


<b>College</b>	<b>The College of Liberal Arts and Sciences</b>
<b>Unit</b>	<b>The School of Human Evolution and Social Change</b>
<b>Document</b>	<b>Policies and Procedures: Promotion and Tenure Guidelines for Tenure-track and Tenured Faculty</b>

**Unit and college approval**

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SHESC POLICIES AND PROCEDURES: PROMOTION AND TENURE GUIDELINES FOR TENURE-TRACK AND TENURED FACULTY

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1. GENERAL PREAMBLE

The faculty members of the School of Human Evolution and Social Change (SHESC) are trained in, work across, and contribute to a broad range of related fields that explore human experiences and the human condition. For many, this scholarly domain centers on anthropology; for others, it includes such fields as epidemiology, sociology, ecology, applied mathematics, computer science, economics, political science, or geography. For those faculty working in anthropology, it must be recognized that even anthropology is a broad discipline that bridges the sciences and humanities and covers a variety of subjects, including, but not limited to, human biology, paleontology, primatology, demography, molecular biology, economics, historical ecology, archaeology, history, and ethnography. In their efforts to understand the nature of human diversity in all its aspects, SHESC faculty use an extensive range of theories, methods, and modes of scholarship. They may variously employ research methods that are laboratory or fieldbased, quantitative or qualitative, archival or contemporary, ethnographic or biological. They may disseminate research results in a broad range of venues: single- and multi-authored books, monographs, reports, journal articles, book chapters, creative exhibits, or well-documented datasets deposited in an accessible digital repository, depending on the norms in their area of inquiry. SHESC faculty thus work within and across a wide range of disciplines with different scholarly criteria that recognize different standards of distinction. For example, while it may be a norm in evolutionary anthropology for the most productive scholars to produce a larger number of multiple co-authored articles in a given research cycle, the most productive senior scholars in social or cultural anthropology in the most prestigious departments nationally produce—at most—one or two single-authored articles per year on average. For those whose work articulates with creative fields, such as visual anthropology, the expected and normal modes of scholarship may include public performances and exhibits. Thus, no single ranking of publication outlets, forms of productivity, or external funding is entirely appropriate or adequate to assess research productivity across all faculty. The performance standards for promotion and tenure in SHESC must be flexible, permitting all faculty members to meet the norms for achievement in their research areas while demonstrating excellence in scholarship and professional distinction. To this end, it is critical that junior faculty develop pre-tenure plans that are relevant to their scholarly modes of inquiry. They can be assessed by criteria and standards of scholarly excellence appropriate to their field of study. A successful case for promotion will include evidence of commitment to ASU’s charter initiatives in instruction and mentoring, research and/or service.

## 2. PROMOTION TO ASSOCIATE PROFESSOR

Promotion to Associate Professor is normally coupled with the award of tenure. However, an untenured Assistant Professor may be promoted but not tenured. Likewise, an Associate Professor hired without tenure may be considered for tenure only. See ACD 506-03 for definitions of the probationary period. The criteria for promotion and tenure consider the realms of research, instruction and mentoring, and service as outlined below.

### 2.1 Research

It is expected that the candidate will have become established as a consistent, credible, and impactful research scholar with an emerging national profile through the development of a coherent and sustained research program. An expected level of productivity could be the publication of one to two scholarly publications/products per year (averaged over time in rank) and submission of grant proposal applications for external funding to establish and pursue a research program and/or creative activities.

Demonstrations of consistent, credible, and impactful scholarship should typically include more than one of the following, as relevant to the candidate's areas of expertise: Sustained publication in peer-reviewed national and/or international journals or peer-reviewed volumes; creative acts (e.g., museum exhibits, catalogs, major edited works); authorship or editorship of peer-reviewed books; receipt of external funding; scholarly prizes or citations; or recognitions for advancing scholarly diversity (including external letters of assessment). Online publications count equally with print publications toward satisfying these criteria if they appear in recognized and professionally refereed online locations. Research products may include reports developed in formal association with government agencies if these reports are available to the public.

Faculty working on large, collaborative, and/or transdisciplinary research projects may be more likely than others to acquire research support from internal center grants or in-kind (in the form of shared equipment or internally allocated research assistants or postdoctoral scholars). They may be more likely than others to appear as senior personnel (rather than as CoPIs) on proposals or to coauthor publications and other scholarly work. SHESC values this scholarship and the tenure process and will take this into account when evaluating credible and impactful scholarship.

Research conducted by some faculty will result in products of significant intellectual accomplishment other than national or international journal publications. Candidates with this form of research trajectory should include documentation explaining the nature of their research profile. Research products could consist of, for example, museum exhibits, catalogs, or major edited or authored works.

Some scholarly publications/products may have broad impacts as indicated by internal and external peer evaluations (such as a significant book published by a prestigious press); the requirement of one to two publications per year may be waived in these cases. Evidence of emerging national recognition for research in the form of reviews, citations, awards, external letters of assessment, and other forms can help demonstrate the candidate's level of recognition.

### 2.2 Instruction and Mentoring

SHESC considers instruction central to our mission. Instruction includes developing and teaching regular in-person and/or online courses, providing experiential opportunities for enrolled students (e.g., field school, study abroad, or as research apprentices), and mentoring. Candidates for tenure and promotion to Associate Professor must demonstrate clear evidence of effectiveness at teaching and *commitment to growth* as an instructor. For tenure and promotion to Associate Professor, this effectiveness is expected in both formal teaching and in mentoring. Consistent efforts in instruction and mentoring to promote ASU's charter initiatives are considered in evaluations of teaching excellence.

Evidence of effectiveness should not be weighted primarily on formal teaching evaluations from students, but should be balanced across multiple lines of evidence. Examples of how effectiveness in formal teaching can be demonstrated include student evaluations of teaching, teaching recognitions/awards, and/or positive evaluation of instructional approaches and materials (e.g., external peer review of online platforms, peer review of classroom teaching).

Mentoring may take place at many levels, including undergraduate students, graduate students, post-doctoral fellows, and junior faculty, and in many places, including in the field or laboratory. Mentoring can include overseeing theses/dissertations, working on collaborative projects, or otherwise supporting students' professional growth. Effectiveness in mentoring can be demonstrated in many ways, and can include the subsequent professional success of mentees, such as advancing to graduate school or appropriate employment. Mentoring effectiveness can also be demonstrated by student awards or recognition, collaborative publications, or successful outreach activities. Supportive letters from mentees can be part of establishing a record of effective mentoring but are not sufficient in themselves to meet these criteria.

Commitment to growth as an instructor is demonstrated by consistency of effort to improve, diversify, and/or innovate one's instruction over time. Evidence of commitment to teaching can take many forms, including improving student evaluations over time, sequential peer reviews of teaching with responsive improvement over time, expanding and innovating modalities and approaches of instruction, and providing greater opportunities for students over time. Engagement with pedagogical training and support (e.g., workshops) is supportive to these criteria, but insufficient in itself to meet it.

Candidates whose record reflects periods of difficulty in effective teaching must document effort toward improvement. This can include steps they have taken to correct these problems, trainings and workshops, student evaluations, peer evaluations, and other means.

### **2.3 Service**

Junior faculty are encouraged to allocate their time to service activities in a way that serves the School and that develops their case for tenure. In their workload percentage planning, they are expected to provide limited service on School committees and, if asked to serve, limited service on campus committees or governing bodies. Service is interpreted to include activities that contribute to the life of the School, the University, the Academy and the community defined broadly. Participation or leadership in professional organizations meets these criteria. Responsibilities to schools, institutes, centers, programs, and other such entities, within the University or outside, also meet these criteria. Service may be reflected in reports developed in formal association with government agencies, in the case of reports archived by the government. At least one form of professional service in addition to reviews of manuscripts or grant proposals is expected.

## **3. PROMOTION TO PROFESSOR**

The rank of Professor is the highest attainable in the academy. Therefore, candidates for promotion to Professor should have achieved national and, ideally, international prominence in their scholarly career. At the Unit Level, the criteria for promotion consider the realms of research, instruction and mentoring, and service as outlined below.

### **3.1 Research**

Faculty who qualify for promotion to Professor must have an established research program with national or international impact including,

- A consistent record of credible, excellent, and cited scholarly outputs while an Associate Professor, as appropriate to the field of study. This generally means 1 to 2 scholarly outputs per year, averaged over time at rank.

- A record of accelerating broader impacts of scholarly activities, such as evidenced by leadership of transdisciplinary and/or multi-institution research teams, receipt of external funding, awards and professional recognition, significant community engagement, science communication, and/or active commitments to advancing ASU's Charter while an Associate Professor,
- Significant work in progress, and
- The elements above should be in addition to those included in the portfolio submitted for promotion to Associate Professor.

Peer-reviewed books, edited or co-edited volumes, chapters in books, and articles are all considered scholarly publications. Online publications count equally with print publications toward satisfying these criteria if they appear in recognized and professionally refereed online locations.

Research conducted by some faculty will result in research products of significant intellectual accomplishment other than publications in national or international journals. Candidates with this form of research trajectory should include documentation explaining the nature of their research profile. Research products could include museum exhibits and catalogs, or major edited works.

Some scholarly publications/products may have very broad impacts as indicated by internal and external peer evaluations (such as a significant book published by a prestigious press) and are given greater weight in evaluating the total research output. Evidence of national or international recognition for research in the form of reviews, citations, awards, external letters of assessment, and other forms can help demonstrate the candidate's level of recognition.

### **3.2 Instruction and Mentoring**

SHESC considers instruction central to our mission. Instruction includes developing and teaching regular in-person and/or online courses, providing experiential opportunities for enrolled students (e.g., field school, study abroad, or as research apprentices), and mentoring. Candidates for promotion to Professor must demonstrate clear evidence of *excellence and impact* as an instructor in both formal teaching and in mentoring. Consistent efforts in instruction and mentoring to promote ASU's charter initiatives are considered in evaluations of teaching excellence.

Evidence of excellence and impact in instruction at this senior level expects competent teaching across multiple levels (e.g., undergraduate, graduate) and/or modalities (e.g., online, immersion, lab, field, study abroad). Adequate scores in teaching evaluations are required but do not demonstrate excellence in themselves. Materials that demonstrate sustained excellence in teaching can include teaching recognitions/awards, peer-reviewed publications related to instruction, instructional innovation, programmatic growth, and curricular leadership.

For promotion to Professor there should be a sustained record of supporting mentees and of substantial impacts related to that mentoring effort. Excellence in mentoring can be demonstrated in many ways, including the diversity of the career paths of the mentees, subsequent professional success of mentees and/or notable products of collaboration with multiple mentees (e.g., mentee awards or recognition, Ph.D. graduation and subsequent professional placements, contributions to ASU's charter initiatives, or collaborative research and publications). Supportive letters from mentees explaining how the mentor assisted in their subsequent successes can be part of establishing a record of excellent mentoring but are not sufficient in themselves to meet these criteria.

### **3.3 Service**

Successful candidates for promotion to Professor will demonstrate active participation in the life of the School, the College, and the University by service on student, School, and/or college committees. They will show a consistent record of service - leadership in the School, University and National/International service activities – including

international impact in professional leadership. Beyond the level of the kinds of service that involve instruction and research, service can be broadly interpreted to mean participation in activities that contribute to the life of the School, the discipline, the University, and the community broadly defined. Leadership in professional organizations does help meet these criteria.

#### **4. PROBATIONARY FACULTY REVIEW**

##### ***4.1 Purpose***

The purpose of a probationary review is to advise a tenure-track professor and SHESC as to whether the professor in review is making adequate progress toward their tenure review. This is normally done in the professor's third year. See ACD 506-03.

##### ***4.2 Probationary Review Packet***

The professor in review will submit a curriculum vitae, sample of publications, instructional materials (see above), and a Personal Statement that addresses each of the three areas of employment (research, teaching, and service). It is advisable for the professor in review to include the ways their research, teaching and/or service reflect ASU's Charter initiatives. This can include work that may not be formally recognized.

In the Personal Statement, the professor in review will identify their research, how they have developed their research agenda, the significance of the research, and the plans to build their scholarship further.

By their probationary year at ASU, the professor should have begun to make a contribution to scholarship in their stated area of research. This contribution may take the form of peer-reviewed journal articles, book chapters, or other scholarly products (as identified by SHESC, see SHESC guidelines above). The professor may submit articles, book chapters, or other forms of scholarship that have been accepted for publication or are under review.

##### **4.2.2 Evaluation of Teaching**

The professor in review shall identify their philosophy of instruction and the ways they have developed their own instructional abilities, thereby enhancing the teaching and mentoring missions of the School and the University. In addition to describing their teaching activities both within and outside of the classroom, the professor should identify teaching activities they would like to engage in, including new courses and innovative methods of instruction or mentoring.

The professor should include summary teaching evaluations of all courses, evidence of undergraduate and/or graduate student mentoring as appropriate, and a peer-review of teaching in the form of a letter from a colleague at ASU.

##### **4.2.3 Evaluation of Service**

Service is defined broadly and includes contributions to the School (committees within SHESC), University (committees within the University), professional societies, and the community (public talks, etc.). The professor in review will submit a narrative that describes their service contributions and outlines their plans for service in the future.

##### ***4.3 Probationary Review Procedure***

The Probationary Review Committee consists of all tenured SHESC faculty. A subcommittee will draft the probationary review letter. The subcommittee is usually formed during a faculty meeting early in the Fall semester. In consultation with one another, the faculty volunteer to form the subcommittee. That subcommittee

will normally consist of three tenured faculty members at the rank of Associate or Full Professor; the committee should include both faculty who are familiar with the work of the professor in review (often from their Approach) and faculty in another Approach who can provide an outside perspective. The SHESC review process will be scheduled in accordance with The College of Liberal Arts and Sciences and ASU schedules of personnel actions.

A professor in probationary review will submit their packet of materials to the School's appropriate administrative staff for transmission to the Probationary Review Subcommittee. The Subcommittee writes an assessment, which is discussed by the full Probationary Review Committee (i.e., all tenured SHESC faculty), who may suggest changes to the assessment. The letter should include a summary statement regarding areas for further growth to be prioritized prior to tenure consideration, and a recommendation to continue/discontinue on the tenure track. The full Probationary Review Committee votes on the recommendation made by the subcommittee in the letter. The vote must be done in person, no proxies are allowed. The assessment is submitted to the SHESC Director who writes their own unit-level assessment.

In preparing the committee letter, the Subcommittee can prepare their review with an eye as to how to present the record of each professor in review most effectively to the Dean (and eventually to the ASU President when they come up for tenure), and to make suggestions as to what the professor should do in the years leading up to tenure review to strengthen their case for tenure as fully as possible.

These letters may in course be released to the candidate if University policy/practice so dictates.

The probationary review packet submitted by the professor in review and the assessments of this packet are passed on to the Dean's Faculty Advisory Committee, which writes an assessment. The packet and all three assessments are passed on to the College Dean, who writes an assessment and recommendation for either 1) a regular contract for the following academic year (and normal continuation toward tenure review), 2) a conditional contract, with specified goals to be met before issuance of a regular contract, or 3) a terminal contract for the succeeding year.

## **5. PROMOTION AND/OR TENURE REVIEW**

### ***5.1 Purpose of Tenure Review***

The purpose of the tenure review (narrowly stated) is to ascertain whether a tenure-track professor has met the criteria for tenure in SHESC. The larger purpose of the tenure review is to assess the prospects for the future success of a tenure-track professor as a tenured Associate Professor at ASU in accordance with SHESC Criteria for Promotion.

### ***5.2 Promotion and/or Tenure Review Packet***

The candidate for promotion and/or tenure will submit a curriculum vitae, sample of four publications, teaching materials (see above), and a four-page Personal Statement that address each of the three areas of employment (research, instruction and mentoring, and service), their interrelationships, and the candidate's future goals. The statement may include the ways their research, teaching and/or service reflect ASU's Charter. This can include work that may not be formally recognized.

The exact content of the packet changes periodically and, therefore, the candidate should review the Provost's website for specific information on what the tenure packet should contain, the format in which it should be submitted, examples of promotion and tenure personal statements, and the schedule for personnel procedures.

The candidate's packet (for example, curriculum vitae, publications, grants, teaching evaluations, degree production, service record) is made available to faculty at or above the rank for which the candidate is being considered sufficiently in advance of the deliberations of the Promotion Committee, so that its members, and the SHESC Director can familiarize themselves with the candidate's credentials.

### **5.2.1 Research Packet**

The candidate submits up to four articles, book chapters, or other forms of scholarship that have been accepted for publication or are under review, in accordance with current rules set by the Provost's Office or ACD manual. As part of their materials to be evaluated by the SHESC Promotion Committee and SHESC Director, the candidate may submit a sample of publications or other research products. However, the candidate must select at least two and no more than four of these products as part of the candidate's packet to be evaluated beyond SHESC (see discussion below).

### **5.2.2 Teaching Packet**

The candidate should include summary teaching evaluations of all courses, evidence of undergraduate and/or graduate student mentoring as appropriate, and a peer review of teaching in the form of a letter from a colleague at ASU. (Additional materials, see SHESC guidelines above).

### **5.2.3 Service Packet**

Service is defined broadly and includes contributions to the School (committees within SHESC), University (committees within the University), national and international service (e.g., professional societies, editorial boards), and the community (public talks, etc.).

## ***5.3 Promotion and/or Tenure Review Procedure***

The School procedures for promotion and/or tenure are structurally the same for all tenure-track faculty, regardless of rank. The faculty member will be evaluated on research, instruction and mentoring, and service. The following guidelines apply to ranked tenured, or tenure-track faculty. The Promotion Committee, based on a full vote of the committee, will provide a recommendation to the SHESC Director, and to the College Divisional Dean/Dean. A recommendation for promotion and/or tenure will proceed as follows:

### **5.3.1 Promotion Committee**

Each candidate will be reviewed by the Promotion Committee (the Promotion Committee conforms to the "Personnel Committee" described in ACD 50605 [2019]). The Promotion Committee for tenure-track faculty will be comprised of all SHESC tenure-track faculty at or above the rank for which the candidate is being considered. The Promotion Committee will be responsible for evaluating the candidate's application for promotion and will prepare a recommendation to support or deny the candidate's application. The committee will evaluate, respectively, all relevant information on the candidate's research, instruction and mentoring, and service, and will transmit the results of its deliberations in the form of a letter to the SHESC Director that includes the yes/no/abstain vote on committee's recommendation that tenure (in the case of an untenured Associate Professor) or promotion and tenure (in the case of an Assistant Professor) be granted or denied. Only those present for the committee's final deliberation may vote; no proxy votes are permitted. All those who vote must sign the promotion committee letter.

### **5.3.2 External Evaluation Letters**

Promotion or tenure of tenure-track faculty requires external evaluation letters that are solicited as described below. The Director will solicit external evaluations of the candidate's research. The required number of external evaluators is determined by the Office of the Provost. The candidate for promotion and/or tenure will submit to the SHESC Director a list of appropriate reviewers from outside ASU, usually full professor in rank unless a strong case can be made for an Associate Professor in the case of P&T. Letters should generally come from evaluators at peer or (preferably) aspirational institutions. The Tenure-Promotion Committee also will submit to the SHESC Director a list of appropriate reviewers from outside ASU. The SHESC Director will consult these two lists and compose a final list of external reviewers for Dean's approval, normally including half of its members from the candidate's list and half from the Promotion Committee's list. For tenure-track

faculty, the candidate's personal statement, copies of publications, and copy of the curriculum vitae will be sent to each reviewer as early as possible in the spring.

### **5.3.3 SHESC Director Evaluation**

The SHESC Director will evaluate all relevant information on the candidate's research, instruction and mentoring, and service, including the candidate's packet, the letter and recommendation of the Promotion Committee and the external evaluation letters. The Director will write their own letter of evaluation to the Dean of the College, including an independent recommendation for granting or denying promotion and/or tenure. In cases where there is a Joint Memorandum of Understanding or Memorandum of Understanding with a center, the director may also need to solicit a letter from the center to include in the packet.

### **5.3.4 ASU Evaluation Chain beyond SHESC**

The candidate's packet is compiled and moved through the levels of review in compliance with The College and University approved guidelines.

### **5.3.5 Change in Procedures**

From time to time, the College or the University may change aspects of the promotion and tenure process including the timing, the external evaluation letters, and the materials required from the candidate. The College and University requirements take precedence over those detailed here.