

# Promotion and Tenure Procedures, Anthropology Department

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**Purpose:** To articulate the standards and procedures for promotion and/or tenure for the Department of Anthropology

**Applies to:** Faculty within the Department of Anthropology

## **General Provisions**

**Scope and Purpose.** The award of tenure and/or promotion in rank are among the most important and far-reaching decisions made by the department because an excellent faculty is an essential component of any outstanding institution of higher learning. Promotion and tenure decisions also have a profound effect on the lives and careers of faculty. Recommendations concerning promotion and tenure must be made carefully, based upon a thorough examination of the candidate's record and the impartial application of these criteria and procedures, established in compliance with the [Faculty Senate Rules and Regulations \(FSRR\) Article VI](#).

It is the purpose of this document to promote the rigorous and fair evaluation of faculty performance during the promotion and tenure process by (a) establishing criteria that express the department's expectations for meeting University standards in terms of disciplinary practices; (b) providing procedures for the initial evaluation of teaching, scholarship, and service; (c) preserving and enhancing the participatory rights of candidates, including the basic right to be informed about critical stages of the process and to have an opportunity to respond to negative evaluations; and (d) clarifying the responsibilities, roles, and relationships of the participants in the promotion and tenure review process.

Each level of review, including the initial review, the intermediate review, and the University level review, conducts an independent evaluation of a candidate's record of performance and makes independent recommendations to the next review level. Later stages of review neither affirm nor reverse earlier recommendations, which remain part of the record for consideration by the Chancellor. It is the responsibility of each person involved in the review process to exercise his/her own judgment to evaluate a faculty member's teaching, scholarship, and service based upon the entirety of the data and information in the record. No single source of information, such as peer review letters, shall be considered a conclusive indicator of quality.

**Academic Freedom.** All faculty members, regardless of rank, are entitled to academic freedom in relation to teaching and scholarship, and the right as citizens to speak on matters of public concern. Likewise, all faculty members, regardless of rank, bear the obligation to exercise their academic freedom responsibly and in accordance with the accepted standards of their academic disciplines.

**Confidentiality and Conflicts of Interest.** Consideration and evaluation of a faculty member's record is a confidential personnel matter. Only those persons eligible to vote on promotion and tenure may participate in or observe deliberations or have access to the personnel file (except that clerical staff may assist in the preparation of documents under conditions that assure confidentiality).

No person shall participate in any aspect of the promotion and tenure process concerning a candidate when participation would create a clear conflict of interest or compromise the impartiality of an evaluation or recommendation.

If a candidate believes that there is a conflict of interest, the candidate may petition to have that person recuse him/herself. If a committee member does not recuse him/herself, a decision about whether that person has a conflict of interest shall be made by a majority of the other committee members.

## **Promotion and Tenure Standards**

**General Principles.** The University strives for a consistent standard of quality against which the performance of all faculty members is measured. Nonetheless, the nature of faculty activities varies across the University and a faculty member's record must be evaluated in light of his/her particular responsibilities and the expectations of the discipline. These criteria state the department's expectations of performance in the areas of teaching, scholarship, and service necessary to satisfy the University standards for promotion for the award of tenure and/or promotion to associate professor and for promotion to full professor, or equivalent ranks.

Teaching and scholarship should normally be given primary consideration, but the particular weight to be accorded to each component of a faculty member's activities depends upon the responsibilities of the faculty member. The College has traditionally recognized the 40-40-20 formula for weighting research, teaching, and service except when weight is differentiated for unclassified academic staff members pursuant to their job description.

**Teaching.** Teaching is a primary function of the University, which strives to provide an outstanding education for its students. The evaluation of teaching includes consideration of syllabi, course materials, and other information related to a faculty member's courses; peer and student evaluations; a candidate's own statement of teaching philosophy and goals; public representations of teaching; and other accepted methods of evaluation, which may include external evaluations.

High quality teaching is serious intellectual work grounded in a deep knowledge and understanding of the field and includes the ability to convey that understanding in clear and engaging ways.

The conduct of classes is the central feature of teaching responsibilities at KU, but teaching also includes supervising student research and clinical activities, mentoring and advising students, and other teaching-related activities outside of the classroom.

Under the University standards for the award of tenure and/or promotion to associate professor, the record must demonstrate effective teaching, as reflected in such factors as command of the subject matter, the ability to communicate effectively in the classroom, a demonstrated commitment to student learning, and involvement in providing advice and support for students outside the classroom.

In the department, the following teaching expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor:

- Effective teaching of two courses per semester, with exceptions for approved leaves or reduced teaching loads;
- Demonstrated effectiveness in teaching courses at undergraduate and graduate levels;
- Advising undergraduate and graduate students;
- Service as chair and/or member of undergraduate honor's theses, master's and PhD committees;
- Participation in annual graduate student reviews.

Under the University standards for promotion to the rank of professor, the record must demonstrate continued effectiveness and growth as a teacher, as reflected in such factors as mastery of the subject matter, strong classroom teaching skills, an ongoing commitment to student learning, and active involvement in providing advice and support for students outside the classroom.

In the department, the following teaching expectations to meet University standards apply for promotion to the rank of professor:

- Strong teaching skills in two courses per semester, at undergraduate and graduate levels, with exceptions for approved leaves or reduced teaching loads;
- Evidence of innovative teaching;
- Demonstrated commitment to advising undergraduate and graduate students both in and outside the classroom;
- Service as chair and member of undergraduate honor's theses, master's and PhD committees;
- Participation in annual graduate student reviews.

**Scholarship.** The concept of "scholarship" encompasses not only traditional academic research and publication, but also the creation of artistic works or performances and any other products or activities accepted by the academic discipline as reflecting scholarly effort and achievement for purposes of promotion and tenure. While the nature of scholarship varies among disciplines, the University adheres to a consistently high standard of quality in its scholarly activities to which all faculty members, regardless of discipline, are held. In the Department of Anthropology faculty members are expected to conduct, report, and publish research. The Department of Anthropology encourages its faculty to pursue fieldwork or research opportunities as frequently as possible. No single mechanism can be used to evaluate the quality of research produced by a faculty member. Research performance is assessed in the following three areas, ranked in order of importance: (1) Published books, chapters and articles, edited media compilations (audio and video), research reports, exhibits, peer-reviewed World Wide Web publications, annotated databases, special lectures or colloquia, papers presented at professional meetings, presentations to local or regional audiences. Although peer-reviewed books and articles are weighted most heavily, substantial research contributions often appear in other outlets. In such cases, an explanation of the nature and value of the contribution should be submitted. (2) Research in progress: Fieldwork; grant, contract, or fellowship applications submitted; awards received; manuscripts in progress. (3) Contribution of research to the University, profession, and larger community: Financial support for students, stimulation of areas of research, invited lectures, press coverage, consulting in areas of research expertise, and integration of research with teaching are among the ways research contribution is determined.

Under the University standards for the award of tenure and/or promotion to the rank of associate professor, the record must demonstrate a successfully developing scholarly career, as reflected in such factors as the quality and quantity of publications or creative activities, external reviews of the candidate's work by respected scholars or practitioners in the field, the candidate's regional, national, or international reputation, and other evidence of an active and productive scholarly agenda.

In the department and following University standards, the following scholarship expectations for the award of tenure and/or promotion to the rank of associate professor will demonstrate commitment to development of an ongoing research program:

- Pursuit of research support from public or private funding organizations;
- Research engagement in the field, laboratory, and archives as appropriate;
- Pursuit of financial support for the training of graduate students;
- Publication of research results, an approximate equivalent of two journal articles per year, that may include, but is not limited to, monographs, edited volumes, chapters, articles, reports, databases, exhibits, and audio and video productions;
- Peer review of research results;
- Presentation of research to professional audiences;
- Integration of research with teaching.

Under the University standards for promotion to the rank of professor, the record must demonstrate an established scholarly career, as reflected in such factors as a substantial and ongoing pattern of publication or creative activity, external reviews of the candidate's work by eminent scholars or practitioners in the field, the

candidate's national or international reputation, and other evidence of an active and productive scholarly career.

In the department, the following scholarship expectations to meet University standards for productivity after promotion to associate professor apply for the promotion to the rank of professor:

- Record of successful grant writing;
- Active research engagement in the field, laboratory, and archives as appropriate;
- Acquisition of financial support for the training of graduate students;
- Peer review and publication of research results in significant venues, an approximate equivalent of two journal articles per year, that may include, but is not limited to, monographs, edited volumes, chapters, articles, reports, databases, exhibits, and audio and video productions;
- Invited presentation of research to professional audiences;
- Continued integration of research with teaching.

**Service.** Service is an important responsibility of all faculty members that contributes to the University's performance of its larger mission. Although the nature of service activities will depend on a candidate's particular interests and abilities, service contributions are an essential part of being a good citizen of the University. The department accepts and values scholarly service to the discipline or profession, service within the University, and public service at the local, state, national, or international level.

Under the University standards for the award of tenure and/or promotion to associate professor, the record must demonstrate a pattern of service to the University at one or more levels, to the discipline or profession, and/or to the local, state, national, or international communities.

In the department, the following service expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor:

- Regular service to the department through attendance and participation in departmental meetings and on department committees;
- Service to the University through membership on committees in the College or University;
- Service to the profession;
- Service to the community: local, state, national, or international.

Under the University standards for promotion to the rank of professor, the record must demonstrate an ongoing pattern of service reflecting substantial contributions to the University at one or more levels, to the discipline or profession, and/or to the local, state, national, or international communities.

In the department, the following service expectations to meet University standards, after promotion to associate professor, apply for the promotion to the rank of professor:

- Regular service to the department through attendance and participation in departmental meetings and leadership of department committees;
- Service to the University through membership on committees in the College and University;
- Service to the profession;
- Service to the community: local, state, national, or international.

**Ratings for Performance.** Using the criteria described above, the candidate's performance in the areas of teaching, scholarship, and service will be rated using the terms "excellent," "very good," "good," "marginal," or "poor," defined as follows:

- (a) “Excellent” means that the candidate substantially exceeds expectations for tenure and/or promotion to this rank.
- (b) “Very Good” means the candidate exceeds expectations for tenure and/or promotion to this rank.
- (c) “Good” means the candidate meets expectations for tenure and/or promotion to this rank.
- (d) “Marginal” means the candidate falls below expectations for tenure and/or promotion to this rank.
- (e) “Poor” means the candidate falls significantly below expectations for tenure and/or promotion to this rank.

Absent exceptional circumstances, no candidate may be recommended for promotion or tenure without meeting standards in all applicable areas of performance. For promotion to associate professor, candidates must be rated “good” or better in teaching, research, and service. For promotion to professor, candidates must be rated “very good” or better in teaching, research, and service.

## **Promotion and Tenure Procedures**

The department conducts the initial review of the candidate pursuant to the procedures and requirements of [section 5 of Article VI of the FSRR](#) in connection with the candidate’s responsibility in the department.

***Promotion and Tenure Committee.*** The department review committee shall evaluate the candidate’s teaching, research, and service. In consultation with the Department chair, an applicant for promotion and tenure forms a Promotion and Tenure committee of three faculty members, of appropriate rank, in the Department of Anthropology, with collective responsibility for overseeing development of the applicant’s dossier in teaching, research, and service, and fulfillment of College and University requirements for review. This P&T committee fulfills two roles: they hold collective responsibility for mentoring the applicant in development of applicant-produced sections of the dossier, and they work independently of the candidate in fulfillment of College and University requirements for review of the applicant’s teaching, research, and service. The Promotion and Tenure Committee solicits external reviews of an applicant’s scholarship, reviews the applicant’s record of teaching, research, and service, and presents its findings and recommendations to a Committee of the Whole made up of faculty of appropriate rank.

***Appropriate Rank.*** No students or untenured faculty members, except unclassified academic staff with the rank equivalent to or higher than associate professor, shall serve on the Promotion and Tenure Committee or vote on any recommendation concerning promotion and/or tenure. Members of the Committee of the Whole who may review the completed dossier and vote on an applicant’s promotion to associate or full professor and/or tenure must be of the rank of associate professor or professor.

***Initiation of Review.*** Prior to the beginning of the spring semester, the Provost shall notify all faculty whose mandatory review year will be the following academic year, with copies provided to unit administrators and the dean. Upon receipt of this notice or if a faculty member requests it prior to the mandatory review year, the unit shall initiate procedures for evaluating the candidate for the award of tenure or tenure and promotion in rank.

At or before the beginning of the spring semester, the unit shall consider the qualifications of all faculty members below the rank of full professor, with a view toward possible promotion in rank during the following academic year. After considering a faculty member’s qualifications, if the unit determines that those qualifications may warrant promotion in rank, or if the faculty member requests it, the unit shall initiate procedures for reviewing the faculty member for promotion to full professor.

***Preparation of the Promotion and/or Tenure File.*** *NOTE:* Candidates who hold joint appointments prepare only one set of promotion and tenure materials for review by both units in which they hold an appointment. The initial review units (i.e., departments, centers, etc.) shall consult with each other on their evaluations and the evaluation process, but each initial review unit must provide a separate evaluation of the candidate’s performance in the unit. Please refer to the [College’s Promotion and Tenure Statement](#) for detailed

instructions. It is the responsibility of the candidate to complete the appropriate portions of the form and provide necessary documents and information in accordance with the Provost's guidelines, with assistance from the department Promotion and Tenure Committee.

The Promotion and Tenure Committee shall receive the form and accompanying materials from the candidate and finish compiling the record of the candidate's teaching, scholarship, and service in accordance with the Provost's guidelines.

The Promotion and Tenure Committee shall provide for the solicitation of outside reviewers to assist in the evaluation of a faculty member's scholarship in accordance with College procedures. Emphasis shall be placed on selecting independent reviewers in the same or related discipline who hold academic rank or a professional position equal to or greater than the rank for which the candidate is being considered. The committee shall give the candidate the opportunity to suggest individuals to be included or excluded from the list of reviewers. The committee, however, is responsible for using its judgment in the final selection of reviewers. For College specific requirements and guidelines, please refer to "[Section B. Process for Obtaining Evaluation Letters from External Reviewers](#)" within the College's posted policy for promotion and tenure.

When soliciting external reviews of a candidate's scholarship, the Promotion and Tenure Committee shall inform prospective reviewers of the extent to which the candidate will have access to the review. The College's confidentiality policy regarding soliciting external reviewers for the promotion and tenure review process is as follows:

*"As a part of the promotion and/or tenure review process, we are soliciting assessments of Professor \_\_\_\_\_'s research contributions from academic colleagues and distinguished professionals. These letters will become part of the candidate's promotion and tenure dossier and are treated as confidential by the University to the extent we are permitted to do so by law."*

**Recommendations.** Upon completion of the record, the committee conducting the initial review shall evaluate the candidate's record of teaching, scholarship, and service in light of the applicable standards and criteria and make recommendations in accordance with the voting procedures detailed below. The Promotion and Tenure Committee recommendation shall be forwarded for consideration to a Committee of the Whole consisting of all faculty members holding the appropriate academic rank.

In the department, voting procedures are as follows: The completed P&T file will be left in the department office for at least ten working days before a departmental vote is to take place. All tenured faculty members of appropriate rank may consult the file. At the scheduled departmental meeting, the Promotion and Tenure Committee presents to the Committee of the Whole its evaluation and rating recommendations for the applicant's teaching, research, and service records. Faculty may treat each rating separately or treat any subset or the entire set together in its discussion and subsequent motions to accept or modify the Promotion and Tenure committee recommendations. All discussions and deliberations in the tenure and/or promotion process are strictly confidential. A two-thirds majority of the voting faculty in residence shall be required for recommendation of promotion and/or tenure by the department. Voting on the committee's recommendations for rating, promotion, and/or tenure or its modification is conducted by secret ballot.

The Promotion and Tenure Committee shall prepare the evaluation and summary evaluation sections of the promotion and/or tenure forms. The forms and recommendations shall be forwarded to the Department chair, who shall indicate separately, in writing, whether he or she concurs or disagrees with the recommendations of the Committee of the Whole. The department chair shall communicate the recommendations of the initial review, and his or her concurrence or disagreement with the recommendation, to the candidate and provide the candidate with a copy of the summary evaluation section of the promotion and tenure form. Negative recommendations shall be communicated in writing and, if the review will not be forwarded automatically, the chair shall inform the candidate that he or she may request that the record be forwarded for further review.

Favorable recommendations, together with the record of the initial review, shall be forwarded to the College Committee on Appointments, Promotion, and Tenure conducting the intermediate review. Negative recommendations resulting from an initial review shall go forward for intermediate review only if it is the candidate's mandatory review year or if the candidate requests it.

### **Intermediate Review.**

The candidate may submit a written response to a negative recommendation by the department, or to a final rating of teaching, research, or service below the level of "good" included in the evaluation section of the recommendation. The written response is sent separately by the candidate to CCAPT.

A request for information by CCAPT and/or UCPT shall be sent to the department chair who shall immediately provide a copy to the candidate and inform the Promotion and Tenure Committee. The Promotion and Tenure Committee shall prepare the department's response in accordance with the initial review procedures.

The candidate shall be afforded an opportunity to participate in the preparation of the department's response and/or to submit his/her own documentation or comment to the CCAPT and/or UCPT as applicable.

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### **Approved by:**

The Department of Anthropology / The Faculty Senate Committee on Standards and Procedures for Promotion and Tenure

### **Approved on:**

February 16, 2013

### **Effective on:**

February 16, 2013

### **Review Cycle:**

Annual (As Needed)

### **Related Policies:**

[Faculty Senate Rules and Regulations Article VI: Promotion and Tenure](#)

### **Related Procedures:**

[Statement On Promotion and Tenure for the College of Liberal Arts & Sciences](#)

### **Related Forms:**

[Guidelines and Documents for Promotion and Tenure](#)

### **Review, Approval & Change History:**

06/12/2017: Dean of CLAS Approved adding the following language to Unit PT statements:

For College specific requirements and guidelines, please refer to "[Section B. Process for Obtaining Evaluation Letters from External Reviewers](#)" within the College's posted policy for promotion and tenure.

03/01/2017: SPPT Review and approval of CLAS P&T policy changes.

02/14/2017: CAC review and approval on revision to Section B. on the Process for Obtaining Evaluation Letters from External Reviewers. to ensure procedural clarity.

06/12/2017: Updated FSRR 6.5.1

04/13/2017: Amendments to the Faculty Senate Rules and Regulations (FSRR) 6.5.1 were approved by the Faculty Senate:

Prior to the beginning of the spring semester, the Provost shall notify all faculty whose mandatory review year will be the following academic year, with copies provided to unit administrators and the dean. Upon receipt of this notice or if a faculty member requests it prior to the mandatory review year, the unit shall initiate procedures for evaluating the candidate for the award of tenure or tenure and promotion in rank.

At or before the beginning of the spring semester, the unit shall consider the qualifications of all faculty members below the rank of full professor, with a view toward possible promotion in rank during the following academic year. After considering a faculty member's qualifications, if the unit determines that those qualifications may warrant promotion in rank, or if the faculty member requests it, the unit shall initiate procedures for reviewing the faculty member for promotion to full professor. ~~After seven years in the rank of associate professor, a faculty member who believes he or she has the qualifications for promotion, despite the failure of his or her unit to initiate the review process for promotion to full professor, may initiate the promotion review process himself or herself. In such cases the unit will treat the candidate in the same way that it treats other candidates for promotion to the rank of full professor.~~

09/02/2015: Made updates to boiler plate text:

- 1) Under General Provisions, paragraph three, "Chancellor" has been changed to "next review level;"
- 2) Under Initiation of Review, the following was added, "*NOTE*: Candidates who hold joint appointments prepare only one set of promotion and tenure materials for review by both units in which they hold an appointment. The initial review units (i.e., departments, centers, etc.) shall consult with each other on their evaluations and the evaluation process, but each initial review unit must provide a separate evaluation of the candidate's performance in the unit. Please refer to the College's Promotion and Tenure Statement for detailed instructions."
- 3) The following was added under to paragraph concerning outside reviewers, "The committee shall give the candidate the opportunity to suggest individuals to be included or excluded from the list of reviewers. The committee, however, is responsible for using its judgment in the final selection of reviewers."

02/16/2013: Revision approved by faculty vote of the Department of Anthropology

11/15/2012: Approved by The Faculty Senate Committee on Standards and Procedures for Promotion and Tenure pending one revision

03/14/2012: Approved by the Department of Anthropology