



<b>College</b>	<b>The College of Liberal Arts and Sciences</b>
<b>Unit</b>	<b>School of Mathematical and Statistical Sciences</b>
<b>Document</b>	<b>Promotion and Tenure Policies for Track Faculty</b>

**Unit and college approval**

<b>Date of approval by the faculty</b>	<b>March 19, 2026</b>
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**Provost office approval**

	
<b>Vice Provost for Academic Personnel Patricia Friedrich</b>	<b>Date April 10, 2026</b>

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

**Preamble**

**1. Approval Process**

For the purpose of approving, altering, amending, or repealing this promotion document, a track faculty quorum must be present. A quorum is defined as one-half of the tenured faculty members who hold appointments that are at least 50% in in the School of Mathematical and Statistical Sciences (SoMSS).

Voting on this document shall be conducted by secret ballot. All faculty members counted toward the quorum are eligible to vote. For each vote, eligible voters may choose between “approve,” “disapprove,” and “abstain.” An action is approved if at least two-thirds of the quorum members casting votes, excluding abstentions, vote “approve.” If all eligible voters abstain, the action is not approved.

This document will become effective upon approval by SoMSS faculty and upon approval by the University. Any alterations or amendments to this document shall become effective upon approval by the SoMSS track faculty and by the University. This document may be repealed upon approval by the track faculty. Proposals for alterations or amendments must be made available to all members of the voting group at least eight days prior to the date of the vote. In the case of an online ballot, the materials must be made available at least eight days before the ballot closes.

**2. Mission Statement and Objectives of the School of Mathematical and Statistical Sciences**

The mission of the School of Mathematical and Statistical Sciences is to conduct programs of research and instruction (both at undergraduate and graduate levels) in the broad areas of applied and theoretical mathematics, statistics, data science, actuarial sciences, and mathematics education. Beyond traditional disciplinary research and instruction, our contributions in interdisciplinary programs are increasingly significant, often focusing on externally funded multidisciplinary approaches to analyze and solve major problems in science and engineering. In addition to research and instruction, the School aims to foster connections with professional programs and the community through outreach programs, and the development of instructional programs that serve its constituents, including, but not limited to, teacher preparation, the actuarial profession, and online programs. The broader SoMSS objectives are to demonstrate the contributions to society made by SoMSS and the mathematical sciences in general, while aligning with the ASU Charter’s commitment to inclusion, advancing research, and assuming fundamental responsibility for the communities we serve. These objectives also support the university’s overall educational mission to foster mathematical thinking and proficiency in students taking courses in all modalities and from multiple client disciplines across the campus.

**3. SoMSS Values in Support of the ASU Charter**

ASU is committed to maintaining and enhancing a collaborative and inclusive community. All faculty members are responsible for helping to ensure that these goals are achieved. Academic contributions of faculty members in research, teaching, and service or outreach that promote inclusion and impact on the ASU Charter are valued in the consideration for all cases of promotion and tenure, tenure, or promotion and should be recognized, evaluated, and credited in the academic personnel process along with other achievements.

## I. Definitions

- A. **Track faculty.** includes all persons on tenured or tenure-eligible lines at ASU holding the rank of professor, associate professor, or assistant professor with appointments in SoMSS.
- B. **The Promotion Committee.** for the track faculty shall be the Personnel Committee, as described in the By-Laws.
- C. **Ad-hoc Review Committee.** A three-member *ad hoc* review committee for each track faculty member considered for promotion, tenure, or promotion and tenure, is a committee appointed by the School Director, for the coming academic year, after consultation with the current Personnel Committee. It shall consist of faculty at or above the rank to which the candidate aspires. It shall contain at least one continuing member of the Personnel Committee, at least one faculty member in the candidate's research specialty (if possible), and at least one faculty member in another area of the mathematical sciences. If the member of the PC is in the candidate's research specialty, that person generally serves as Chair of the ad hoc review committee. If the PC member is not in the research area of the candidate, generally the person on the committee with the closest expertise to the candidate shall chair the ad hoc review committee. None of the members of the ad hoc review committee should be on leave during the time that the promotion case is considered within the SoMSS.
- D. **Appropriate Members of the Promotion Committee.** The term "appropriate members" of the Promotion Committee refers to all members of the Promotion Committee at or above the rank to which the candidate aspires.
- E. **Appropriate Members of the Faculty.** The term "appropriate members" of the track faculty refers to all members at or above the rank to which the candidate aspires. When a candidate is considered for promotion and tenure to the rank of Full Professor, the appropriate faculty for review shall consist of all current tenured Full Professors. When a candidate is considered for promotion to the rank of Associate Professor with tenure, the appropriate faculty for review shall consist of all current tenured Full Professors and tenured Associate Professors.

## II. Categories Addressed In this Document

- A. For track faculty, the promotion and tenure discussion applies to cases for tenure and promotion for Assistant Professors and Associate Professors without tenure, and promotion for Associate Professors with tenure.
- B. Probationary faculty refers to those non-tenured track faculty members in the last year of a probationary appointment, and for whom the consideration of promotion and tenure is automatic unless the faculty member requests in writing that the consideration process be halted in accordance with university policy governing such action. Candidates in the last year of a probationary appointment must submit a letter of resignation in order to avoid the tenure process.

## III. General Procedures for Promotion, Tenure, and Promotion and Tenure

For tenure-track faculty, the latest version of the university promotion and tenure policies applies. The policies are described in ACD 506–05: Faculty Promotion.

**A. General Principles for the Review**

- i. Consistent with the ASU Charter and within parameters set by the Provost, the review process should appropriately recognize efforts that advance the School's and University's mission of inclusive excellence, educational access, and societal impact.

**B. Timeline for Application for promotion and tenure, for tenure or for promotion.**

- i. Requests for promotion and tenure, for tenure, or for promotion should occur at the time as specified by university and college policies.
- ii. Probationary faculty are automatically considered for promotion and tenure unless the faculty member requests in writing that the consideration process be halted in accordance with university policy governing such action. Candidates in the last year of a probationary appointment must submit a letter of resignation in order to avoid the tenure process.
- iii. The School Director will inform all eligible faculty of:
  - 1. The procedures for consideration of a promotion, tenure, or promotion and tenure request
  - 2. A date, no sooner than two weeks after the initial notification of the procedures, by which they must notify the School Director of their desire to be considered for promotion, tenure, promotion and tenure, or probationary review.
  - 3. The date by which all materials must be submitted for consideration of the specific request.

**C. Required Materials for Evaluation of Candidates**

- i. Materials supplied by the candidate.
  - 1. Tenure-track faculty desiring promotion and tenure, tenure, or promotion, shall supply the School Director with all the materials as specified in the university promotion and tenure policies by the date specified by the Director.
  - 2. In support of SoMSS' values, all candidates for promotion and tenure, tenure, or promotion, are encouraged to include a specific discussion of their contributions to, and impact on, the ASU Charter, in their application portfolio.
- ii. External Reviewer Letters for track faculty.
  - 1. All external reviewers should have sufficient experience in the discipline to judge the candidate's research: for example, an assistant professor should not be asked to review the work of a candidate for associate professor. Professor reviewers are strongly preferred even for those being considered for associate professor and/or tenure. The list of exceptions for potential reviewers includes the candidate's Ph.D. advisor, postdoc advisor(s), and the candidate's co-authors or co-PIs. Further constraints on acceptable external evaluators may be specified in the latest version of the university promotion and tenure policies, and by The College.
  - 2. The candidate shall provide a list of the required number of names of potential external evaluators.
  - 3. The *ad hoc* review committee provides the School Director with the required number of recommendations for external evaluators.
  - 4. Taking the recommendations of the *ad hoc* committee under advisement and consulting with the Dean, the School Director selects the required number of external reviewers, exactly half of whom come from a list of external reviewers proposed by the candidate.

5. The School Director contacts the external reviewers according to the latest version of the university promotion and tenure policies.

**D. Discussion by appropriate faculty.**

- i. With precise dates governed by the College's calendar for promotion and tenure, tenure, and promotion, decisions, but no later than ten business days before the College deadline, the Chair of the Promotion Committee calls a meeting of the appropriate members of the faculty for a discussion of the candidate's record relative to the School's standards for promotion, tenure, or promotion and tenure.
- ii. Each *ad hoc* committee summarizes the evidence about the candidate's case for discussion by the faculty.
- iii. Each candidate shall be discussed and evaluated based on their individual qualifications.
- iv. Appropriate members unable to attend the meeting may submit written comments to the Chair of the Promotion Committee; comments that have been submitted in a timely manner shall be read at the meeting.
- v. The discussion of the candidate's record at the meeting shall include a careful analysis of the reports of the external reviewers and the conclusions to be drawn from these reports.
- vi. Candidates shall not be ranked.
- vii. Following discussion of each aspect of each candidate's application, an advisory vote is taken by secret ballot with space for comments; only appropriate members who are present at the meeting may vote.
- viii. Appropriate members who attend the meeting are required to sign a statement that they were present at the meeting; this statement shall be kept confidential except in the event of an appeal by the candidate.

**E. Summary statements.**

- i. Taking into consideration all available evidence of
  1. the strengths and weaknesses of the candidate's record,
  2. the assessments of the merits of the candidate's performance by the appropriate members, and,
  3. the reports of the external reviewers,
  4. the appropriate members of the Promotion Committee decide whether to recommend the candidate for promotion and tenure, tenure or promotion and tenure.
- ii. The Promotion Committee prepares for the appropriate members a summary statement providing the rationale for its decision; the summary statement shall include the outcome from the faculty advisory vote, the committee vote, and shall clearly articulate the majority and minority opinions.
- iii. The Promotion Committee summary statement shall be made available to the appropriate members for comments in a timely manner before it is sent to the College.
- iv. Independently, but informed by the recommendation of the Promotion Committee, the School Director decides whether to recommend each candidate for promotion and tenure, tenure or promotion, and prepares a separate summary statement for each candidate providing the rationale for this decision.
- v. For track faculty, the summary statements should not include the names or affiliations of the external reviewers.

**F. Notification of Recommendations and Final Decision.**

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

**G. Confidentiality.**

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

**IV. Criteria for Evaluation of Instruction, Service and Research**

For all candidates, whether evaluated in teaching, research, or service, the overall impact on any aspect of the ASU Charter is considered. Faculty are encouraged to document their activities which have a positive impact in areas of the ASU Charter.

**A. Research and Creative Activities**

Activities that are recognized as contributing to research in the mathematical sciences, include, but are not limited to.

- i. Survey articles
- ii. Refereed publications in reputable journals, and articles submitted for publication
- iii. References to the candidate's research appearing in publications by experts in the research area. It should be noted that citation rates, as well as the time scale over which they accrue, vary by sub-discipline within the mathematical sciences and thus citation counts by themselves are problematic as a metric to judge merit
- iv. Presentation of papers at professional meetings and conferences, particularly when the presentation is invited
- v. Invitations to present colloquia and seminars at other universities and research institutions
- vi. Funding and attempts at obtaining funding for research from external sources, to the extent that the funding testifies to the quality of the research. It should be noted that in many areas of the mathematical sciences, external funding is very difficult to obtain. When research grants are available, the dollar amounts often vary substantially by sub-discipline
- vii. Textbooks relating to mathematics, statistics, and mathematics education
- viii. Contributions to research development of trainees from all groups, including trainees from groups that are traditionally underrepresented in the mathematical sciences, and including supervising theses and dissertations
- ix. Honors and awards for research and creative activity in the mathematical sciences

**B. Teaching**

Activities that are recognized as contributing to instructional activities in the mathematical sciences, include, but are not limited to,

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

- iii. Development of new courses and curriculum development
- iv. The development of instructional materials (e.g., textbooks, laboratory manuals, online materials) which can be used by other instructors of in-person or online courses
- v. Publication of textbooks
- vi. Mentoring, and advising all trainees, including trainees from groups traditionally underrepresented in the mathematical sciences, and including directing independent studies projects, honors theses, masters projects and theses, and doctoral dissertations
- vii. Participating in extended education and distance learning
- viii. Performing learning outcome assessment activities and other instructional or pedagogical innovations appropriate to SoMSS
- ix. Participating in or leading activities designed to demonstrate impact on all groups of students, including adapting teaching styles and class formats
- x. Obtaining external funding for development of instructional materials
- xi. Advising student organizations
- xii. Participation in instruction involving mathematics education at the elementary and secondary levels

### **C. Service**

Activities that are recognized as contributing to service activities in the mathematical sciences, include, but are not limited to,

- i. Significant participation in, and/or chairing of, School, College, or University committees
- ii. Serving as editor or associate editor for refereed journals
- iii. Serving as officer in a national or international scholarly society
- iv. Organizing a national or international conference
- v. Editing conference proceedings
- vi. Reviewing articles for review journals
- vii. Reviewing proposals for external funding agencies
- viii. Developing internship programs
- ix. Consulting for other members of the University or industrial community
- x. Administration of graduate qualifying and comprehensive examinations
- xi. Participation in programs improving education in the mathematical sciences at the elementary, secondary, or college level
- xii. Course coordination in multi-section classes
- xiii. Managing or assisting in the implementation of on-line homework and/or instructional materials for the benefit of other instructors and students
- xiv. Participation in outreach programs to the community
- xv. Participating in training/mentoring sessions for new faculty and/or teaching assistants on tasks such as effective teaching strategies and appropriate use of technology in the curriculum
- xvi. Contributions to service and outreach activities promoting the ASU Charter in the mathematical sciences

## **V. Criteria for Promotion and Tenure, Tenure, or Promotion**

### **A. Tenure for Track Faculty and Promotion to Associate Professor (with tenure)**

To be recommended for tenure in the School of Mathematical and Statistical, a track faculty member must establish a record of excellence and creativity in scholarly research, must demonstrate excellence in teaching, and must participate in service to the University, the

profession, and the community. In assessing the merits of a candidate's record, research and teaching are weighted more heavily than service. An excellent record in teaching or research can compensate for a positive but not outstanding record in the other; however, an outstanding record in one area cannot offset a poor record in the other.

i. Research and Creative Activities

1. A candidate for tenure is expected to have a strong record in research and to show promise of becoming a leading researcher and scholar in the mathematical sciences, as described in IV.A. As noted from the [ACD 202-01: Faculty Responsibilities](#) "Research and creative activities encompass all scholarly work, including the scholarship of discovery, integration, application, and instruction."
2. The objectives of the review of research are to evaluate the creativity and significance of the individual publications and to ascertain whether the body of work constitutes a substantial and continuing contribution to the research area. Written evaluations of the research provided by external reviewers who are experts in the candidate's research area play an important role in the review.
3. Research is judged primarily by the quality of research publications in reputable refereed journals, including both published papers and those accepted for publication. As researchers take different approaches to scholarship, no quota for an acceptable number of publications is used. The significance and impact of the results are more important than the number of publications. Some faculty members choose to publish in refereed conference proceedings or research monographs rather than in refereed journals; these outlets for research vary widely in quality, and the Promotion Committee shall determine the research contribution of these publications.
4. In collaborative research in the mathematical sciences, co-authors are often listed in alphabetical order, especially in theoretical research journals. For co-authored publications, the merit of the individual's contribution to scholarship shall be determined to the extent possible.

ii. Teaching

1. Successful candidates for tenure are expected to have demonstrated excellence in teaching. The primary criterion for teaching excellence is the candidate's performance in teaching courses in the School of Mathematical and Statistical Sciences.
2. Quality of teaching and instruction are assessed through multiple indicators as described in IV.B. By ABOR policy, student evaluations must form part of the evidence for assessing teaching excellence. Note that directing graduate student research, though not required for promotion, is weighted more heavily for promotion to professor than for promotion to associate professor. Examples of evidence in teaching are provided on the Provost's website [ACD 202-01: Faculty Responsibilities](#).

iii. Service

1. At the time of consideration for tenure, a candidate shall have developed a record of effective service in the School of Mathematical and Statistical Sciences, the profession, or the community, as described in IV.C. As noted in ACD202-01, service is a vital component of faculty responsibilities, encompassing contributions to the university, the academic profession, and the broader community. Service to the university includes participation in internal

committee work, faculty governance activities, and efforts to foster a collegial atmosphere at all levels of university interaction. Faculty are also expected to engage in activities that support ASU Charter initiatives and advance departmental goals, particularly those aimed at fostering a supportive environment for all students. More broadly, service activities should reflect ethical and professional behavior, as outlined in Board of Regents, university, and academic unit policies.

2. Service to the academic profession includes conducting external reviews for journals, academic presses, foundations, and other scholarly and creative venues; holding offices in academic professional organizations; and pursuing other activities as determined by the unit.
3. Public/community service is an extension of the faculty member's research and teaching activity to the larger community outside the university.

#### **B. Promotion to Professor from Associate Professor**

Expectations for research, teaching, and service increase with rank primarily through expanded scope, leadership, and impact rather than through increased workload alone. While assistant and associate professors are expected to demonstrate effectiveness and meaningful contributions in all three areas, promotion to full professor requires evidence of sustained contributions in research, teaching, and service that extend beyond individual activities and reflect broader influence on the discipline, academic programs, or institution. Supervision of graduate student research, though not required for promotion, is weighted more heavily for promotion to professor than for promotion to associate professor.

Examples of such criteria for promotion to professor include (but are not limited to):

- i. a broadening or deepening of the candidate's research program since promotion to associate professor;
- ii. increased visibility of the research on the national or international scene, as indicated by
  1. Invited talks,
  2. Research visits,
  3. Major grants,
  4. Editorial work.

Activities that indicate a candidate's greater impact in teaching include:

- i. Leadership in curriculum design or reform,
- ii. Sustained mentoring of junior faculty, postdocs, and graduate students,
- iii. Oversight of mission-critical courses,
- iv. Development of instructional materials or structures that are used beyond one's own classroom (e.g., shared notes, assessment frameworks, instructional videos).

Activities that indicate a candidate's greater impact in service include:

- i. Chairing key School committees,
- ii. Serving as program director or area coordinator,
- iii. Leading initiatives that affect faculty hiring, mentoring, curriculum, or student success,
- iv. Representing SoMSS at the college, university, or national level in ways that enhance its impact and reputation