommendation to the executive vice president and provost of the university who makes the final decision.

304: Letters of Evaluation for Contract Faculty

The promotion of contract faculty requires a minimum of two letters of evaluation from appropriate faculty at ASU, its partners or other universities. Solicitation of letters should specify which areas of performance (i.e., teaching and instruction, research and creative activities, service) are included. Materials appropriate to the review should be provided to the reviewer.

1. The faculty head proposes three reviewers and the candidate proposes three reviewers. The reviewers will be selected by the dean and will represent both lists equally. All reviews received are included in the candidate's file.
2. Evaluations are solicited by the faculty head from persons of high reputation appropriate to the candidate's field.
3. The reviewer is asked for a curriculum vitae and a statement regarding his or her acquaintance with the applicant.
4. Guidelines with specific questions are furnished to each reviewer so that the evaluations have a consistent format and can be used objectively.
5. To give the reviewer an opportunity to develop a quality response, the reviewer has at least 30 days to respond.

Letters of evaluation are solicited on a confidential basis. Neither the names of the reviewers nor the contents of the letters are to be shared with the applicant. Only officially appointed or elected review committees and administrators in the review hierarchy examine the letters.

Letters should be kept in a central location and viewed only there. Solicitation letters to reviewers should include a statement that describes who will have access to the letter of review and the extent to which confidentiality can be assured.

305: Multi-year Contracts for Fixed-Term Faculty

ABOR and the Provost's Office will determine eligibility and criteria for multi-year contracts. The current guidelines are that Senior and Principal Lecturers as well as Clinical Associate or Clinical Professors are eligible for Multi-Year (MY) or Rolling Multi-Year (RMY) Contracts. Conditions for multi-year contracts will be clarified periodically by the Provost's Office in accordance with the ACD manual.

- ABOR has limited the number of MY/RMY appointments to no more than 15% of the number of tenure-track/tenured faculty at that university.
- The Provost's Office has set that
 - Those at the rank of Senior Lecturer or Clinical Associate Professor are eligible to apply for MY appointments. Lecturers and Clinical Assistant Professors seeking promotion may apply for MY appointments at the same time.
 - Those at the rank of Principal Lecturer or Clinical Professor are eligible to apply for RMY appointments. Senior Lecturers and Clinical Associate Professors seeking promotion may apply for RMY appointments at the same time.
 - Information that should be provided:
 - name, current academic rank and unit of the person in question;
 - requested effective date of the new appointment;
 - explanation of how this person is uniquely qualified for a multiple-year appointment;
 - explanation of what unit need is being served by moving this person to a multiple-year appointment;
 - explanation of how budget flexibility will be preserved after the multiple-year appointment begins;
 - further evidence, if any, that this is a compelling need.

All such appointments must be approved by the unit, the colleges and the provost.

400 ANNUAL REVIEW OF TENURED AND TENURE-TRACK FACULTY

Revised: 1/8/2019

The Arizona Board of Regents requires all Arizona State University faculty to be reviewed on an annual basis. The results of the annual review are tied to salary increases based on merit, when funds for merit raises are available. Faculty members must turn in materials required for annual review in order to be eligible for merit pay. The following procedures outline the annual review process for all tenured and tenure-track faculty teaching in the Colleges.

In light of the fact that the Colleges are home to faculty working in a variety of disciplinary fields, a flexible set of criteria that will allow individual faculty members to adequately highlight and contextualize his/her work in and accomplishments in his/her particular field with regard to the three review areas (research/creative activity, teaching and service) is necessary.

For both faculty members and their reviewer(s), the review process has been streamlined in that requirements for documentation of activity in each of the three review areas are broadly defined yet not specifically mandated, serving instead as guidelines that will allow individual faculty members to select and include only those substantiating documents s/he feels are most pertinent to his/her report.

Flexibility is allowed in the evaluation of a faculty member's annual review file, both in terms of qualitative assessment of each review area and the means by which a final assessment is awarded for each review area.

In order that both reviewee and reviewer(s) know what to expect and what is expected of him/her and them, dates will be established each year (in line with dates provided by the Provost's office) for the following:

1. When a faculty member must submit his/her annual review materials.
2. When the reviewer(s) must provide the reviewee with a written report, detailing evaluations and scores for each of the three review areas as well as an overall assessment with comments and recommendations.
3. When the reviewee must submit any appeal s/he may have to any portion of the reviewer(s)'s report.
4. When the reviewer(s) must respond to an appeal.
5. If the issues remain unresolved, when the reviewee must submit the appeal to the appropriate College-level person or committee.

401: Materials and Outline of Procedures

Faculty members are responsible for submitting the following materials in the requested print or electronic format to their faculty-level committee by the date designated each year:

1. Faculty Annual Report Form and accompanying documents (see [Appendix A](#)) covering the past calendar year.
2. Annual evaluation letters for the two years prior to the current year.
3. Curriculum vitae.

The Colleges and their faculty will abide by the calendar of annual reviews as distributed annually by the Provost's Office.

The relevant faculty head will review annual review files for Colleges' tenured and tenure-track faculty. The faculty head must take into consideration the previous two calendar years' activities per [ACD 506-10](#), which states that annual reviews —should cover the previous 36 months, with substantial emphasis on the current year.

See [Appendix A: Tenured and Tenure-Track Faculty Annual Report Form](#)

402: Evaluation Criteria

The assessment scale used by the faculty head to conduct the annual review will be 1 (UNSATISFACTORY) – 2 (SATISFACTORY) – 3 (MERIT) – 3.5 (MERIT PLUS) – 4 (HIGH MERIT).

403: Contributions to Affirmative Action Principles

Per [ACD 506-10](#), the Faculty-level Review Committee and the faculty head will also be guided by diversity and affirmative action efforts in the evaluation process. Those faculty members contributing actively to the affirmative action and diversity aims of the Colleges and university in their pedagogical, research, creative, professional development and service activities should note these contributions appropriately.

404: Appeal Process

Faculty may appeal their annual performance evaluation, as specified by [ACD 506-10](#). Faculty may request a review of his or her performance evaluation to the next-higher administrative level above the person who made the initial performance recommendation. For example, if a program director who is responsible to a faculty head made the initial recommendation, the individual could request a review from the faculty head, whereas if the faculty head made the initial evaluation the individual could request a review from the Dean of the Colleges. The request for such a review must be made within 30 working days (summer excluded) after the individual receives his or her written evaluation. Faculty should also be mindful of dates for bringing grievances to the university level (see [ACD 509-02](#) and [P17, ASU Policies and Procedures](#)). The final decision lies with the reviewer, who must complete the review and notify the appellant within 30 working days (summer excluded) after it is requested.

NOTE: Thirty days is measured in 30 work days, summer excluded. There are no procedures for hearings unless a grievance is alleged. Appeals of salary decisions may also be made. Grounds for an appeal of salary decisions shall be failure to implement the unit's approved evaluation and salary plan consistently. Appeals shall be filed first at the unit level and, if necessary, then at the next administrative level. For colleges with departments, the unit appeal process shall be approved by a vote of the unit's faculty and academic professionals, and the Colleges' appeal process shall be approved by a vote of the Colleges' faculty and academic professionals. For colleges without departments, the Colleges' appeal process shall be approved by a vote of the Colleges' faculty and academic professionals, and the appeal process at the next administrative level shall be determined by the provost in consultation with the Colleges' faculty and academic professionals.

An individual may grieve deviation from the Board of Regents' or university's policies and procedures to the appropriate grievance committee. Grievances based on discrimination are referred to the [Office of Equity and Inclusion](#).

500 ANNUAL REVIEW OF CONTRACT FACULTY—ALL LECTURERS/INSTRUCTORS/CLINICAL PROFESSORS/ACADEMIC PROFESSIONALS

Revised: 1/8/2019

The Arizona Board of Regents requires all Arizona State University faculty to be reviewed on an annual basis. The results of the annual review are tied to salary increases based on merit, when funds for merit raises are available. Faculty members must turn in materials required for annual review in order to be eligible for merit pay. The following procedures outline the annual review process for all contract faculty teaching in the Colleges.

It is the responsibility of the faculty heads to ensure that workloads are appropriately negotiated with faculty and allocated.

The review process in general is designed to incorporate an element of peer review. Though it is recognized that the various faculties within the Colleges are in the best position to review their own faculty, the compositions of some faculties may be too small to provide for peer committee levels of review. Faculties will decide by consensus when they have sufficient numbers of full-time faculty to establish a faculty-level committee to conduct their own peer reviews with procedures that mirror those in this document (adapted, where appropriate, with approval).

Faculties that do not have sufficient faculty to establish their own faculty-level committee will invite appropriate faculty members from other units to assist with the peer-review process.

501: Materials and Outline of Procedures

Faculty members are responsible for submitting the following materials in the requested print or electronic format to their faculty-level committee by the date designated each year:

1. Faculty Annual Report Form and accompanying documents (see [Appendix B](#) for sample forms and rubrics for all contract faculty) covering the past calendar year.
2. Annual evaluation letters for the two years prior to the current year.
3. Curriculum vitae.

The Faculty-level Review Committee will forward faculty materials and recommendations for review scores to the faculty head by the date designated each year. The Faculty-level Review Committee's performance evaluations and recommendations for ratings to the faculty head must take into consideration the previous two calendar years' activities per [ACD 506-10](#), which states that annual reviews should cover the previous 36 months, with substantial emphasis on the current year. A quorum of Faculty-level Review Committee members must be present to decide the recommendations for ratings. (Thus, if one person is absent, the others can decide on all faculty members except other Faculty-level Review Committee members. When a Faculty-level Review Committee member steps out to be reviewed, the others must be present to have a quorum.) In cases where there is not a majority vote (equal numbers disagree and agree), the split will be reported as is to the faculty head.

At the end of the evaluation period, the faculty head prepares and delivers to each faculty member a letter about his/her evaluation with the accompanying scores in each area and the overall evaluation rating. The faculty member's materials also are returned at this time.

Reflective of the mentoring relationship that exists between the faculty member and faculty head, a meeting between the parties is suggested (but not required). Either party may request such a meeting, and if requested, these meetings should be held before the end of the semester.

502: Evaluation Criteria and Calculations

Teaching, training and supervision, administration and service scores for all contract faculty will be determined from a series of sample indicators (rubrics) found in [Appendix B](#). These materials are intended to aid faculty members and evaluators in interpreting the instructional, training and supervision, administration and service contributions of each faculty member during the period under evaluation. Faculty are encouraged to review the indicators for each area prior to filling out the Faculty Annual Report so that evaluators may use the report as an evidentiary guide to arrive at their ratings. Likewise, evaluators are encouraged to exercise best professional judgment in their assessments. In all cases, emphasis should be placed on the most recent year's activities, but these are to be contextualized by the two previous years' accomplishments.

The annual review rating functions as a summary of the faculty member's performance and as such may be used by the Dean of the Colleges and faculty head to determine merit award distributions, term renewals and promotions in rank for clinical faculty.

Details for the calculation of annual review scores and ratings are discussed in the next section.

502-01: Lecturers and Instructors

The general assumption is that all lecturers in the Colleges will have an 80 percent teaching (55% instructional contributions; 25% student evaluations)/20% percent service load, both of which rely upon active and consistent professional development activities. Faculty-level committees or faculty heads will evaluate progress in these areas by calculating separate scores for teaching, student evaluations and service.

All instructors in the Colleges will have a 100 percent teaching load, which relies upon active and consistent professional development activities. Faculty-level committees or faculty heads will evaluate progress in this area by calculating separate scores for instructional contributions (75%) and student evaluations (25%).

These scores then will be combined in a weighted calculation to arrive at an annual review score that corresponds to an annual review rating (see section 502-03). The annual review rating functions as a summary of the faculty member's performance and as such may be used by the Dean of the Colleges and faculty head to determine merit award distributions and faculty promotions, respectively.

502-02: Clinical faculty and academic professionals

Clinical faculty and academic professional job responsibilities will be based on the workload agreement and may entail areas such as instruction, training and supervision and administration. The general assumption is that the workload agreement will be based on active and consistent professional development activities. Faculty-level committees or faculty heads will evaluate progress in these areas by evaluating performance ratings and other performance documents for the relevant domains in the workload agreement: teaching, training and supervision, administrative duties and service. Faculty heads will utilize forms and rubrics appropriate for the clinical faculty and academic professionals in their area (see sample forms and rubrics in [Appendix B](#)).

502-03: Determination of Annual review score

Annual review scores will be determined from a series of indicators found in the Colleges' Criteria for Annual Review rubrics (see [Appendix B](#)). The student evaluation score will be converted from statistical summaries of student course evaluations as described below. The rubrics and summaries together are intended to aid faculty members and evaluators in interpreting the instructional and (as appropriate) service contributions of each faculty member during the period under evaluation. Specifically, the indicators in the Colleges' Criteria for Annual Review rubrics should be applied in a context-dependent manner to reflect the best pedagogical practices of the subject matter being taught (e.g., best laboratory practices in the sciences, best classroom practices in language classes), though not all indicators need to be satisfied to achieve or assign a given rating. Faculty are encouraged to review the indicators for each area prior to filling out the Faculty Annual Report so that evaluators may use the report as an evidentiary guide to arrive at their ratings. Likewise, evaluators are encouraged to exercise best professional judgment in their assessments.

Factors to be taken into account include, but are not limited to, class size, percentage of enrolled students completing evaluations, upper versus lower division courses and whether the course is required. In all cases, emphasis should be placed on the most recent year's activities, but these are to be contextualized by the two previous years' accomplishments.

Teaching: Overall teaching evaluation scores (the instructional contribution score; 55% for Lecturers, 75% for instructors) will take into account the following indicators (exclusive of student evaluations, which are calculated separately, as indicated below): effective teaching, curriculum development, professional development activities that enhance teaching, rigor and quality of courses taught, whether courses taught were requirements or electives, class size (see [Appendix B](#)). Written comments from student course evaluations may be considered here as well.

Student Evaluations: Student evaluation scores (25% for Lecturers, 25% for Instructors) are calculated from scores that we receive from student course evaluations, which are based on a five-point scale (1=highest score, 5=lowest score). A weighted conversion must be applied to this scale in order for these scores to be consonant with teaching and service scores based on an inverted four-point scale (4=highest score, 1=lowest score). The formula

$$y = 5 - x$$

will be used to convert Mean Student Evaluation Scores (x) into Converted Student Evaluation Scores (y) as follows. The Mean Student Evaluation Score is calculated from the answers to common evaluative questions relating to instructor and course from the Colleges' student evaluation form.

Mean Student Evaluation Score (x)	Converted Student Evaluation Score (y)	Rating Correlation
less than 1.25	3.75 – 4.00	High Merit
1.26 – 1.75	3.25 – 3.74	Merit Plus
1.76 – 2.25	2.75 – 3.24	Merit
2.26 – 3.00	2.00 – 2.74	Satisfactory
greater than 3.00	1.00 – 1.99	Unsatisfactory

Service (for faculty with service commitments): Overall service evaluation scores (20 percent of total score) will take into account the following indicators: professional service and professional development activities that provide service to the profession. See [Appendix B](#).

The annual review score will be calculated according to the following examples (note that the weighting factors applied to the Teaching and Converted Student Evaluation scores combined account for the 80 [Lecturers] or 100 [Instructors] percent load attributed to teaching-related contributions):

General Formula-Lecturers	Specific Example
(Teaching Score) □□0.55	4.00 □□0.55 = 2.20
(Converted Student Evaluation Score) □□0.25	3.40 □□0.25 = 0.85
+ (Service Score) □□0.20	+ 3.00 □□0.20 = .60

Annual Review Score

3.65

General Formula-Instructors

Specific Example

(Teaching Score) $\square\square 0.75$

$4.00 \square\square 0.75 = \mathbf{3.00}$

+ (Converted Student Evaluation Score) $\square\square 0.25$

$3.40 \square\square 0.25 = \mathbf{0.85}$

Annual Review Score

3.85

Ultimately, each person will receive one of the following ratings for their annual evaluation based on their annual review score:

Rating¹	Annual Review Score	Description
(4.0) High Merit	3.75 – 4.00	Performed at an outstanding level
(3.5) Merit Plus	3.25 – 3.74	Performed at a superior level
(3.0) Merit	2.75 – 3.24	Exceeded satisfactory
(2.0) Satisfactory	2.00 – 2.74	Competently fulfilled responsibilities
(1.0) Unsatisfactory	1.00 – 1.99	Failed to perform competently

¹ The numeric ratings in parentheses will be reported to the Dean of the Colleges. What is then forwarded to the Provost's Office will be whole numbers only, with merit plus being reported as a 3.

Notes: While it appears we are using a strict algorithm for determining the overall performance rating, there may be divergence from it. The faculty head can adjust an overall rating in a way that better reflects all aspects of faculty work, not necessarily as a mathematical combination of the ratings received in teaching, student evaluations and service. Thus, the formula above and the guidelines listed below suggest the rating boundaries, but do not rigidly define them. In some cases, it may also be necessary to alter the 80/20 load distribution for Lecturers; the faculty head and the faculty member should determine these alterations, ideally in advance of the academic year. This will assist the faculty head in evaluating performance in relation to the distribution of agreed-upon effort. Should opportunities or obstacles arise that would suggest altering that agreement, both parties would discuss this to do so. Faculty on joint and/or affiliated appointments will be evaluated according to the provisions of their [Joint Appointment Memorandum of Understanding](#).

Remark for Faculty Members with Administrative Responsibilities: Faculty members who perform ongoing administrative services to the Colleges, and who are not compensated in that capacity through fiscal-year salaries, will have reduced requirements in other areas of departmental work. Their administrative work should be documented and will be evaluated by the faculty head. The individual should report teaching and service activities on their Faculty Annual Report as performance in teaching and service are subject to the same standards as all other faculty. Thus, the Faculty-level Review Committee would review those with administrative loads as they would any other (assigning simple teaching and service scores, but taking into account the time and energy spent on administrative duties) and the resulting score would be combined with the evaluation of administrative work made by the faculty head according to the predetermined proportions. For example, someone with a 50-percent administrative load would be evaluated by his/her administrative supervisor for that work. The faculty member's other 50 percent (dedicated to teaching and service) would be evaluated by

the Faculty-level Review Committee as indicated below and those two scores would be combined to get an annual review score.

503: Contributions to Affirmative Action Principles

Per [ACD 506-10](#), the Faculty-level Review Committee and the faculty head will also be guided by diversity and affirmative action efforts in the evaluation process. Those faculty members contributing actively to the affirmative action and diversity aims of the Colleges and university in their pedagogical, research, creative, professional development and service activities should note these contributions appropriately.

504: Appeal Process

1. A faculty member who disagrees with his/her annual review scores and/or rating must notify the faculty head in writing within 30 working days (summer excluded) of receiving evaluation results. The faculty member may submit additional information with his/her notification as deemed necessary. Faculty should also be mindful of dates for bringing grievances to the University level (see [ACD 509-02](#) and [P17 ASU Policies and Procedures](#)).
2. The faculty member will meet with the faculty head and a member of the Faculty-level Review Committee (typically the committee chair, unless precluded for some reason). If the issue remains unresolved, the aggrieved faculty member may proceed to step 3.
3. In the event of such an appeal, a three-person ad hoc Committee of Review will be appointed from the Colleges' Assembly, excluding the faculty head and members of the Faculty-level Review Committee. The appellant, the faculty head and the Dean of the Colleges each will select one member of the Committee of Review. At the beginning of its deliberations, the Committee of Review will meet with the chair of the Faculty-level Review Committee to obtain information regarding the context of the evaluation in question, but then will excuse the chair and conduct its own independent review. The Committee of Review then will submit a report of its findings and recommendations to the faculty head.
4. The faculty head will consider all evidence to determine whether to amend or retain the original performance evaluation. The appellant maintains all rights to file a grievance following the completion of this appeal procedure.
5. If the aggrieved faculty member still is not satisfied with the faculty head's recommendation after having received input from the ad hoc committee, the faculty member may seek relief through the Colleges' faculty grievance process at the next higher level (Dean of the Colleges). According to [ACD 506-10 —Annual Evaluations of Faculty](#), the request for such a review must be made within 30 working days (summer excluded) after the individual receives the faculty head's final written evaluation. The final decision lies with the Dean of the Colleges, who must complete the review and notify the appellant within 30 working days (summer excluded) after it is requested. The final decision to appeal at the college level rests with the aggrieved faculty member. There are no procedures for additional appeals or hearings.

600 STUDENT ACADEMIC GRIEVANCE PROCEDURES

Revised: 1/8/2019

Students who are enrolled in a College of Integrative Sciences and Arts / University College course and believe they have been unfairly or improperly graded may be assured of just treatment and fair consideration through the processes described in this document. Any such grievance must be started within the regular semester immediately following the course at issue, whether the student is enrolled in the university or not.

The grievance procedures do not deal with matters that properly belong in personnel proceedings.

601: Primary Procedures

1. Initially, the aggrieved student should communicate with the faculty member concerned and discuss the problem openly.
2. If this discussion does not result in a satisfactory resolution, the student may appeal in writing providing documentation to the faculty head or professor in charge of the instructor's area who will employ the area's procedures to resolve the grievance.

602: Secondary Procedures

1. If the grievance has not been successfully cleared by the area's procedures, the student may make a written request to the faculty head that the grievance be referred to the office of the Dean. The Dean (or designee) will provide a recommendation on whether an academic grievance hearing is warranted.
 - a. The Dean or the Dean's designee may request any additional documentation to determine whether an academic grievance hearing is warranted. The student and faculty member shall have at least fourteen (14) days to provide that documentation.
 - b. The Dean will either deny the request for a hearing or recommend a hearing be convened.
 - c. If the Dean recommends a hearing, the grievance will be referred to the Colleges' Grade Appeal and Academic Integrity Committee. The committee will convene for the specific purpose of hearing the student academic grievance. For grade appeals, 3 faculty committee members will hear the case. For cases involving academic integrity, 2 faculty committee members and 1 student committee member will hear the case.
2. If the Dean refers the student grievance to the Colleges' Grade Appeal and Academic Integrity Committee and appoints a hearing committee chair, the chair or designee will:
 - a. Notify the student that all further communication related to the grievance should be made with the chair of the panel.
 - b. Forward a copy of the grievance to the faculty member against whom the grievance is filed and request the instructor to file an electronic copy of a written response with the panel chair within seven (7) days after receiving a copy of the grievance.
 - c. Forward a copy of the student grievance and faculty response to the faculty head of the area offering the course and ask that administrator to provide an opinion on the case at hand to the committee within seven (7) days after receiving a copy of the two documents.
3. The committee chair or designee will:
 - a. Forward copies of the grievance, the instructor's response to the student, and the response from the faculty head to the other members of the panel.
 - b. Schedule a hearing, which may consist of one or more meetings with the student and the instructor, to hear the positions of the student and instructor respectively, related to the grievance. The first meeting will be scheduled no later than 30 days after the panel chair received the grievance.
4. If the student or instructor believes a member of the panel should not participate, based on perceived or actual bias or conflict of interest, the student or instructor may request, in writing, that the panel member be excused and the Dean will appoint another member of the Grade Appeal and Academic Integrity Committee to serve on the hearing panel. If a designated committee panel member believes he or she has a bias or conflict of interest which would negatively impact on the ability to decide the grievance fairly, the panel member will excuse himself or herself, notify the Dean, and the Dean will appoint a new panel member.

5. The student and instructor may provide documents to the panel for review and consideration, if three (3) copies of the documents are provided to the panel chair at least 10 days before the first scheduled date of the hearing. However, the chair of the panel will advise the student and the instructor that the panel will only consider documents that specifically relate to the grievance and response. The panel chair will retain one set of documents and forward the other two sets to the other two panel members at least seven (7) days before the hearing.
6. In keeping with the Family Education and Privacy Rights Act, if the grievance involves the grievant's grade, other matters or information contained in the grievant's academic or educational records maintained by ASU, it is presumed that the student has consented to the review of such information by the filing of the grievance. In the event any information will be reviewed or provided to the panel related to grades or information contained in the educational records or academic files of students other than the grievant, such information is considered confidential under the Family Education and Privacy Rights Act and the panel shall proceed as follows:
 - a. The panel will obtain the written consent of the students involved (other than the grievant) to review grades or information from their educational records, OR
 - b. The chair of the panel will excise the names, social security numbers, addresses, and any other identifying information from the education records of the students involved (other than the grievant).
7. The hearing shall be conducted by the panel chair and shall be closed. Participants may be accompanied by an advisor of their choice. Advisors may make an oral statement on behalf of, and confer with, their advisee. Advisors may not directly address the committee or other participants. Arrangements for the order of appearance, for submission of materials, testimony and related matters should be made through and by the panel chair.
8. At the hearing, the grievant will present his or her position first and try to do so within 30 minutes, including presentation of witness testimony and documentation. The chair may extend the time if necessary. The members of the panel may question the grievant during the presentations of their testimony. The instructor may question the student at the end of the presentation, but questioning should be limited to approximately 10 minutes or less. The chair may require the instructor to direct questions to the grievant through the chair.
9. The same process will be followed with the presentation of the instructor's case.
10. All questions should be related to the specific allegations of the grievance or statements in the response and the chair has final authority to judge relevancy.
11. The chair of the panel will digitally record the hearing and the digital file will be maintained by the College of Integrative Sciences and Arts/University College for two years after the decision on the grievance is made. The student and/or instructor may record the meeting at their own expense and with their own equipment.
12. After the presentations of the grievant and instructor have concluded, each will be excused while the panel deliberates.
13. The chair of the panel shall prepare a written report with the recommendations of the majority of the panel for the Dean. If there is disagreement among the panel, a minority report and recommendation may be submitted by the dissenting panel member to the Dean. The report shall include:
 - a. Identity of student grievant and instructor involved in the grievance.
 - b. Date grievance and response were filed with the committee.
 - c. Identity of the panel members who heard the grievance.
 - d. Dates the panel met to conduct the grievance.
 - e. Summary of the positions of the student and instructor.
 - f. Summary of the testimony and documents presented.
 - g. Conclusions of the panel.
 - h. Recommendations of the panel.
14. The Dean will take final action in each case after full consideration of the hearing committee's recommendation. The Dean may make grade changes, if any are recommended. The Dean

shall inform the student, the instructor, the appropriate faculty head, the registrar, and the grievance committee of any action taken.

APPENDICES

(SAMPLE FORMS AND RUBRICS FOR FACULTY ANNUAL REVIEW)

APPENDIX A: TENURED AND TENURE-TRACK FACULTY ANNUAL REPORT FORM

Revised: 1/8/2019

According to Arizona Board of Regents policy, all faculty members must be reviewed on an annual basis. This annual review is one element of post-tenure review. It is unrelated both to pre-tenure, third-year reviews of junior faculty and to promotion and tenure reviews of junior and/or senior faculty.

Please use this Annual Report Form to report your accomplishments in research/creative activity, teaching, and service. Use the category and subcategory headings. On those lines of the form where there is no activity to report, leave the line blank. Provide an explanation or clarification wherever you think it may be useful, including contributions to affirmative action principles. Please submit the completed Annual Report Form, a current Curriculum Vitae and all supporting materials ELECTRONICALLY.

NAME: _____

Workload Distribution

Area	Previous Year 2	Previous Year 1	Current Year
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Teaching	%	%	%
Research/Creative Activity	%	%	%
Service	%	%	%

CATEGORY 1. RESEARCH/CREATIVE ACTIVITY

ABOR mandates that research be evaluated in three-calendar-year increments.

Please give complete bibliographical information for each entry. For works that have already been published, please provide a copy of the first page only or as otherwise directed by the faculty head. For articles or books in press, please provide the entire manuscript as well as letters from the relevant editor documenting that the work is to be published. Additionally, please provide substantial manuscripts in progress if you wish to have these count within the three-calendar-year window. Online publications: Please provide URLs for these and distinguish between edited, refereed publications, invited non-refereed publications, and book reviews, putting any online publications in the appropriate categories. Online teaching- and service-related publications should appear in the sections relating to instructional contributions and service, respectively. Feel free to supply a few lines establishing a context for material outlined. Please list all scholarly work using APA or MLA style and demark student authors in bold.

1. Books (including monographs, edited volumes and textbooks)
2. Articles, chapters, essays, poems and short stories in refereed venues
3. Invited publications
4. Grants (both internal and external; specify amount and role)
 - a. Proposals funded. Include funding agency, amount funded, degree of involvement (% , PI, Co-PI, etc.), and dates.
 - b. Proposals submitted. Include funding agency, amount requested, degree of involvement (% , PI, Co-PI, etc.), and dates.
5. Invited addresses, such as keynotes
6. Conference presentations and papers
7. Professional-development workshops attended
8. Travel to collections for research purposes
9. Book reviews, review essays, and research notes
10. Honors and awards for scholarship
11. Sabbatical report
12. Shows, performances and exhibits
13. Other contributions *

* The category, "Other contribution," should be used for work in progress and/or for any relevant materials that do not fall under a previous category. Include manuscripts in progress or under review if you wish them to count within the three-calendar-year window. Include evidence of material in press (e.g., editorial correspondence).

CATEGORY 2: INSTRUCTIONAL CONTRIBUTIONS

ABOR mandates that teaching be evaluated in one-calendar-year increments.

Evaluation of teaching will include attention to SYLLABI AND OTHER COURSE MATERIALS, student evaluations, the number of students enrolled in a class and the demonstrated relation between the classes offered and departmental needs.

- List the courses you taught each semester. Explain any special circumstances that apply to these courses (e.g., a first-time prep; team-teaching; teaching early in the morning, at night, or on Saturday; teaching high-enrollment/multicultural content classes; or teaching online or web-enhanced courses).

List course, credits and enrollment by semester and year, most recent first.

Semester/ Year	Prefix/ Number	Enroll- ment	Credits	SCH	Title

- Syllabi and other course documents. Please submit one syllabus for each unique course you taught (i.e., if you taught the same course two semesters in a row, only submit one syllabus for this course). Please also submit one representative assignment for each unique course taught.
- For online and web-enhanced courses, faculty using My ASU are encouraged to enroll their head as an instructor so that the head can view password-protected materials; faculty using their homepages or other web pages should provide their head with URLs and access.
- Course evaluations. Please provide one (1) electronic copy of all your student evaluations that were conducted online for courses taught in the evaluation year, (2) the evaluation numbers for Questions 1-17 for all courses (grid provided) and (3) a 2-4 page, single-spaced narrative that synthesizes and contextualizes your evaluation scores. In particular, discuss areas in which you excel (such as particularly effective teaching strategies, your accessibility to students, your ability to provide an effective learning environment), as well as any changes in your teaching strategy you intend to implement.
- Names of students supervised in independent study courses and names of students you are mentoring at the graduate level, indicating whether you are serving as chair or member of their committees.

Thesis Supervisor – In Progress

Student	Title (tentative or general)

Thesis Supervisor – Completed

Student	Date Completed	Title (tentative or general)

Non-Thesis Advisees & Graduates

	Number	Number
Advisees		
Graduates		

Dissertation Supervisor – In Progress

Student	Title (tentative or general)

Dissertation Supervisor – Completed

Student	Date Completed	Title

- Any additional mentoring of undergraduate and/or graduate students (e.g., co-authoring with students or assisting them to make conference presentations; participating in professional-development workshops).

Thesis Committee Member

Student	Title (tentative or general)

Dissertation Committee Member – Completed

Student	Date Completed	Title (tentative or general)

- Names of undergraduate honors students you have mentored, either as chair or member of their thesis committees.
- Teaching awards you have received.
- Materials that provide evidence of curriculum development and/or significant course revision.
- Evidence of course supervision, mentoring of teachers.
- Other instructional contributions not listed above.

CATEGORY 3: SERVICE

ABOR mandates that service be evaluated in three-calendar-year increments.

Service to the Profession

- Academic activities (e.g., editorships; boards of directors; consulting editor; occasional reviewer of proposals, manuscripts; conference sessions organized and/or chaired). Specify journal or agency, role, and time period.
- Service (e.g., committee work for professional organizations). Specify organization, role and time period.

Service to the University

1. Membership on university-level committees. Indicate with an asterisk those committees you chair(ed).
2. Work with other departments (e.g., serving on search committees, coordinating joint programs).
3. Lectures, seminars given specifically to other departments.
4. Other service to the university (e.g., faculty senator).

Service to the College of Integrative Sciences and Arts/University College

1. College committees on which you have served and/or are serving. Indicate with an asterisk those committees you chair(ed).
2. College activities you organize(d), beyond assigned committee work.
3. College administrative position(s) you have held/currently hold.

Service to the Community

1. Consultation and membership on community committees and boards. List agency, duties and time period.
2. Lectures, talks, workshops and other public relations.

Other Professional Activities

Please provide information not covered in previous headings, such as being the subject of interviews.

To faculty with course releases: If you have non-research-related course releases, please specify what you are doing for that course release.

CATEGORY 4: GOALS FOR NEXT CALENDAR YEAR

Please list goals for each of the three evaluative categories (research, teaching and service) for the next year.

APPENDIX B: Contract Faculty

Revised: 1/8/2019

Appendix B1-01: LECTURERS ANNUAL REPORT FORM

Revised: 1/8/2019

According to Arizona Board of Regents policy, all faculty members must be reviewed on an annual basis.

Please use this Annual Report Form to report your accomplishments in instructional contribution and service relevant to you this year. Use the category and subcategory headings. On those lines of the form where there is no activity to report, leave the line blank. Provide an explanation or clarification wherever you think it may be useful, including contributions to affirmative action principles. **Please submit the completed Annual Report Form, a current Curriculum Vitae and all supporting materials ELECTRONICALLY.**

NAME: _____

CATEGORY 1. INSTRUCTIONAL CONTRIBUTIONS

Teaching

Evaluation of teaching will include attention to SYLLABI AND OTHER COURSE MATERIALS, student evaluations, the number of students enrolled in a class and the demonstrated relation between the classes offered and departmental needs.

1. In the table below list the courses you taught each semester (most recent first), enrollment, credits, SCH and course titles. Explain any special circumstances that apply to these courses (e.g., a first-time prep; team-teaching; teaching early in the morning, at night, or on Saturday; teaching high-enrollment/multicultural content classes; or teaching online or web-enhanced courses).

Semester/ Year	Prefix/ Number	Enroll- ment	Credits	SCH ¹	Title (add another column: special circumstances)

¹Calculate SCH by multiplying enrollment by number of credits (e.g., 10 students in one 3 credit course produce 30 SCH)

2. Syllabi and other course documents. Please submit one syllabus for each unique course you taught (i.e., if you taught the same course two semesters in a row, only submit one syllabus for this course). Please also submit one representative assignment for each unique course taught.
3. For online and web-enhanced courses, faculty using My ASU are encouraged to enroll their head as an instructor so that the head can view password-protected materials; faculty using their homepages or other web pages should provide their head with URLs and access.
4. Course evaluations. Please provide one (1) electronic copy of all your student evaluations that were conducted online for courses taught in the evaluation year, (2) the evaluation numbers for Questions 1-17 for all courses (grid provided) and (3) a 2-4 page, single-spaced narrative that synthesizes and contextualizes your evaluation scores. In particular, discuss areas in which you excel (such as particularly effective teaching strategies, your accessibility to students, your ability to provide an effective learning environment), as well as any changes in your teaching strategy you intend to implement. Base your narrative on the evaluation rubric used by your unit.

Student Academic Mentoring

Describe student academic mentoring/supervision (e.g., sponsorship of academic clubs, honors thesis, honors contracts, independent studies, Obama scholars). Names of students supervised required.

Graduate Advising

List advisees and their degree programs.

Graduate Committees (Thesis and Dissertation)

For each, list committee role and thesis/dissertation title.

Curriculum Development and/or Revision

Describe curriculum development and/or revisions made to courses.

Professional Development

List conferences/workshops, brown bags, lectures, etc. attended and engagement with the literature of the profession.

Pedagogical Awards

List awards you have been nominated for or have received for teaching, curricular design, etc.

Other Instructional Contributions

Describe other instructional contributions not listed above (pedagogical grants applied for and received focused on instruction, pedagogical projects, etc.).

CATEGORY 2. SERVICE

Committee Service

Describe committee activities and your contributions:

1. Unit (Languages and Cultures, area committees)
2. College/College (College of Integrative Sciences and Arts/University College committees)
3. University (ASU committees, e.g., CAPC)
4. Profession or discipline (committee or taskforce)

Community Outreach/Service

Community outreach, activities, lectures, readings organized for community, etc. Describe these activities and provide a brief annotation explaining how each relates to your position and how it aids you in fulfilling the mission of the university, your unit or your position.

Administrative Service/Duties

Administrative position(s) you have held or currently hold. Describe the affiliated duties as negotiated with supervisor.

* Your faculty head's evaluation of you will also include his/her assessment of your effectiveness as an administrator or mentor; the Colleges' dean will evaluate the administrative service of faculty heads.

Mentoring

Describe mentoring activities:

1. Advising nonacademic student clubs
2. Describe course supervision and mentoring of teachers, i.e., providing workshop sessions for other faculty, mentoring incoming faculty and observation write-ups of your visits to peers/mentees' classes.

Professional Development Activities

Describe dissemination of pedagogical or professional knowledge via the following:

1. Publications (books, solicited or unsolicited/refereed reviews, articles, chapters, essays, poems and short stories)
2. Conference presentations and papers
3. Professional development workshops
4. Shows, performances and exhibits

Other Service-Oriented Activities/Commendations

Describe community-based grants and awards applied for and received and special projects in the community (e.g., projects or grants focused on K-12 partnerships with other community agencies), and service to the profession (e.g., officer in a professional organization, journal editor), etc.

APPENDIX B1-02: CRITERIA FOR ANNUAL REVIEW OF ALL LECTURERS

Revised: 1/8/2019

CATEGORY 1. INSTRUCTIONAL CONTRIBUTIONS

Faculty achieving a given level will exhibit the characteristics typical of those listed by category below. These characteristics provide general guidelines for performance, not an exhaustive list.

Instructional Contributions	
<p>High Merit (4.0)</p> <p>Assumes fulfillment of Merit Plus requirements</p>	<p>Demonstrates high-quality teaching through all of the following (documentation could be via qualitative or quantitative measure of student learning or outcomes, peer reviews of teaching, syllabi and assignments and self-development critical review):</p> <ul style="list-style-type: none"> • Designing instruction aimed to enhance learning outcomes, (e.g., experiential learning activities, critical incident projects, community projects, service learning) • Measuring student learning outcomes (e.g., exam scores, performance on assignments, portfolios, and analysis of student work products, pre/post tests) • Identifying strategies to enhance student success (e.g., engaging students in self-reflection, overseeing peer group mentoring) <p>AND at least TWO of the following:</p> <ul style="list-style-type: none"> • Supervises research or projects (e.g., directs/codirects thesis, directs community engagement/service learning projects). • Provides more than two extra learning opportunities for students (e.g., honors contracts, internships, service learning) or mentoring of students (e.g., instructional aides). • Achieves widely recognized teaching success, such as receiving a teaching/supervision award at the local, state or national level. • Presents or publishes innovations related to teaching pedagogy, or training in local, state or national professional venues. • Leads professional development opportunities related to teaching, pedagogy or training. • Develops and successfully delivers a new course at the request of the unit or Colleges or significantly redesigns an existing course (e.g., converting a face to face course to hybrid or online delivery). • Acts as a peer reviewer of teaching for two or more colleagues. • Instructional Team Leader overseeing multiple sections of students and instructors inside the classroom for one semester. • Directs study abroad program.
<p>Merit Plus (3.5)</p> <p>Assumes fulfillment of</p>	<p>Demonstrates high-quality teaching in two of the following (documentation could be via qualitative or quantitative measure of student learning or outcomes, peer reviews of teaching, syllabi and assignments and self-development critical review):</p> <ul style="list-style-type: none"> • Designing instruction aimed to enhance learning outcomes (e.g., experiential learning activities, critical incident projects, community course projects, service learning).

<p>Merit requirements</p>	<ul style="list-style-type: none"> • Measuring student learning outcomes (e.g., exam scores, performance on assignments, portfolios, and analysis of student work products, pre/post tests). • Identifying strategies to enhance student success (e.g., engaging students in self-reflection, oversee peer group mentoring). <p>AND at least TWO of the following:</p> <ul style="list-style-type: none"> • Supervises or participates in research or projects (e.g., serves as thesis committee member, directs community engagement/service learning projects). • Provides two extra learning opportunities for students (e.g., honors contracts, internships, service learning) or mentoring of students (e.g., instructional aides). • Achieves recognized teaching such as receiving a local, state or national award or nomination for an award requiring multiple sources of support. • Presents or publishes innovations related to teaching pedagogy, or training in local, state or national professional venues. • Leads or attends significant professional development opportunities related to teaching, pedagogy or training. • Develops and successfully delivers a new course at the request of the unit or Colleges or significantly redesigns an existing course. • Acts as a peer reviewer of teaching for a colleague. • Directs study abroad program.
<p>Merit (3.0)</p> <p>Assumes fulfillment of Satisfactory requirements</p>	<p>Demonstrates quality teaching, through at least two of the following (documentation could be via qualitative or quantitative measure of student learning or outcomes, peer reviews of teaching, syllabi and assignments and self-development critical review):</p> <ul style="list-style-type: none"> • Designing instruction aimed to enhance learning outcomes (e.g., experiential learning activities, critical incident projects, community course projects, service learning). • Measuring student learning outcomes (e.g., exam scores, performance on assignments, portfolios, and analysis of student work products, pre/post tests). • Identifying strategies to enhance student success (e.g., engaging students in self-reflection, oversee peer group mentoring, writing multiple letters of recommendation). <p>AND at least ONE of the following:</p> <ul style="list-style-type: none"> • Supervises or participates in research or projects (e.g., serves as thesis committee member, directs community engagement/service learning projects). • Achieves recognized teaching success, such as receiving a teaching/supervision award, or nomination for an award requiring multiple sources of support. • Presents or publishes innovations related to teaching pedagogy in local, state or national professional venues. • Attends professional development opportunities related to teaching, pedagogy or training. • Develops and successfully delivers a new course at the request of the unit or Colleges or significantly redesigns an existing course. • Acts as a peer reviewer of teaching for a colleague. • Requests and receives a peer review of teaching • Teaches a first-time prep or has three or more preps per semester. • Directs study abroad program.

<p>Satisfactory (2.0)</p>	<p>Demonstrates acceptable teaching with pedagogically sound instructional practices including the following:</p> <ul style="list-style-type: none"> • Demonstrates support and respect to students (e.g., a letter of recommendation). • Provides an adequate learning environment. • Distributes an appropriate syllabus (as defined by the unit, Colleges and University) at the first meeting of the class. • Meets with the class at the scheduled times unless there are extenuating circumstances. • Incorporates context and functional area requirements (e.g., APA standards) into appropriate courses as defined by the Colleges' and unit's curricular missions. • Incorporates library and computer resources into appropriate courses as defined by the Colleges' and unit's curricular missions. • Being accessible to students according to university policy. • Returns graded examinations and assignments and supervisory feedback in a timely manner. • Posts final course grades in a timely manner.
<p>Unsatisfactory (1.0)</p>	<p>Demonstrates unsatisfactory teaching through many of these characteristics:</p> <ul style="list-style-type: none"> • Demonstrates poor quality teaching. • Fails to meet satisfactory criteria detailed above. • Violates the professional student-teacher relationship.

CATEGORY 2. SERVICE

Note: If job requirements match particular categories listed below, they should be weighed more heavily in evaluating performance. See —**Remark for Faculty Members with Administrative Responsibilities** in the Procedures document.

Service	
<p>High Merit (4.0)</p>	<p>Meets two of these at High Merit Level and at least two others at Merit Plus Level or higher.</p> <ul style="list-style-type: none"> • Committee Service—Makes vital service contributions to or takes a leadership role in university/Colleges. Colleges' committees or community; membership often by faculty election or dean appointment; serves on state, regional, national, or international committees. • Community Outreach/Service—Takes leadership role in forging wide-ranging community partnerships. • Administrative Service/Duties—Creates and/or implements new administrative programs or procedures or training and supervision techniques that benefits the unit, Colleges, university and profession. • Mentoring—Participates in the quality review and improvement of mentorship models. • Editorial Activities—Leadership role as Editor/Associate Editor of a peer-reviewed journal, edits a book with a scholarly press. • Professional Development Activities—Disseminates new ideas in

	<p>the discipline(s), through publications (e.g., invited chapter in a widely used text or peer-reviewed journal article as lead author) and special recognition at conferences (e.g., invited key note speaker). Submits and receives grants for teaching, training and supervision and/or community engagement.</p> <ul style="list-style-type: none"> • Other—At least one of the following: applies for and received community-based grants or awards, participates in special community projects; non-committee service to the profession at state, regional or national levels (e.g., officer in professional organization), etc. Leadership role as Editor/Associate Editor of a peer-reviewed journal, edits a book with a scholarly press.
<p>Merit Plus (3.5)</p>	<p>Meets two of these at Merit Plus Level (or one at Merit Plus and one at High Merit level) and at least one at Merit Level.</p> <ul style="list-style-type: none"> • Committee Service—Makes meaningful contributions to time-consuming committees, with crucial roles. • Community Outreach/Service—Initiates and develops community outreach activities. • Administrative Service/Duties— Makes vital contributions to administrative programs or procedures or training and supervision techniques that benefits the unit, Colleges, university and profession. • Mentoring—Initiates helping and mentoring colleagues in a structured and systematic manner; serves as external reviewer for promotion cases, awards. • Editorial Activities – Serves on an editorial or textbook review board, edits thematic edition of a peer-reviewed journal. • Professional Development Activities—Disseminates new ideas and content through seminars, conference presentations and workshops; publishes in peer-reviewed journals as co-author; submits proposals for grants; development work promoting enhancement of teaching and student learning. • Other—Applies for community-based grants and awards; non-committee service to the profession at the university level. Serves on an editorial or textbook review board, edits thematic edition of a peer-reviewed journal.
<p>Merit (3.0)</p>	<p>Meets at least three of these at Merit level (or two at Merit and one at Merit Plus or higher).</p> <ul style="list-style-type: none"> • Committee Service—Serves actively on unit or Colleges' committees with specific or purpose-driven functions; enhances faculty profile; volunteers for service such as convocation, etc. • Community Outreach/Service—Actively and regularly participates in community outreach activities. • Administrative Service/Duties—Actively participates in administrative programs or procedures or training and supervision techniques that benefit the unit, Colleges, university and profession. • Mentoring—Contributes positively and regularly to the professional development of colleagues. • Editorial Activities – serves as an Ad Hoc reviewer for conference abstracts, peer reviewed journals, reviews book proposals or manuscripts for scholarly press. • Professional Development Activities—Shares knowledge with colleagues through formal and informal means (e.g., publishes in non-peer-reviewed journal, book reviews). Collaborates on proposals and workshops.

	<ul style="list-style-type: none"> • Other-- serves as an Ad Hoc reviewer for conference abstracts, peer reviewed journals, reviews book proposals or manuscripts for scholarly press.
Satisfactory (2.0)	<p>Meets at least three of these at Satisfactory level (or two of these if one meets Merit or higher).</p> <ul style="list-style-type: none"> • Committee Service—Serves actively on unit or Colleges' committees, participates in a supportive faculty environment, attends meetings, etc. • Community Outreach/Service—Participates in community outreach activities. • Administrative Service/Duties—Completes duties in a satisfactory manner. • Mentoring—Contributes to the professional development of colleagues. • Professional Development Activities—Attends workshop or conference related to discipline(s).
Unsatisfactory (1.0)	<ul style="list-style-type: none"> • Committee Service—No evidence of active service. • Community Outreach/Service—Does not participate in or does not contribute positively to community outreach/service. • Administrative Service/Duties—Fails to perform duties in a satisfactory manner. • Mentoring—Does not contribute positively to professional development of others. • Professional Development Activities— No evidence of professional development activities.

Rating¹	Annual Review Score	Description
(4.0) High Merit	3.75 – 4.00	Performed at an outstanding level
(3.5) Merit Plus	3.25 – 3.74	Performed at a superior level
(3.0) Merit	2.75 – 3.24	Exceeded satisfactory
(2.0) Satisfactory	2.00 – 2.74	Competently fulfilled responsibilities
(1.0) Unsatisfactory	1.00 – 1.99	Failed to perform competently

¹ The numeric ratings in parentheses will be reported to the Dean of the Colleges. What is then forwarded to the Provost's Office will be whole numbers only, with merit plus being reported as a 3.

APPENDIX B2-01: INSTRUCTORS ANNUAL REPORT FORM

Revised: 1/8/2019

According to Arizona Board of Regents policy, all faculty members must be reviewed on an annual basis.

Please use this Annual Report Form to report your accomplishments in instructional contribution relevant to you this year. Use the category and subcategory headings. On those lines of the form where there is no activity to report, leave the line blank. Provide an explanation or clarification wherever you think it may be useful, including contributions to affirmative action principles. **Please submit the completed Annual Report Form, a current Curriculum Vitae and all supporting materials ELECTRONICALLY.**

NAME: _____

INSTRUCTIONAL CONTRIBUTIONS

Teaching

Evaluation of teaching will include attention to SYLLABI AND OTHER COURSE MATERIALS, student evaluations, the number of students enrolled in a class and the demonstrated relation between the classes offered and departmental needs.

1. In the table below, list the courses you taught each semester (most recent first), enrollment, credits, SCH and course titles. Explain any special circumstances that apply to these courses (e.g., a first-time prep; team-teaching; teaching early in the morning, at night, or on Saturday; teaching high-enrollment/multicultural content classes; or teaching online or web-enhanced courses).

Semester/ Year	Prefix/ Number	Enroll- ment	Credits	SCH ¹	Title (add another column: special circumstances)

¹Calculate SCH by multiplying enrollment by number of credits (e.g., 10 students in one 3 credit course produce 30 SCH).

2. Syllabi and other course documents. Please submit one syllabus for each unique course you taught (i.e., if you taught the same course two semesters in a row, only submit one syllabus for this course). Please also submit one representative assignment for each unique course taught.
3. For online and web-enhanced courses, faculty using My ASU are encouraged to enroll their head as an instructor so that the head can view password-protected materials; faculty using their homepages or other web pages should provide their head with URLs and access.
4. Course evaluations. Please provide one (1) electronic copy of all your student evaluations that were conducted online for courses taught in the evaluation year, (2) the evaluation numbers for Questions 1-17 for all courses (grid provided) and (3) a 2-4 page, single-spaced narrative that synthesizes and contextualizes your evaluation scores. In particular, discuss areas in which you excel (such as particularly effective teaching strategies, your accessibility to students, your ability to provide an effective learning environment), as well as any changes in your teaching strategy you intend to implement. Base your narrative on the evaluation rubric used by your unit.

Student Academic Mentoring

Describe student academic mentoring/supervision (e.g., sponsorship of academic clubs, honors contracts, Obama scholars). Names of students supervised required.

Curriculum Development and/or Revision

Describe curriculum development and/or revisions made to courses.

Pedagogical Awards

List awards you have been nominated for or have received for teaching, curricular design, etc.

Other Instructional Contributions

Describe other instructional contributions not listed above (pedagogical grants applied for and received focused on instruction, pedagogical projects, etc.).

Mentoring

- Advising nonacademic student clubs
- Internships
- Service learning
- Describe mentoring of teachers/instructional aids, i.e., providing workshop sessions for other faculty, mentoring incoming faculty and observation write-ups of your visits to peers/mentees' classes.

Professional Development

List conferences/workshops, brown bags, lectures, etc. attended and engagement with the literature of the profession.

Describe dissemination of pedagogical or professional knowledge via the following:

- Publications (books, solicited or unsolicited/refereed reviews, articles, chapters, essays, poems and short stories)
- Conference presentations and papers
- Professional development workshops
- Shows, performances and exhibits

APPENDIX B2-02: CRITERIA FOR ANNUAL REVIEW OF INSTRUCTORS (100% Instructional Contributions)

Revised: 1/8/2019

INSTRUCTIONAL CONTRIBUTIONS

Faculty achieving a given level will exhibit the characteristics typical of those listed by category below. These characteristics provide general guidelines for performance, not an exhaustive list.

Instructional Contributions	
High Merit (4.0) Assumes fulfillment of Merit Plus requirements	Demonstrates high-quality teaching through all of the following (documentation could be via qualitative or quantitative measure of student learning or outcomes, peer reviews of teaching, syllabi and assignments and self-development critical review): <ul style="list-style-type: none">• Designing instruction aimed to enhance learning outcomes (e.g., experiential learning activities, critical incident projects, community projects, service learning).• Measuring student learning outcomes (e.g., exam scores, performance on assignments, portfolios, and analysis of student work products, pre/post tests).• Identifying strategies to enhance student success (e.g., engaging students in self-reflection, overseeing peer group mentoring). AND ONE of the following:

	<ul style="list-style-type: none"> • Provides more than two extra learning opportunities for students (e.g., honors contracts, internships, service learning or mentoring of students (e.g., instructional aides). • Achieves widely recognized teaching success, such as receiving a teaching award. • Presents or publishes teaching innovations in professional venues. • Leads professional development opportunities focused on teaching innovations. • Developing and successfully delivering a new course at the request of the department or Colleges. • Acting as a peer reviewer of teaching for two or more colleagues • Instructional Team Leader overseeing multiple sections of students and instructors inside the classroom for one semester. • Directs study abroad program.
<p>Merit Plus (3.5)</p> <p>Assumes fulfillment of Merit requirements</p>	<p>Demonstrates high-quality teaching in two of the following (documentation could be via qualitative or quantitative measure of student learning or outcomes, peer reviews of teaching, syllabi and assignments and self-development critical review):</p> <ul style="list-style-type: none"> • Designing instruction aimed to enhance learning outcomes (e.g., experiential learning activities, critical incident projects, community course projects, service learning). • Measuring student learning outcomes (e.g., exam scores, performance on assignments, portfolios, and analysis of student work products, pre/post tests). • Identifying strategies to enhance student success (e.g., engaging students in self-reflection, oversee peer group mentoring). <p>AND ONE of the following:</p> <ul style="list-style-type: none"> • Provides two extra learning opportunities for students (e.g., honors contracts, internships, service learning) or mentoring of students (e.g., instructional aides). • Nominated for award related to teaching or receives notable recognition for teaching. • Attends at least two professional development opportunities (workshops, online webinars, keeping up with the field). • Reviewing textbooks or professional materials within your field. • Acts as peer reviewer of teaching for a colleague. • Participating faculty in study abroad.
<p>Merit (3.0)</p> <p>Assumes fulfillment of Satisfactory requirements</p>	<p>Demonstrates quality teaching, through at least two of the following (documentation could be via qualitative or quantitative measure of student learning or outcomes, peer reviews of teaching, syllabi and assignments and self-development critical review):</p> <ul style="list-style-type: none"> • Designing instruction aimed to enhance learning outcomes (e.g., experiential learning activities, critical incident projects, community course projects, service learning). • Measuring student learning outcomes (e.g., exam scores, performance on assignments, portfolios, and analysis of student work products, pre/post tests). • Identifying strategies to enhance student success (e.g., engaging students in self-reflection, oversee peer group mentoring, writing multiple letters of recommendation). <p>AND at least ONE of the following:</p>

	<ul style="list-style-type: none"> Provides one extra learning opportunity for students (e.g., honors contracts, internships, service learning) or mentoring of students (e.g., instructional aides). Attends a professional development opportunity (e.g., Pedagogy Salon, ASU UTO Training workshop, --combine them). Requests and receives a peer review of teaching during the year. Teaches a first-time prep or has 3 or more preps per semester.
Satisfactory (2.0)	<p>Demonstrates acceptable teaching with pedagogically sound instructional practices including the following:</p> <ul style="list-style-type: none"> Demonstrates support and respect to students (e.g. a letter of recommendation). Provides an adequate learning environment. Distributes an appropriate (as defined by the department, Colleges and university) syllabus at the first meeting of the class. Meets with the class at the scheduled times unless there are extenuating circumstances. Incorporates context and functional area requirements into appropriate courses as defined by the Colleges' and unit's curricular missions. Incorporates library and computer resources into appropriate courses as defined by the Colleges and unit's curricular missions. Being accessible to students according to university policy. Returns graded examinations and assignments with appropriate feedback in a timely manner. Posts final course grades in a timely manner.
Unsatisfactory (1.0)	<p>Demonstrates unsatisfactory teaching through many of these characteristics:</p> <ul style="list-style-type: none"> Demonstrated poor quality teaching. Repeatedly fails to meet satisfactory criteria detailed above. Violates the professional student-teacher relationship.

Rating¹	Annual Review Score	Description
(4.0) High Merit	3.75 – 4.00	Performed at an outstanding level
(3.5) Merit Plus	3.25 – 3.74	Performed at a superior level
(3.0) Merit	2.75 – 3.24	Exceeded satisfactory expectations
(2.0) Satisfactory	2.00 – 2.74	Competently fulfilled responsibilities
(1.0) Unsatisfactory	1.00 – 1.99	Failed to perform competently

¹ The numeric ratings in parentheses will be reported to the Dean of the Colleges. What is then forwarded to the Provost's Office will be whole numbers only, with merit plus being reported as a 3.

APPENDIX B3-01: CLINICAL FACULTY ANNUAL REPORT FORM

Revised: 1/8/2019

According to Arizona Board of Regents policy, all faculty members must be reviewed on an annual basis.

Please use this Annual Report Form to report your accomplishments in instructional contribution, administration and service. Use the category and subcategory headings. On those lines of the form where there is no activity to report, leave the line blank. Provide an explanation or clarification wherever you think it may be useful, including contributions to affirmative action principles. **Please**

submit the completed Annual Report Form, a current Curriculum Vitae and all supporting materials ELECTRONICALLY.

NAME: _____

CATEGORY 1. INSTRUCTIONAL CONTRIBUTIONS

Teaching

Evaluation of teaching will include attention to SYLLABI AND OTHER COURSE MATERIALS, student evaluations, the number of students enrolled in a class and the demonstrated relation between the classes offered and departmental needs.

1. In the table below, list the courses you taught each semester (most recent first), enrollment, credits, SCH and course titles. Explain any special circumstances that apply to these courses (e.g., a first-time prep; team-teaching; teaching early in the morning, at night, or on Saturday; teaching high-enrollment/multicultural content classes; or teaching online or web- enhanced courses).

Semester/ Year	Prefix/ Number	Enroll- ment	Credits	SCH ¹	Title (add another column: special circumstances)

¹Calculate SCH by multiplying enrollment by number of credits (e.g., 10 students in one 3 credit course produce 30 SCH).

- a. Calculate SCH by multiplying enrollment by number of credits (e.g., 10 students in one 3 credit course produce 30 SCH)
2. Syllabi and other course documents. Please submit one syllabus for each unique course you taught (i.e., if you taught the same course two semesters in a row, only submit one syllabus for this course). Please also submit one representative assignment for each unique course taught.
3. For online and web-enhanced courses, faculty using My ASU are encouraged to enroll their head as an instructor so that the head can view password-protected materials; faculty using their homepages or other web pages should provide their head with URLs and access.
4. Course evaluations. Please provide one (1) electronic copy of all your student evaluations that were conducted online for courses taught in the evaluation year, (2) the evaluation numbers for Questions 1-17 for all courses (grid provided) and (3) a 2-4 page, single-spaced narrative that synthesizes and contextualizes your evaluation scores. In particular, discuss areas in which you excel (such as particularly effective teaching strategies, your accessibility to students, your ability to provide an effective learning environment), as well as any changes in your teaching strategy you intend to implement. Base your narrative on the evaluation rubric used by your unit.

Student Academic Mentoring

Describe student academic mentoring/supervision (e.g., sponsorship of academic clubs, honors thesis, honors contracts, independent studies, Obama scholars). Names of students supervised required.

Graduate Advising

List advisees and their degree programs.

Graduate Committees (Thesis and Dissertation)

For each, list committee role and thesis/dissertation title.

Curriculum Development and/or Revision

Describe curriculum development and/or revisions made to courses.

Professional Development

List conferences/workshops, brown bags, lectures, etc. attended and engagement with the literature of the profession.

Pedagogical Awards

List awards you have been nominated for or have received for teaching, curricular design, etc.

Evaluation of these categories will be based on criteria defined in the faculty workload agreement. The criteria may include student evaluations (e.g., practicum course), peer evaluations or evaluations completed by individuals outside of the Colleges or outside of ASU who work closely with the faculty. These materials must be submitted to the FAR committee chair for your unit.

Practicum Training/Supervision

List the practicum training/supervision activities you were involved in each semester. Explain any special circumstances that apply to these training activities (e.g., a first-time placement of students in new site, team supervision; supervision early in the morning, at night, or on Saturday; training or supervision using online or web-enhanced resources; substantial revision of an existing training program, etc.). You might also point out areas in which you excel, such as particularly effective or innovative training and supervision strategies, your accessibility to students, your ability to provide an effective and supportive learning environment, reflect on learning outcomes achieved by students, enhance student engagement and student learning, etc. (refer to [Appendix B3-02](#) for evaluative criteria).

Other Instructional Contributions

Describe other instructional contributions not listed above (pedagogical grants applied for and received focused on instruction, pedagogical projects, etc.).

CATEGORY 2. SERVICE

Committee Service

Describe committee activities and your contributions:

1. Unit (Languages and Cultures, area committees)
2. College/College (College of Integrative Sciences and Arts/University College committees)
3. University (ASU committees, e.g., CAPC)
4. Profession or discipline (committee or taskforce)

Community Outreach/Service

Community outreach, activities, lectures, readings organized for community, etc. Describe these activities and provide a brief annotation explaining how each relates to your position and how it aids you in fulfilling the mission of the university, your unit or your position.

Administrative Service/Duties

Administrative position(s) you have held or currently hold. Describe the affiliated duties as negotiated with supervisor.

Administrative

List specific management or administrative responsibilities. Describe the expected results documented in the workload agreement and provide evidence of progress towards achieving stated goals. Administrative projects, data analyses, reports or other documentation.

* Your faculty head's evaluation of you will also include his/her assessment of your effectiveness as an administrator or mentor; the Dean of the Colleges will evaluate the administrative service of faculty heads.

Mentoring

- Advising nonacademic student clubs
- Describe course supervision and mentoring of teachers, i.e., providing workshop sessions for other faculty, mentoring incoming faculty and observation write-ups of your visits to mentees' classes.

Professional Development Activities

Describe dissemination of pedagogical or professional knowledge via the following:

1. Publications (books, solicited or unsolicited/refereed reviews, articles, chapters, essays, poems and short stories)
2. Conference presentations and papers
3. Professional development workshops
4. Shows, performances and exhibits

Other Service-Oriented Activities/Commendations

Describe community-based grants and awards applied for and received and special projects in the community (e.g., projects or grants focused on K-12 partnerships with other community agencies), and service to the profession (e.g., officer in a professional organization, journal editor), etc.

APPENDIX B3-02: CRITERIA FOR ANNUAL REVIEW OF CLINICAL FACULTY

Revised: 1/8/2019

CATEGORY 1. INSTRUCTIONAL CONTRIBUTIONS

Faculty achieving a given level will exhibit the characteristics typical of those listed by category below. These characteristics provide general guidelines for performance, not an exhaustive list.

Instructional Contributions for Clinical Faculty	
<p>High Merit (4.0)</p> <p>Assumes fulfillment of Merit Plus requirements</p>	<p>Demonstrates high-quality teaching through all of the following (documentation could be via qualitative or quantitative measure of student learning or outcomes, peer reviews of teaching, syllabi and assignments and self-development critical review):</p> <ul style="list-style-type: none"> • Designing instruction aimed to enhance learning outcomes (e.g., experiential learning activities, critical incident projects, community projects, service learning). • Providing effective (clinical) supervision (e.g., grounded in developmental models, utilizing and applying current research,

	<p>providing instruction in current techniques, providing consistently clear and constructive feedback).</p> <ul style="list-style-type: none"> • Measuring student learning outcomes (e.g., exam scores, performance on assignments, portfolios, and analysis of student work products, pre/post tests). • Identifying strategies to enhance student success (e.g., engaging students in self-reflection, overseeing peer group mentoring). <p>AND at least TWO of the following:</p> <ul style="list-style-type: none"> • Supervises research or projects (e.g., directs/codirects thesis, directs community engagement/service learning projects). • Achieves widely recognized teaching or (clinical) supervision success, such as receiving a teaching/supervision award at the local, state or national level. • Presents or publishes innovations related to teaching pedagogy, or (clinical) training in local, state or national professional venues. • Leads professional development opportunities related to teaching, pedagogy or (clinical) training. • Develops and successfully delivers a new course at the request of the unit or Colleges or significantly redesigns an existing course (e.g., converting a face to face course to hybrid or on line delivery). • Acts as a peer reviewer of teaching or (clinical) supervision for two or more colleagues. • Provides supervision to advanced trainees who supervise beginning students in their clinical practice.
<p>Merit Plus (3.5)</p> <p>Assumes fulfillment of Merit requirements</p>	<p>Demonstrates high-quality teaching in two of the following (documentation could be via qualitative or quantitative measure of student learning or outcomes, peer reviews of teaching, syllabi and assignments and self-development critical review):</p> <ul style="list-style-type: none"> • Designing instruction aimed to enhance learning outcomes (e.g., experiential learning activities, critical incident projects, community course projects, service learning). • Providing effective (clinical) supervision (e.g., grounded in developmental models, utilizing and applying current research, providing instruction in current techniques, providing consistently clear and constructive feedback). • Measuring student learning outcomes (e.g., exam scores, performance on assignments, portfolios, and analysis of student work products, pre/post tests). • Identifying strategies to enhance student success (e.g., engaging students in self-reflection, oversee peer group mentoring). <p>AND at least TWO of the following:</p> <ul style="list-style-type: none"> • Supervises or participates in research or projects (e.g., serves as thesis committee member, directs community engagement/service learning projects). • Achieves recognized teaching or (clinical) supervision success, such as receiving a local, state or national award or nomination for an award requiring multiple sources of support. • Presents or publishes innovations related to teaching pedagogy, or clinical training in local, state or national professional venues. • Leads or attends significant professional development opportunities

	<ul style="list-style-type: none"> related to teaching, pedagogy, or (clinical) training. • Develops and successfully delivers a new course at the request of the unit or Colleges or significantly redesigns an existing course. • Acts as a peer reviewer of teaching or (clinical) supervision for a colleague. • Provides supervision to advanced trainees who supervise beginning students in their clinical practice.
<p>Merit (3.0)</p> <p>Assumes fulfillment of Satisfactory requirements</p>	<p>Demonstrates quality teaching, through at least two of the following (documentation could be via qualitative or quantitative measure of student learning or outcomes, peer reviews of teaching, syllabi and assignments and self-development critical review):</p> <ul style="list-style-type: none"> • Designing instruction aimed to enhance learning outcomes (e.g., experiential learning activities, critical incident projects, community course projects, service learning). • Providing effective (clinical) supervision (e.g., grounded in developmental models, utilizing and applying current research, providing instruction in current techniques, providing consistently clear and constructive feedback). • Measuring student learning outcomes (e.g., exam scores, performance on assignments, portfolios, and analysis of student work products, pre/post tests). • Identifying strategies to enhance student success (e.g., engaging students in self-reflection, oversee peer group mentoring, writing multiple letters of recommendation). <p>AND at least ONE of the following:</p> <ul style="list-style-type: none"> • Supervises or participates in research or projects (e.g., serves as thesis committee member, directs community engagement/service learning projects). • Achieves recognized teaching or (clinical) supervision success, such as receiving a teaching/supervision award, or nomination for an award requiring multiple sources of support. • Presents or publishes innovations related to teaching pedagogy, or clinical training in local, state or national professional venues. • Attends professional development opportunities related to teaching, pedagogy or (clinical) training. • Develops and successfully delivers a new course at the request of the unit or Colleges or significantly redesigns an existing course. • Acts as a peer reviewer of teaching or (clinical) supervision for a colleague. • Provides supervision to advanced trainees who supervise beginning students in their clinical practice. • Requests and receives a peer review of teaching or clinical supervision. • Teaches a first-time prep.
<p>Satisfactory (2.0)</p>	<p>Demonstrates acceptable teaching and clinical supervision with pedagogically sound instructional practices including the following:</p> <ul style="list-style-type: none"> • Demonstrates support and respect to students (e.g. writing a letter of recommendation). • Provides an adequate learning environment. • Distributes an appropriate syllabus (as defined by the unit, Colleges and university) at the first meeting of the class. • Meets with the class and clinical supervisees at the scheduled times

	<p>unless there are extenuating circumstances.</p> <ul style="list-style-type: none"> • Incorporates context and functional area requirements (e.g., APA standards) into appropriate courses as defined by the Colleges' and unit's curricular missions. • Incorporates library and computer resources into appropriate courses as defined by the College and unit curricular missions. • Being accessible to students according to university policy. • Returns graded examinations and assignments and supervisory feedback in a timely manner. • Posts final course grades in a timely manner.
Unsatisfactory (1.0)	<p>Demonstrates unsatisfactory teaching or clinical supervision through many of these characteristics:</p> <ul style="list-style-type: none"> • Demonstrates poor quality teaching or clinical supervision. • Fails to meet satisfactory criteria detailed above. • Violates the professional student-teacher relationship.

CATEGORY 2. SERVICE

Note: If job requirements match particular categories listed below, they should be weighed more heavily in evaluating performance. See —[Remark for Faculty Members with Administrative Responsibilities](#) in the Procedures document.

Service	
High Merit (4.0)	<p>Meets two of these at High Merit Level and at least two others at Merit Plus Level or higher.</p> <ul style="list-style-type: none"> • Committee Service—Makes vital service contributions to or takes a leadership role in university/Colleges. Colleges' committees or community; membership often by faculty election or dean appointment; serves on state, regional, national or international committees. • Community Outreach/Service—Takes leadership role in forging wide-ranging community partnerships. • Administrative Service/Duties—Creates and/or implements new administrative programs or procedures or training and supervision techniques that benefits the unit, Colleges, university and profession. • Mentoring—Participates in the quality review and improvement of mentorship models. • Editorial Activities—Leadership role as Editor/Associate Editor of a peer-reviewed journal, edits a book with a scholarly press. • Professional Development Activities—Disseminates new ideas in the discipline(s), major content revisions or clinical advancements through publications (e.g., invited chapter in a widely used text or peer-reviewed journal article as lead author) and special recognition at conferences (e.g., invited keynote speaker). Submits and receives grants for teaching, clinical training and supervision and/or community engagement. • Other—At least one of the following: applies for and received community-based grants or awards, participates in special community projects; non-committee service to the profession at

	state, regional or national levels (e.g., officer in professional organization), etc.
Merit Plus (3.5)	<p>Meets two of these at Merit Plus Level (or one at Merit Plus and one at High Merit level) and at least one at Merit Level.</p> <ul style="list-style-type: none"> • Committee Service—Makes meaningful contributions to time-consuming committees, with crucial roles. • Community Outreach/Service—Initiates and develops community outreach activities. • Administrative Service/Duties— Makes vital contributions to administrative programs or procedures or training and supervision techniques that benefits the unit, Colleges, university and profession. • Mentoring—Initiates helping and mentoring colleagues in a structured and systematic manner; serves as external reviewer for promotion cases, awards. • Editorial Activities – Serves on an editorial or textbook review board, edits thematic edition of a peer-reviewed journal. • Professional Development Activities—Disseminates new ideas and content through seminars, conference presentations and workshops; publishes in peer-reviewed journals as co-author; submits proposals for grants; development work promoting enhancement of teaching and student learning. • Other—Applies for community-based grants and awards; non-committee service to the profession at the university level.
Merit (3.0)	<p>Meets at least three of these at Merit level (or two at Merit and one at Merit Plus or higher).</p> <ul style="list-style-type: none"> • Committee Service—Serves actively on unit or Colleges' committees with specific or purpose-driven functions; enhances faculty profile; volunteers for service such as convocation, etc. • Community Outreach/Service—Actively and regularly participates in community outreach activities. • Administrative Service/Duties—Actively participates in administrative programs or procedures or training and supervision techniques that benefit the unit, Colleges, university and profession. • Mentoring—Contributes positively and regularly to the professional development of colleagues. • Editorial Activities – serves as an Ad Hoc reviewer for conference abstracts, peer reviewed journals, reviews book proposals or manuscripts for scholarly press. • Professional Development Activities—Shares knowledge with colleagues through formal and informal means (e.g., publishes in non-peer-reviewed journal, book reviews). Collaborates on proposals and workshops.
Satisfactory (2.0)	<p>Meets at least three of these at Satisfactory level (or two of these if one meets Merit or higher).</p> <ul style="list-style-type: none"> • Committee Service—Serves actively on unit or Colleges' committees, participates in a supportive faculty environment, attends meetings, etc. • Community Outreach/Service—Participates in community outreach activities. • Administrative Service/Duties—Completes duties in a satisfactory manner. • Mentoring—Contributes to the professional development of colleagues.

	<ul style="list-style-type: none"> • Professional Development Activities—Attends workshop or conference related to discipline(s).
Unsatisfactory (1.0)	<ul style="list-style-type: none"> • Committee Service—No evidence of active service. • Community Outreach/Service—Does not participate in or does not contribute positively to community outreach/service. • Administrative Service/Duties—Fails to perform duties in a satisfactory manner. • Mentoring—Does not contribute positively to professional development of others. • Professional Development Activities— No evidence of professional development activities.

Rating¹	Annual Review Score	Description
(4.0) High Merit	3.75 – 4.00	Performed at an outstanding level
(3.5) Merit Plus	3.25 – 3.74	Performed at a superior level
(3.0) Merit	2.75 – 3.24	Exceeded satisfactory expectations
(2.0) Satisfactory	2.00 – 2.74	Competently fulfilled responsibilities
(1.0) Unsatisfactory	1.00 – 1.99	Failed to perform competently

¹ The numeric ratings in parentheses will be reported to the Dean of the Colleges. What is then forwarded to the Provost's Office will be whole numbers only, with merit plus being reported as a 3.

