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| **Unit** | **School of Complex Adaptive Systems** |
| **Document** | **Criteria for Promotion of Academic Professionals** |

**Unit and college approval**

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| **Vice Provost for Academic Personnel** | **Date** |

**Criteria for Promotion of Academic Professionals**

**School of Complex Adaptive Systems**

**Preamble:**

School of Complex Adaptive Systems (SCAS) is a community of scholars that includes tenure track and career track faculty. SCAS does not distinguish between those two tracks other than for promotion and tenure decisions of tenure track faculty, as guided by university and ABOR rules. We apply the same definitions of scholarship, teaching, service, and how our work advances the ASU Charter to all faculty members in SCAS. Additionally, we recognize that each faculty member best contributes to the mission of SCAS and ASU in unique ways, and that all forms of professional activity (e.g., research, teaching, and service) are equally valuable. This is especially true for the case of career track faculty, whose distribution of efforts will be defined by their specific roles and job descriptions.

A full list of Academic Professional (AP) titles is listed in [ACD 505-03](https://www.asu.edu/aad/manuals/acd/acd505-03.html). 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 APs depend on their assigned job responsibilities and professional development related to those responsibilities. These can have great breadth, and so the guidelines for significant accomplishment outlined below are meant to be broadly illustrative rather than comprehensive. Promotion of APs with probationary or continuing appointments is governed by a process distinct from the one governing APs with fixed-term (non-continuing eligible) appointments. AP candidates should consult with the SCAS Director’s office to determine which promotion process guide to follow. See this link for guidance on requesting Multi-Year or Rolling Multi-Year status: <https://thecollege.asu.edu/sites/default/files/clas_guidelines_for_requesting_my_or_rmy_status.pdf>

All academic professionals seeking promotion are evaluated on the basis of excellence through position effectiveness, professional contributions, and institutional, professional, and community service.

**Criteria for Evaluating Scholarship**

A central measure of success for SCAS faculty members, including Academic Professionals, is excellence in scholarship through research, teaching, and service/outreach. We define scholarship as knowledge that is advanced through discovery, integration, application, dissemination and teaching. This range is fully manifest in SCAS, where a broad range of systems and processes are explored through the common framework of complexity. SCAS creates and extends research-based knowledge that benefits the greater Phoenix area and Arizona, the nation, and the world. Thus, the faculty is actively engaged in the full spectrum of scholarly activities of fundamental, applied, or translational research, professional and community-engaged scholarship, leadership, service and outreach, and education. Recognizing the unique abilities and potential of each individual, faculty scholarship reflects a balance consistent with individual appointments and the context of the school’s mission and values. Evaluation of scholarship acknowledges this diversity and the range of scholarly activities it includes. The primary expectation is demonstrated excellence, growth in the quality and impact of scholarship over time, and superior professional development in the context of the individual's appointment responsibilities.

**SCAS Values in Support of the ASU Charter**

ASU is committed to maintaining and enhancing a collaborative and inclusive community that strives for equity and equal opportunity as specified by the ASU Charter.

**ASU is a comprehensive public research university, measured not by whom it excludes, but by whom it includes and how they succeed; advancing research and discovery of public value; and assuming fundamental responsibility for the economic, social, cultural and overall health of the communities it serves.**

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 promotes the ASU Charter are likewise valued in the consideration for promotion and tenure, and should be recognized, evaluated, and credited in the academic personnel process along with other achievements. Hence, candidates for promotion are encouraged to include a specific discussion of their contributions to the ASU Charter in their application portfolio.

SCAS’ 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 each candidate's contributions with an awareness of these biases. Within the limits set by the provost and the mission of SCAS within ASU, 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 the ASU Charter and allowing the candidate the opportunity to pursue scholarly activities that would meet or exceed the criteria for promotion.

**Teaching**

SCAS defines teaching broadly to include a range of instructional modalities both inside and outside of the classroom, as well as formal and informal mentorship of students.

Excellence in teaching entails the stimulation of creative and analytical thinking within and between disciplines, among students at all levels, to inspire students to learn in different ways. Demonstrated effectiveness in student-centered pedagogy is a primary consideration of teaching excellence, including expertise and cogency in content delivery, availability to students, class organization, and curriculum development and improvement. Advancing equitable access and outcomes for students of all backgrounds is equally valued in all teaching. Leadership in the development of educational or mentoring programs, advising, coordination of curriculum, and activities that enhance the learning and career development experiences of our students are additional, important indicators of teaching excellence.

Direct mentoring of students, postdoctoral scholars, faculty members, or other professionals inside or outside ASU is another important component of teaching. Mentoring may occur directly in the laboratory or field, and may also include formal and informal advising, active participation on thesis and dissertation committees, service on qualifying examination committees, involvement in student seminars, and participation in graduate groups and undergraduate major programs, among other activities. Effective mentoring should emphasize helping students and other members of our community learn and succeed as appropriate to their chosen research and career directions.

Student evaluations of teaching are assessed relative to other courses within SCAS of similar class modality, size, and technical level. Evaluations of teaching should use a holistic approach based on comprehensive portfolios documenting and assessing teaching contributions from the perspective of students and peers, and giving appropriate credit for student mentoring (including students from underrepresented or underserved groups) in the classroom, lab, and other contexts.

**Research**

Excellence in research or other creative work, and a commitment to a productive program of research, are requirements for all faculty members. Research is evaluated using both qualitative and quantitative standards. Expectations for research are evaluated in the context of ASU’s peer or aspirational peer institutions. Collaborative and multidisciplinary investigation is also an important aspect of research and is strongly encouraged. However, each member of the faculty is expected to provide the intellectual leadership for a program of creative, original, and independent research contributions.

Factors that enter into the assessment of the quality of a body of research include intellectual creativity in setting research goals and objectives, application of appropriate research methodologies in conducting investigations that address those goals and objectives, and intellectual rigor in the interpretation and presentation of outcomes from research or other creative work. Research results or original work should be impactful as assessed by peers in the candidate’s research community, and should appear in peer-reviewed venues respected for rigorous standards in the candidate's research area.

Quality of research contributions should include scholarly products such as (but not limited to) articles, professional presentations, exhibitions, datasets, and software, and could also include original contributions to improve access, diversity, and equitable outcomes in education, professional practice, or society. Examples of valued contributions to the ASU Charter in research may include development and evaluation of inclusive research and training environments in the candidate’s field; leading or participating in a research group related to equity and inclusion; research on inequities in social outcomes of biological phenomena; and other such contributions.

A successful research program normally requires funding beyond the resources that the University can provide. In those cases, research and other original and creative work may be funded with extramural support from sources such as state and federal granting agencies, private companies, and foundations. The level of funding support should fit the needs of the research program; e.g., more financial support does not necessarily mean a better research program. The measure of success is the quality, quantity, and impact of the research and creative work, not the cost. It is expected that faculty members will work to obtain funding sufficient to support a vigorous program of research and other scholarship.

Quantitative measures of research productivity include regular dissemination of results and other creative work in peer-reviewed outlets and trusted digital repositories for data and software, which is an essential responsibility of academic researchers for sharing their knowledge and expertise. Quantitative measures of research productivity should be balanced against other contributions such as teaching and student mentoring, community engagement, and outreach activities based on the candidate’s workload commitments. Such activities cannot, however, substitute for demonstrated intellectual leadership, creativity, and productivity in research and creative work.

**Service and Outreach**

All faculty members, regardless of appointment, have responsibilities for service and outreach. These responsibilities are met in different ways and take different forms at different career stages. Service to the institution may include active participation in the affairs of a center, SCAS, the College, and the University. Service may include professional activities such as active participation and leadership in professional societies, and on committees and initiatives at all levels; reviewing proposals or manuscripts, and other editorial roles; active participation in student groups; and personnel actions. Service and outreach responsibilities outside the university may also include service to governmental and community agencies and organizations, outreach to wider public audiences, community engagement around the candidate’s academic work, and other activities.

Contributions to furthering the ASU Charter within ASU and beyond are also important, as measured through participation in such activities as recruitment, retention, and mentoring of underrepresented and underserved scholars and students; activities that benefit underserved communities; efforts to improve equity in traditional academic activities (e.g., seminars, publishing); and efforts to improve the ASU Charter in the candidate’s institution or professional field, among other activities.

1. **Promotion of Academic Professionals from Assistant to Associate Rank**

Candidates for promotion to this rank will typically have a minimum of five years in rank at ASU and may count the year of application for promotion toward this eligibility requirement, although this is not a requirement. Candidates for promotion from Assistant to Associate Academic Professional must demonstrate excellence in position effectiveness and professional development through scholarly activities relevant to their professional role and job description. Examples are outlined in the categories listed below.

If **instruction** is a significant component of the job description (workload percentage >25%), multiple examples from among the following may serve to demonstrate excellence:

* 1. A record of significant contributions to teaching, not only through effective performance in the laboratory or classroom.
  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.

If **research** is a significant component of the job description, multiple examples from among the following may serve to demonstrate excellence:

* 1. A record of significant contributions to research and scholarship, either through wide dissemination of results (e.g., peer-reviewed papers as first author or co-author, books, patents, etc.), significant contributions of research data or software to trusted and persistent public digital repositories, through a record of substantial support (e.g., intellectual and or sponsored funding via proposals and contracts as PI or Co-I) to the research enterprise, for successful supervision and operation of a research laboratory or related facility (e.g., instrument maintenance and operation, methods development, interpretation of findings ), or through the development of important hardware, software for scientific instrumentation, or mission concept development and implementation.
  2. Demonstrated development of expertise in the area(s) of assignment consistent with the job description.
  3. Evidence of effective mentorship, laboratory instruction, or supervision (including serving on thesis committees) of undergraduates, graduate students, or employees whose work is essential to the research enterprise (e.g., through placement of mentees or supervisees in desired positions, completion of degrees, etc.).
  4. Evidence of extensive collaboration with faculty at ASU or professionals at other institutions in their research activities (for example, working in or leading team science).

If **service** is a significant component of the job description, multiple examples from among the following may serve to demonstrate excellence:

* 1. Significant involvement in institutional, professional, and community service work as appropriate (e.g., unit or university committees, journal and proposal review, etc.).
  2. 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.
  3. Management of facilities used in support of the university’s instructional or research missions.
  4. Extensive collaboration with faculty in their research activities.
  5. Educational outreach to K-12 schools or the general public.
  6. Contributions to the ASU Charter supporting activities in the SCAS or university community.

1. **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 will typically have a minimum of seven years of college-level experience and may count the year of application for promotion toward this eligibility requirement, although this is not an absolute requirement. Candidates must demonstrate excellence in position effectiveness; continued growth in professional contributions; and involvement in institutional, professional, and community service activities; and impacts, contributions, or recognition beyond ASU at national or international levels. Examples are outlined in the categories listed below.

If **instruction** is a significant component of the job description (workload percentage >25%), multiple examples from among the following may serve to demonstrate excellence:

* 1. 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.
  2. Proficiency in the development and teaching of specific courses.
  3. Documented participation in national or international discourse on evolving knowledge in the field, curricular developments, and teaching techniques.
  4. Participation in the solicitation or administration of external funding to support teaching initiatives.
  5. Sustained mentorship of other teachers, including graduate assistants, other academic professionals, faculty members, or other instructional staff (as indicated by successful placement in desired positions, career growth, etc.).
  6. Substantive involvement in interdisciplinary teaching efforts or other forms of collaboration or articulation, especially those involving other institutions, other university departments at ASU, community colleges, or high schools.

If **research** is a significant component of the job description, multiple examples from among the following may serve to demonstrate excellence:

* 1. A record of leadership in research and scholarship, either through wide dissemination of results (e.g., peer-reviewed papers as first author or co-author, books, patents, data, software, etc.), through a record of substantial support (e.g., intellectual and or sponsored funding via proposals and contracts as PI or Co-I) to the research enterprise, for successful supervision and operation of a research laboratory or related facility (e.g., instrument maintenance and operation, methods development, interpretation of findings ), or through the development of important hardware, software for scientific instrumentation, or mission concept development and implementation. Demonstrated proficiency in the successful supervision and operation of a research laboratory or related facility (e.g., instrument maintenance and operation, methods development, interpretation of findings).
  2. Distinctive contributions to nationally or internationally recognized scholarship or evidence of nationally or internationally recognized expertise.
  3. Demonstrated ability to write or participate significantly in the writing of successful grant proposals (as PI, Co-I, or collaborator) and refereed manuscripts (as first author or co-author).
  4. Significant contributions to national or international scientific meetings (e.g., invited presentations, panels, etc.).
  5. Sustained, demonstrable effectiveness in mentorship, laboratory instruction, and supervision (including serving on thesis committees) of undergraduates, graduate students, or employees whose work is essential to the research enterprise.
  6. Leadership in the development of important hardware and software for scientific instrumentation.
  7. Extensive collaboration with professionals at institutions beyond ASU in their research activities.

If **service** is a significant component of the job description, multiple examples from among the following may serve to demonstrate excellence:

* 1. Sustained involvement in institutional, professional, and community service work at national or international levels as appropriate (e.g., journal and proposal review, etc.).
  2. Organizational leadership in outreach efforts for K-12 schools or the general public.
  3. 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.
  4. Leadership in management of instrumentation or equipment facilities that support the research, instructional or outreach missions of the institution.
  5. Contributions to the ASU Charter supporting activities within SCAS or the university community.

**3. Procedure for Promotion of Academic Professionals**

The School of Complex Adaptive Systems will follow procedures for promotion of Academic Professionals that are described in the [P**rocess Guide for Promotion for Fixed-term Academic Professionals**](https://provost.asu.edu/sites/default/files/page/1562/p12-process-guide-_ap-_fixed-term-promotion-20210708.pdf) found on the Provost’s web site: <https://www.asu.edu/aad/manuals/acd/procedures.html>.

There is no deadline for promotion but staying on the five year and seven year track described above for full time activity is an appropriate advancement rate and should be encouraged by the supervisor and the School. Academic Professionals should be aware of the potential for advancement. All Academic Professionals are eligible to apply for early continuing status or continuing status clock extensions, and candidates should feel comfortable requesting such modifications.

This process is led by the SCAS Personnel Committee (“SCAS PTC”; with an ad hoc appointment by the Director of an academic professional at the aspired rank or above; this person will provide context with respect to Academic Professional activity).

The SCAS Personnel Committee (with an ad hoc appointment by the Director of an academic professional at the aspired rank or above) 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.