



### Confirmation of Approval

<b>College</b>	<b>College of Liberal Arts and Sciences</b>
<b>Unit</b>	<b>School of Molecular Sciences</b>
<b>Document</b>	<b>Procedures and Policies</b>

The attached document has been approved by the provost's office.

	
<b>Deborah Clarke, Vice Provost for Academic Personnel</b>	<b>Date</b>

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**College of Liberal Arts & Sciences**  
**Procedures and Policies (including promotion criteria)**  
**School of Molecular Sciences**

Approved by the dean on August 13, 2015, revisions approved on October 09, 2015

Approved by the faculty assembly of the school on October 6, 2015

Approved by the provost on October 13, 2015

## **School of Molecular Sciences Procedures and Policies**

(approved by the SMS faculty on October 6, 2015)

### **Mission Statement**

The School of Molecular Sciences promotes academic excellence in teaching, research and service. We provide our students with the knowledge and resources to succeed in both industry and academia. Our dedicated faculty and staff are committed to advancing the School of Molecular Sciences and Arizona State University as leaders in scientific instruction and research within our local and international communities.

### **Promotion Criteria for Tenure-Track and Tenured Faculty**

#### **Promotion from Assistant Professor to Associate Professor**

A tenure-track faculty member will normally be considered for promotion from Assistant to Associate Professor with tenure in the sixth year in rank. Promotion at an earlier time may be considered under the same criteria as those expected for promotion in the sixth year. Faculty have a responsibility to the university to be effective in teaching, research, scholarship, and service as appropriate to their workload assignment (ACD204-01). A case for promotion must demonstrate excellence beyond effectiveness. Excellence may be evidenced by multiple examples from among the following:

1. Active involvement in undergraduate education: mentoring/advising students, undergraduate classroom instruction
2. Active involvement in graduate education: mentoring MS/Ph.D. students, graduate classroom instruction and seminars, mentoring of postdoctoral fellows
3. A creative, independent and productive program of research in a significant area of molecular science or science related to the unit's research agenda, visibility in this field at a national or international level, and the potential to sustain and improve this program, as evidenced by multiple examples from among the following:
  - a. A significant body of refereed publications in high-impact primary journals for the field, and/or in general journals, reporting original research--ideally conducted at Arizona State University--that has substantially enriched the science
  - b. Substantial peer-reviewed grant support from one or more of the major funding agencies, some of which may be collaborative
  - c. Invited and/or contributed presentations at the important meetings/conferences of the investigator's field and/or seminars at major research universities
  - d. Awards of United States or international patents
4. Conscientious and effective performance in service assignments, which may include university service, external service to professional organizations and journals, and service in scientific review processes.

### **Promotion from Associate Professor to Professor**

It is natural for faculty members to vary in the time required to attain the appropriate level of achievement. Thus, promotion is based neither on promise nor longevity. Faculty have a responsibility to the university to be effective in teaching, research, scholarship, and service as appropriate to their workload assignment (ACD204-01). Faculty seeking promotion to full Professor will have a record of dedicated teaching contributions to both undergraduate and/or graduate courses. A case for promotion must demonstrate excellence beyond effectiveness. Excellence may be evidenced by multiple examples from among the following:

1. Sustained involvement in undergraduate education and mentoring
2. Sustained involvement in graduate education, including mentoring of graduate students and/or postdoctoral fellows, a record of successful mentoring of graduate students to degree completion, and evidence of successful career placement after graduation
3. Recognition as a major intellectual force in one or more significant areas of research as demonstrated by multiple examples from the following list:
  - a. A substantial body of refereed publications in high-impact primary journals for the field, and/or in general journals, reporting research that has significantly enriched the field
  - b. Continuing and substantial peer-reviewed grant support from one or more of the major funding agencies
  - c. Invited presentations at the important meetings and conferences of the investigator's field and/or at major research universities; invitations to contribute to distinguished review publications
  - d. Service on important scientific review boards and/or panels, editorial and advisory boards and committees, and in professional organizations
  - e. Awards of United States and international patents
4. Involvement in leadership activities in the university, including chairing important committees at the unit, college or university level; demonstration of leadership roles in professional societies, such as chairing or organizing sessions at national symposia, memberships on national committees, holding offices in professional societies; appointments to important review bodies for governmental agencies, such as review panels; important editorial assignments for respected journals or other publications in the discipline.

### **Procedure for Promotion of Tenure-eligible Faculty**

A meeting of faculty members above the rank of the candidate shall be held to discuss the case. The discussion will be led by a member of the Personnel and Budget Committee whose role is to ensure that all aspects of the case are thoroughly discussed. A secure secret vote will be opened online following the meeting and the poll will remain open for one week. For the voting period as it relates to the promotion and/or tenure of tenure-eligible faculty, the Personnel and Budget Committee shall be expanded to include all faculty members above the rank of the candidate who were present at the meeting when the case was discussed, where "present" may include participation by electronic means. Such committee members may vote on the

case during the designated voting period. At the conclusion of the voting period, the Personnel and Budget Committee reverts to its elected/appointed membership and prepares a summary of the case which reflects the numerical result of the vote, the discussion of the faculty at the meeting, and a summary of the minority opinion. The letter should offer a clear recommendation on the issue of promotion and/or tenure. The summary letter shall be read and signed by all faculty who voted on the case (i.e. the expanded Committee). The Unit Director prepares an independent letter evaluating the case. Both letters are included in the promotion/tenure portfolio sent to the Dean of the College.

### **Promotion of Fixed-Term Faculty: Research Professors, Clinical Professors and Lecturers**

Promotion of non-tenure eligible faculty appointments is warranted only when achievements are tangibly demonstrated. Thus, promotion is based neither on promise nor longevity, but on demonstrated excellence. It is natural for candidates to vary in the time required to attain the appropriate level of achievement.

#### **Promotion of Research Professors**

Candidates seeking promotion to Associate Research Professor must have five years in rank at ASU and may count the year of application toward this eligibility requirement. A case for promotion should demonstrate how the candidate has significantly and substantially enhanced the research mission of the unit. Excellence may be demonstrated by multiple examples from among the following:

1. A record of demonstrated, significant contributions to research and scholarship, either through wide dissemination of results or through a convincing record of substantial support to the research enterprise of the unit
2. Demonstrated development of expertise in area(s) of assignment, consistent with the job description
3. Significant contributions to the preparation of successful grant proposals and refereed scholarly manuscripts, where relevant
4. Evidence of excellent mentorship, teaching, laboratory instruction, or supervision of undergraduates, graduate students, or employees whose work is essential to the research enterprise

Candidates seeking promotion to Research Professor must have seven years in rank at ASU and may count the year of application for promotion toward this eligibility requirement. A case for promotion should demonstrate how the candidate's leadership has enhanced the research mission of the unit in a substantial way. Excellence may be demonstrated by multiple examples from among the following:

1. A sustained record of scholarly initiative and recognized contributions to the field
2. Demonstrated proficiency in the management of a research laboratory or related facility
3. Distinctive contributions to nationally or internationally recognized scholarship or evidence of nationally or internationally recognized expertise
4. Demonstrated ability to write or participate significantly in the writing of successful grant proposals and refereed manuscripts
5. Significant contributions to national or international scientific meetings
6. Sustained, demonstrable excellence in mentorship, teaching, laboratory instruction, and supervision of undergraduates, graduate students, or employees whose work is essential to the research enterprise.

### **Promotion for Clinical Professors**

Candidates seeking promotion to Associate Clinical Professor must have five years in rank at ASU and may count the year of application for promotion toward this eligibility requirement. A case for promotion must be linked to excellence and will demonstrate how the candidate has significantly enhanced the instruction of students and/or advanced the goals of the unit in a substantial way. Excellence may be demonstrated by multiple examples from among the following over the period in rank:

1. A record of significant contributions to teaching, not only through superior performance in the laboratory or classroom, but also through the broader support of the University's teaching mission
2. Contributions to the design, development, and/or oversight of curriculum in specific courses
3. Significant involvement in the coordination of curricula in different courses
4. Demonstrated breadth and versatility of teaching in a range of courses
5. Involvement in professional development activities that reflect substantial awareness of the evolution of knowledge and/or curriculum in the discipline

Candidates seeking promotion to Clinical Professor must have seven years in rank at ASU and may count the year of application for promotion toward this eligibility requirement. A case for promotion must be linked to excellence and will demonstrate the candidate's leadership in the enhancement of the instruction of students and/or advancement of the goals of the School in a substantial way. Excellence may be demonstrated by multiple examples from among the following over the period in rank:

1. Significant leadership contributions to teaching, not only through superior performance in the laboratory or classroom, but also through the broader support of the University's teaching mission
2. Leadership contributions to the design, development, and/or oversight of curriculum in specific courses
3. Significant leadership in the coordination of curricula in different courses
4. Sustained breadth and versatility of teaching in a range of courses
5. Facilitation or leadership involvement in professional development activities that reflect substantial awareness of the evolution of knowledge and curriculum in the discipline

### **Promotion for Lecturers**

Candidates seeking promotion to Senior Lecturer must have five years in rank at ASU and may count the year of application for promotion toward this eligibility requirement. A case for promotion must be linked to excellence. Excellence may be demonstrated by multiple examples from among the following:

1. Active participation in the School of Molecular Sciences instructional and curricular development
2. A record of innovation in instruction and instruction-related activities, particularly as it pertains to foundational School of Molecular Sciences courses (e.g., general chemistry, organic chemistry, analytical chemistry, physical chemistry, biochemistry, etc.). This may involve working with campus resources/facilities and/or collaborating with faculty.
3. A record of quality, effective, teaching and above satisfactory teaching as may be evident by such mechanisms as student and/or peer evaluations

#### 4. Conscientious engagement in university service assignments

Candidates seeking promotion to Principal Lecturer must have seven years in rank at ASU and may count the year of application for promotion toward this eligibility requirement. A case for promotion must demonstrate excellence in teaching, professional development, and service to the school, college, university or community. Excellence may be demonstrated by multiple examples from among the following:

1. Scholarly activities that reflect significant involvement in the higher education community. Examples would be regular presentations at national meetings, scholarly publications in well-recognized journals, and/or instructional publications like textbook(s) and laboratory manual(s).
2. Based upon the candidate's scholarly work, a sustained record of innovation in instruction and instruction-related activities, particularly as it pertains to the foundation of the School of Molecular Sciences courses (e.g., general chemistry, organic chemistry, analytical chemistry, physical chemistry, biochemistry, etc.). This may involve working with campus resources/facilities and/or collaborating with faculty at this or other universities
3. Demonstrated experience mentoring and advising faculty in course administration and course content
4. Facility and flexibility in teaching a variety of School of Molecular Sciences courses
5. A sustained record of excellent teaching as may be evident by such mechanisms as student and/or peer evaluations

#### **Procedure for Promotion of Research Professors and Clinical Professors**

The Unit Director may appoint a non-tenure eligible research or clinical faculty member above the rank of the candidate to serve on the Personnel and Budget Committee on an ad-hoc basis for the purpose of annual reviews and reviewing fixed-term faculty promotion cases. The Personnel and Budget Committee reviews the candidate's portfolio, evaluates the case and prepares a letter of recommendation for the Unit Director. The Unit Director prepares an independent letter evaluating the case. Both letters are included in the promotion portfolio and provided to the Dean of the College.

#### **Procedure for Promotion of Lecturers**

The Director may appoint a lecturer above the rank of the candidate to serve on an ad-hoc basis on the Personnel and Budget Committee to participate in the evaluation of lecturer promotion cases and annual evaluations of lecturers. The Personnel and Budget Committee reviews the candidate's portfolio, evaluates the case and prepares a letter of recommendation for the Unit Director. The Unit Director prepares an independent letter evaluating the case. Both letters are included in the promotion portfolio and provided to the Dean of the College.

#### **Promotion of Academic Professionals**

A full list of AP titles is listed in ACD 505-03. APs may hold continuing, probationary, or fixed-term appointments. An AP with a fixed-term appointment may have a year-to-year, multi-year, or rolling multi-year appointment. Promotion of academic professionals is warranted only when achievements are tangibly

demonstrated. Thus, promotion is based neither on promise nor longevity, but on demonstrated excellence.

Promotion criteria for academic professionals depends on the AP's assigned job responsibilities. Guidelines for significant accomplishment are outlined below. APs with probationary or continuing appointment are governed by a process distinct from the one governing APs with fixed-term (non-continuing eligible) appointments. AP candidates should consult with the Unit Director's office to determine which promotion process guide to follow.

The three areas considered in evaluation of all academic professionals seeking promotion are excellence through position effectiveness, professional contributions, and institutional, professional, or community service.

### **Promotion of Academic Professionals from Assistant to Associate Rank**

Candidates for promotion to this rank must have five years in rank at ASU and may count the year of application for promotion toward this eligibility requirement. Candidates for promotion from Assistant to Associate Academic Professional must demonstrate excellence in position effectiveness, continued professional contributions, and growth and involvement in institutional, professional, or community service. Examples are outlined in the categories listed below.

1. If **instruction** is a significant component of the job description, multiple examples from among the following may serve to demonstrate excellence:
  - a. A record of significant contributions to teaching, not only through superior performance in the laboratory or classroom, but also through the broader support of the University's teaching mission
  - b. Contributions to the design, development, and/or oversight of curriculum in specific courses
  - c. Significant involvement in the coordination of curricula in different courses
  - d. Demonstrated breadth and versatility of teaching in a range of courses
  - e. Involvement in professional development activities that reflect substantial awareness of the evolution of knowledge and/or curriculum in the discipline
2. If **research** is a significant component of the job description, multiple examples from among the following may serve to demonstrate excellence:
  - a. A record of significant contributions to research and scholarship, either through wide dissemination of results or through a convincing record of substantial support to the research enterprise
  - b. Demonstrated development of expertise in the area(s) of assignment consistent with the job description
  - c. Significant contributions to the preparation of successful grant proposals and refereed scholarly manuscripts, where relevant
  - d. Evidence of effective mentorship, teaching, laboratory instruction, or supervision of

undergraduates, graduate students, or employees whose work is essential to the research enterprise

3. If **service** is a significant component of the job description, multiple examples from among the following may serve to demonstrate excellence:
  - a. Significant involvement in institutional, professional, or community service work as appropriate
  - b. A record of effective management of facilities used in support of the university's instructional or research missions
  - c. Evidence of extensive collaboration with faculty in their research activities
  - d. Evidence of effective outreach to K-12 schools or the general public
  - e. Demonstrated superior management of instrumentation or equipment facilities that support the research, instructional or outreach missions of the institution

### **Promotion of Academic Professionals from Associate to Full rank**

The term "full" is not usually stated, but is used to designate the highest rank of an academic professional title. Candidates for promotion to this rank must have seven years in rank at ASU and may count the year of application for promotion toward this eligibility requirement. Candidates must demonstrate excellence in position effectiveness, continued growth in professional contributions, and involvement in institutional, professional, and community service activities. Examples are outlined in the categories listed below.

1. If **teaching** is a significant component of the job description, multiple examples from among the following may serve to demonstrate excellence:
  - a. A sustained record of excellence and versatility in the classroom as well as leadership in the design, development, and oversight of curriculum in the discipline
  - b. Demonstrated proficiency in the management of specific courses
  - c. Documented participation in national or international discourse on evolving knowledge in the field, curricular developments, and teaching techniques
  - d. Participation in the solicitation or administration of external funding to support teaching initiatives
  - e. Sustained effectiveness in the mentorship of other teachers, including graduate assistants, other academic professionals, faculty members, or other instructional staff
  - f. Substantive involvement in interdisciplinary teaching efforts or other forms of collaboration or articulation, especially those involving other university departments, community colleges, or high schools
2. If **research** is a significant component of the job description, multiple examples from among the following may serve to demonstrate excellence:
  - a. A sustained record of scholarly initiative and recognized contributions to their fields
  - b. Demonstrated proficiency in the management of a research laboratory or related facility

- c. Distinctive contributions to nationally or internationally recognized scholarship or evidence of nationally or internationally recognized expertise
  - d. Demonstrated ability to write or participate significantly in the writing of successful grant proposals and refereed manuscripts
  - e. Significant contributions to national or international scientific meetings
  - f. Sustained, demonstrable effectiveness in mentorship, teaching, laboratory instruction, and supervision of undergraduates, graduate students, or employees whose work is essential to the research enterprise
3. If **service** is a significant component of the job description, multiple examples from among the following may serve to demonstrate excellence:
- a. Sustained involvement in institutional, professional, or community service work as appropriate
  - b. A sustained record of leadership in management of facilities used in support of the university's instructional or research missions
  - c. Evidence of a leadership role in at least some aspects of their collaborations with faculty in their research activities
  - d. Evidence of organizational leadership in outreach efforts for K-12 schools or the general public
  - e. Demonstration of leadership roles in professional societies, such as chairing or organizing sessions at national symposia, memberships on national committees, holding offices in professional societies, appointments to important review bodies for governmental agencies
  - f. Demonstrated leadership in management of instrumentation or equipment facilities that support the research, instructional or outreach missions of the institution

### **Procedure for Promotion of Academic Professionals**

The Director may appoint an Academic Professional above the rank of the candidate to serve on the Personnel and Budget Committee for the purpose of evaluating Academic Professional promotion cases and annual evaluations for Academic Professionals. The Personnel and Budget Committee reviews the candidate's portfolio, evaluates the case and prepares a letter of recommendation for the Unit Director. The Unit Director prepares an independent letter evaluating the case. Both letters are included in the promotion portfolio and provided to the Dean of the College.

### **Sabbatical Leave Policy**

Whereas sabbatical leaves uniquely provide numerous benefits to the school, college, university, and people of the State of Arizona, such leaves shall be fostered and encouraged by the school. Those who wish to apply for a sabbatical leave are referred to ACD 705 for the university procedures and guidelines. Sabbatical applications should be submitted to the Director's office during the academic year prior to the year in which

the sabbatical is taken, regardless of whether the sabbatical application is for Fall, Spring, or both semesters. The Director's office sends an e-mail to all faculty to notify faculty of the application deadline.

### **Sabbatical Policy for Tenured Faculty and Continuing-Status Academic Professionals**

Tenured faculty members at the rank of Assistant Professor and higher with six years of full-time service and Academic Professionals with Continuing Appointment status (as defined by ACD507-06) with six years of full-time service are eligible to be considered for sabbatical leave. Note: most APs are on fixed-term, not continuing appointments. Please consult with the Director's office for assistance in determining whether your appointment is eligible for sabbatical. Six years of further service following completion of a sabbatical leave shall be required for eligibility for another sabbatical leave. Sabbatical leave shall be either for one or two semesters.

Proposals for sabbatical leave by eligible faculty and academic professionals shall be submitted to the Director's office for review. Evaluation of the application will be based on the proposed activity's contribution to knowledge through publication and presentation, furtherance of research through potential new funding, value to the teaching program, enhancement of the applicant's research and/or teaching effectiveness, value to ASU's reputation, and/or provision of outstanding public or professional service at a local or national level.

1. The Director will recommend to the Dean that the leave be approved if the application is judged worthwhile, there is a high probability of success, and the school's teaching and advisement will be maintained during the candidate's proposed period of sabbatical. If judged to be not worthwhile, the proposal shall be designated as "not recommended."
  - a. Significant changes to an approved sabbatical plan require approval of the Director and Dean and must be submitted in writing to the Director at the earliest possible opportunity.
  - b. If the proposal is not recommended, the applicant will be informed of the reasons and be afforded an opportunity to respond. The proposal will be reconsidered by the Director in light of the applicant's response. The Director shall issue a written response.
  - c. A concise report in accord with college requirements will be submitted to the Director's office and forwarded to the Dean within one semester following return from the leave.

### **Changes to the School of Molecular Sciences Policies and Procedures Guide**

This document should be updated on a regular basis to reflect the most current structure of faculty appointments at ASU. Changes mandated by University policy become effective immediately. Changes motivated by the faculty, bylaws committee or Director will be managed in the same way as for changes to the bylaws. Should a portion of this document become invalid, the rest of the document remains in effect.