




College	The College of Liberal Arts and Sciences
Unit	School of Transborder Studies
Document	Promotion and Tenure Guidelines

Unit and college approval

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School of Transborder Studies
Arizona State University
Promotion and Tenure Guidelines
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This document sets forth promotion and tenure policies for Assistant and Associate Professors in the School of Transborder Studies (STS).

Through the promotion and tenure standards and procedures outlined in these guidelines, STS seeks to encourage its faculty to pursue a trajectory of research/creative work, teaching and service aligned with its mission as a unit of Arizona State University.

STS is committed to maintaining and enhancing a collaborative and inclusive community that strives for equity and equal opportunity. 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 inclusive excellence as described in the ASU charter, are valued in the consideration for promotion and tenure, and should be recognized, evaluated, and credited in the academic personnel process along with other achievements. In support of STS' values, candidates for promotion and tenure are encouraged to include a specific discussion of their contributions to and impact in addressing the ASU charter in their application portfolio.

STS' faculty leaders, and all faculty members, are encouraged to educate themselves about persistent biases that may impact research, teaching, and service/outreach, and should apply a nuanced perspective to evaluating candidates' contributions with an awareness of these biases. Within the limits set by the Provost, a candidate's workload distribution should be aligned with the individual's goals, giving appropriate credit for the work of mentoring students and educating colleagues in relation to inclusive excellence, and allowing the candidate the opportunity to pursue scholarly activities that would meet or exceed the criteria for promotion and tenure.

PART I General Expectations and Quality Standards

Commensurate with their rank, all STS faculty members are expected to achieve the following performance standards: (i) distinction in research of a scholarly and/or creative nature, (ii) excellence in teaching, and (iii) a service record that effectively contributes to the continued development of STS as an academic unit committed to the principle of social embeddedness and engagement with the general community. These standards, consistent with ASU's mission, consider the fact that the STS is a multidisciplinary and interdisciplinary unit. Its faculty, therefore, will take diverse paths toward achieving the expected standards. In all tenure and promotion cases, successful candidates meet the STS's criteria in each of the three areas of responsibility: scholarship or creative activity, teaching, and service.

In assessing the quantity and quality of scholarly and creative work, consideration will be given to the Faculty's disciplinary or interdisciplinary field of choice and to the standards that apply within that specific disciplinary or interdisciplinary context. Overall, STS defines excellence as the outcome of a balanced and consistent research/creative academic agenda resulting in significant impacts on the field of transborder studies or the disciplinary areas that comprise it.

Excellence in teaching is the standard for all STS faculty members. The School's approach is understood in its fullest sense as striving for "best practices in teaching, advising, and pedagogy" in both undergraduate and graduate teaching. These best practices include evidence of ongoing, thoughtful revision of repeated courses to reflect the candidate's continuing assessment of effectiveness in the classroom or equivalent space of instruction. In addition, all faculty members should maintain comprehensive teaching portfolios for each course taught. Portfolios should include minimally: up-to-date syllabi, bibliographies, course development materials such as handouts that facilitate student comprehension, student assignments such as the description of paper topics and sample examinations, and graded papers with faculty comments. Syllabi of courses taught more than once should demonstrate the development of instructional skills over time.

Faculty participation is expected in the following areas: 1) service to the School, 2) service to the university, 3) service to the profession and the greater community. In evaluating the quality and quantity of faculty service, the level of service should be commensurate with the faculty member's rank. Service requires active involvement in School's governance as evidenced by leadership and participation on committees and in school affairs. There should also be evidence of professional service in the form of referee activity, editorial board memberships, involvement in national (or international) scholarly and professional organizations, community engagement and other equivalent outreach activities. Examples of such service include, but are not limited to, professional service through refereeing for journals or funding agencies, service to the community through professional advice, technical support, scholarship-related lectures, and committees.

In all categories, awards and other exceptional recognition provide additional evidence of the candidate's strength in that area.

PART II Promotion to Associate Professor

A. Scholarship and Creative Activity

Distinction in scholarly and/or creative activity leading to a demonstration of academic excellence is essential for promotion to Associate Professor with tenure. Assistant Professors must apply for tenure and promotion to Associate Professor in their sixth year at ASU. A coherent research agenda showing a promising trajectory for future research should be evident. Although a candidate's scholarly record will be evaluated as a whole, emphasis is placed on the publication record since joining the ASU faculty. All candidates must demonstrate a vigorous, ongoing research agenda beyond the dissertation that is focused on issues and topics of significance in the field of Transborder Studies. In consideration of the field's interdisciplinary nature, STS recognizes that candidates can follow many paths to achieve the expected impact and significance. Therefore, early in the first year of appointment, each tenure-track faculty member must communicate to the School's Director the thresholds of productivity that must be met when applying for promotion and tenure. Those measures should be explicitly stated in a mutually agreed-upon document with the School Director.

Successful candidates may follow different pathways, as described in the sample profiles below, in order to demonstrate having achieved substantive scholarly contributions. As STS is an interdisciplinary unit, these profiles should not be taken as the only possible pathways to tenure and promotion, as individual candidates may demonstrate impact in different ways:

- a. At least eight refereed publications, including journal articles, book chapters, review essays and other items subject to a formal peer-review process. In assessing the quality of the publications, the P&T committee will consider the impact factor of the journal and the prestige of the publishing house where the book chapter was published. In the case of multi-authored publications, the candidate should submit documentation of their contribution and level of effort. Candidates will typically have a record that includes two or more peer-reviewed publications on which they are a primary author.
- b. A single-authored book or monograph published by a major university or commercial press combined with at least four refereed publications, including journal articles, book chapters, review essays, and other items subject to formal peer-review. Candidates will typically have a record that includes one or more peer-reviewed publications on which they are a primary author.
- c. Significant creative productions such as, but not limited to, artistic performances, multimedia productions, screenplays, literary and dramatic works, animations, comics, and/or juried exhibits combined with at least four refereed publications, including journal articles, book chapters, review essays and other items subject to a formal peer-review process. Candidates will typically have a record that includes one or more peer-reviewed publications on which they are a primary author.

In addition to publications and creative work, other issues will be considered for promotion and tenure:

STS recognizes the importance and value of extramural grants and the dissemination of grant project results. Therefore, funded or unfunded grant activity will be recognized as a contribution of the candidate to the advancement of Transborder Studies and STS's mission. Two grant proposals submitted to the competition for external funding are deemed of equivalent effort to one refereed publication if the candidate is listed as principal investigator and the proposal has STS as the home academic unit. Co-PI instances will be reviewed case-by-case based on the candidate's description of the role.

Compiled or edited volumes are equivalent to one refereed publication. In the case of multi-authored books, the candidate should submit documentation of their contribution and level of effort.

Publications in press will be considered evidence of scholarly productivity with the publisher's acceptance letter. Reprints or similar versions of a publication will be treated as a single item.

STS faculty is renowned for conducting research and creative work across international borders and for being engaged in producing and disseminating original scholarship and creative work in Spanish or other languages and/or for bilingual audiences. Therefore, peer-reviewed publications or creative work written in Spanish, other languages, and/or for bilingual audiences are of special significance in light of the ASU Charter and the School's commitment to making an impact on the communities we serve.

Technical reports, including funded research reports, white papers, manuals, commissioned reviews, and article-length commentaries based on research conducted by the candidate will also be considered.

Non-refereed publications, general audience publications in newspapers, opinion articles, interviews, blogs, and social media videos supplement a record of published work and will be considered in assessing the candidate's scholarly productivity and impact.

Scholarly presentations at regional, national, and international professional meetings supplement a record of published work and will be considered in assessing candidates' scholarly productivity and impact. Candidates should note whether conference presentations are refereed or invited.

Nomination and receipt of awards from professional associations and the university for research and scholarship do not replace publications but will be considered in assessing a candidate's scholarly productivity and impact.

The School's Promotion and Tenure Committee may request from the candidate additional explanatory materials needed to complete the review of the promotion package.

B. Teaching

The candidate for tenure and promotion to Associate Professor is expected to have demonstrated excellence and the promise of continued excellence in the area of teaching. Evidence must be provided through the following required indicators.

1. a record of teaching and/or developing a range of courses at different levels (lower division, upper division, or graduate) appropriate to program needs;
2. an overall pattern of scores on the summary of student evaluations that indicates effective teaching, considering the context and circumstances in which the teaching occurs; scores will be evaluated relative to norms within the unit;
3. at least one peer or supervisory review of teaching (and teaching materials) with details about the candidate's strengths as a teacher of undergraduate and/or graduate students;
4. a record of effective mentoring of undergraduate and/or graduate students. In STS, Assistant Professors can mentor students in a variety of ways (e.g., serving on dissertation/thesis committees, supervising masters/undergraduate honors committees, directing applied projects or independent studies). However, Assistant Professors are asked not to chair dissertation committees unless in the role of co-chair.

Excellence in teaching and/or the promise of continued excellence in teaching may also be evidenced by any of the following indicators:

1. teaching or mentoring awards;
2. scholarship with a focus on pedagogy;
3. evidence of student success related to the candidate's teaching or mentoring (e.g., through successful mentoring of graduate students who complete their degrees, participation on honors thesis committees, independent study supervision, or other types of regular interaction);
4. new courses, seminars, and/or workshops developed and offered according to program needs;
5. existing courses redesigned;
6. papers co-authored with students;
7. projects completed with student collaborators;
8. workshops offered on pedagogy, assessment or curriculum development;
9. grant-funded inquiry about pedagogical practice;
10. participation in student recruitment and retention efforts.

High-quality teaching is essential to tenure and promotion. Conversely, unsatisfactory and/or insufficient teaching would provide grounds for a negative recommendation for tenure and promotion.

C. Service

Pre-tenure faculty should emphasize service to the department (advising undergraduate and graduate students, planning undergraduate and graduate curricula, participation on departmental committees, sponsorship of STS and other student associations) and to the profession (membership in editorial boards, organization of conference panels).

Service to the university for untenured Assistant Professors is normally limited to serving on committees within the department. While not required, service in college- and university-wide committees helps prepare ladder-rank Assistant Professors for their place as Associate Professors, but that participation will be conducted at a more limited pace than that of tenured professors.

Based on one's academic expertise, professional service is provided to the profession, university, college, or department or the local, state, national, or international community. All faculty members are expected to engage in service activities, but only a modest amount of institutional service is expected during the probationary period for tenure-eligible Faculty. Examples of such service include participation as a journal manuscript reviewer, a conference proposal reviewer, an organizer of a colloquium/session/conference, or serving on a committee for a professional organization.

Professional or administrative service for the department, the college, the institution, or the profession should be weighed into any decision regarding tenure, but such work in the absence of significant accomplishments in both scholarship and teaching is not an adequate basis for tenure and promotion.

D. Third-year review

Assistant Professors must apply for tenure and promotion to Associate Professor in their sixth year at ASU. To assess progress and prospects towards tenure and promotion, tenure-track Assistant Professors undergo a probationary review in their "third year." The third-year review shall be guided by the definitions, indicators, and productivity thresholds outlined in Part II of this document. Assistant Professors may apply for promotion before their sixth year if they think they have satisfied the established criteria for the full probationary period and/or have had previous experience elsewhere.

PART III Promotion to Full Professor

According to ASU policy [ACD 506-05], promotion to Full Professor must be based on an overall record of excellence in the performance of responsibilities, including continued excellence in scholarship and/or creative activities, teaching, and service since the promotion to Associate Professor with evidence of contributions at a level beyond that reflected in the promotion decision to associate Professor. Tenured Associate Professors may be candidates for promotion at any time after the award of tenure. Promotion to Full Professor is neither necessary nor inevitable as a result of years of service. Regardless of the period between promotions, the standard which is applied is always the same.

A. Scholarship and Creative Activity

For promotion to Full, the record must be substantial, excellent, and sustained since having earned tenure. Therefore, although a candidate's scholarly record will be evaluated as a whole, emphasis is placed on the publication record since the last promotion.

For promotion to Full Professor, the quality of the scholarship or creative activity is as important as the quantity. Quality may be measured by assessing the type of publication, the reputation of the publication venues, the significance and/or reach of the scholarly contribution, the stature of the work

as measured by external recognition such as by the award of competitive grants, awards, and published reviews (e.g., of the author's book or monograph).

Successful candidates may follow different pathways—since promotion to Associate Professor—as described in the sample profiles below, in order to demonstrate having achieved scholarly contributions commensurate with promotion to Full Professor. As STS is an interdisciplinary unit, these profiles should not be taken as the only possible pathways to tenure and promotion, as individual candidates may demonstrate impact in different ways.

A successful candidate will typically have produced substantive scholarly and/or creative contributions and shown excellence through:

1. At least eight refereed publications, including journal articles, book chapters, review essays and other items subject to a formal peer-review process. In assessing the quality of the publications, the committee will consider the impact factor of the journal and the prestige of the publishing house where the book chapter was published. In the case of multi-authored publications, the candidate should submit documentation of their contribution and level of effort. Candidates will typically have a record that includes two or more peer-reviewed publications on which they are a primary author.
2. A single-authored book or monograph published by a major university or commercial press combined with at least four refereed publications, including journal articles, book chapters, review essays, and other items subject to formal peer-review. Candidates will typically have a record that includes one or more peer-reviewed publications on which they are a primary author.
3. Significant creative productions such as, but not limited to, artistic performances, multimedia productions, screenplays, literary and dramatic works, animations, comics, and/or juried exhibits combined with at least four refereed publications, including journal articles, book chapters, review essays and other items subject to a formal peer-review process. Candidates will typically have a record that includes one or more peer-reviewed publications on which they are a primary author.

According to the equivalencies accepted in STS, refereed scholarly books or an edited volume may also count towards the number of publications required for promotion to Full Professor.

Promotion to Full Professor also requires that candidates have gained significant national/international visibility since previous promotion. Any of the following indicators may evidence the quality and increased visibility of a candidate for Full Professor:

1. the scholarship or creative activity of the successful candidate for promotion to Full Professor should be judged as highly original and creative by the external referees, and at least some of the work should be considered leading contributions to the relevant field or subfield;
2. invitations to give plenary talks, keynote addresses, or public readings of creative work;
3. invitations to participate in highly visible colloquia/symposia at national/international conferences;
4. invitations to lead initiatives, professional development opportunities, or pre-conference workshops for professional organizations;
5. invitations to contribute to highly visible edited collections, to edit book series, to collaborate in authoring or editing a volume;
6. invitations to contribute to public initiatives associated with a candidate's research;
7. major awards and recognitions from professional and community organizations, entities, etc.

In addition to publications and creative work, other issues demonstrating excellence will be considered for promotion to Full Professor:

Compiled or edited volumes are equivalent to one refereed publication. In the case of multi-authored books, the candidate should submit documentation of their contribution and level of effort.

Publications in press will be considered evidence of scholarly productivity with the publisher's acceptance letter. Reprints or similar versions of a publication will be treated as a single item.

STS faculty are renowned for conducting research and creative work across international borders and for being engaged in producing and disseminating original scholarship and creative work in Spanish or other languages and/or for bilingual audiences. Therefore, peer-reviewed publications or creative work written in Spanish, other languages, and/or for bilingual audiences are of special significance in light of the ASU Charter and the School's commitment to making an impact on the communities we serve.

STS recognizes the importance and value of extramural grants and the dissemination of grant project results. Therefore, funded or unfunded grant activity will be recognized as a contribution of the candidate to the advancement of Transborder Studies and STS's mission.

Technical reports, including funded research reports, white papers, manuals, commissioned reviews, and article-length commentaries based on research conducted by the candidate will also be considered.

Non-refereed publications, general audience publications in newspapers, opinion articles, interviews, blogs, and social media videos supplement a record of published work and will be considered in assessing the candidate's scholarly productivity and impact.

Scholarly presentations at regional, national, and international professional meetings supplement a record of published work and will be considered in assessing candidates' scholarly productivity and impact. Candidates should note whether conference presentations are refereed or invited.

Nomination and receipt of awards from professional associations and the university for research and scholarship do not replace publications but will be considered in assessing a candidate's scholarly productivity and impact.

The School's Promotion and Tenure Committee may request from the candidate additional explanatory materials needed to complete the review of the promotion package.

B. Teaching

The candidate for promotion to Full Professor is expected to have demonstrated excellence and the promise of continued excellence in teaching. In addition to meeting the minimum criteria, the candidate is expected to have demonstrated excellence to a degree greater than what was expected for the previous promotion (e.g., by participating in curriculum development, delivering curriculum in innovative ways, increased mentoring of students).

Evidence must be provided through the following required indicators:

1. a record of teaching and/or developing a range of courses at different levels (lower division, upper division, or graduate) appropriate to program needs;
2. an overall pattern of scores on the summary of student evaluations that indicates effective teaching, considering the context and circumstances in which the teaching occurs;
3. a record of effective mentoring of undergraduate and/or graduate students to completion. In STS, mentoring happens in a variety of ways (e.g., serving on or chairing dissertation or thesis committees, supervising masters or undergraduate honors committees, directing applied projects or independent studies).

Excellence in teaching and/or the promise of continued excellence in teaching may also be evidenced by any of the following indicators:

1. teaching or mentoring awards;
2. scholarship with a focus on pedagogy;
3. evidence of student success related to the candidate's teaching or mentoring (e.g., through successful mentoring of graduate students who complete their degrees, participation on thesis committees, independent study supervision, or other types of regular interaction);
4. new courses, seminars, and/or workshops developed and offered according to program needs;
5. existing courses redesigned;
6. invitation to teach and mentor graduate students of national and international universities.
7. development of off-campus instructional programs (e.g., field trips, international study, internships, electronic and digital distance learning, etc.).
8. papers co-authored with students;
9. projects completed with student collaborators;
10. workshops offered on pedagogy, assessment or curriculum development;
11. grant-funded inquiry about pedagogical practice;
12. participation in student recruitment activities.

Unsatisfactory and/or insufficient classroom teaching would provide grounds for a negative recommendation for promotion to full. That said, a record that demonstrates excellence and promise of continued excellence in teaching in the absence of significant accomplishments in scholarship or creative activity is not an adequate basis for promotion to full.

C. Service

Service activities, like scholarly publications, should reflect the advanced status of candidates for promotion to Professor. Active participation and leadership in School, College, and University affairs are assumed. Furthermore, candidates are expected to demonstrate leadership roles in regional, national, or international associations in their professional field(s). Candidates for promotion to Full Professor will have taken a substantial amount of service to their institution, their profession, or their field, including:

1. leadership or significant participation in committee work at any level of the institution (unit, college, university);
2. sustained commitment to a university or college, or unit initiative.
3. leadership or significant participation in editorial board work for a journal and/or publisher;
4. leadership or significant participation in committee work for a national organization appropriate to the subfield or other such professional service.
5. leadership or significant participation in committees or initiatives that benefit from the candidate's academic expertise;
6. sustained commitment to a community-based initiative.

While professional/administrative leadership and service activities are weighed into all decisions regarding promotion to Full Professor, such activities in the absence of significant accomplishments in scholarship or creative activity and a record of excellence in teaching are not an adequate basis for promotion to Full Professor.