



College	The College of Liberal Arts and Sciences
Unit	T. Denny Sanford School of Social and Family Dynamics
Document	Promotion and Tenure Guidelines for Tenure-Track Faculty

Unit and college approval

Date of approval by the faculty	9/10/2025
Date of review by the dean	9/11/2025

Provost office approval

	November 5, 2025
Vice Provost for Academic Personnel Patricia Friedrich	Date

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PROMOTION CRITERIA & PROFILES

College and University promotion and tenure committees must make recommendations for faculty members in numerous disciplines, despite differences across disciplines in definitions of excellence in scholarly production, teaching, and service. The profiles described in this document are presented to assist these committees and The College of Liberal Arts and Sciences dean in making recommendations about the tenure and promotion of faculty in the T. Denny Sanford School of Social and Family Dynamics (The Sanford School).

Given the interdisciplinary character of our school, work and productivity expectations for faculty requesting tenure and promotion may vary. Some faculty members will work individually, others collaboratively; some will work in established disciplines; others at the interfaces of traditional disciplines. The evaluation process, consequently, should be flexible and appropriate to each faculty member's research program. Flexibility does not imply a relaxation of high standards. Superior attainment in scholarly research and creative activity is an indispensable criterion for tenure and promotion.

It is appropriate to consider a candidate's record in how it meets and furthers the ASU Charter regarding excellence, access, and impact, specifically in terms of "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." In addition, other aspects related to the charter that could be considered are the nine design aspirations for the New American University: leverage our place; enable student success; transform society; fuse intellectual disciplines; value entrepreneurship; be socially embedded; conduct use-inspired research; engage globally and practice principled innovation.¹

We are guided by ASU's commitment to inclusive excellence in evaluating candidates' materials. In reviewing such materials, we recognize that candidates come from a wide range of personal, professional, and academic backgrounds. We are committed to evaluating each candidate's contributions within the context of their unique experiences, opportunities, and challenges. This includes acknowledging diverse career paths, forms of scholarship, service commitments, and lived experiences that shape a candidate's work and impact.

Criteria for Assistant Professors for Tenure and Promotion to Associate Professor

I. Research

For tenure and promotion to Associate Professor, candidates should have achieved a substantial body of scholarship that demonstrates a coherent program of research, a productive trajectory, and disciplinary impact. We assess these outcomes with evidence from three areas:

¹ Please refer to this website for more detail: <https://newamericanuniversity.asu.edu/about/design-aspirations>

A. Research Publications

The number of publications of faculty members in The Sanford School is partly determined by whether they engage in research which can be undertaken and completed swiftly or in research projects that take longer to complete. In part this is determined by whether faculty members write books or articles and whether they engage in qualitative or quantitative research. Although the discussion below involves quantification of productivity, evaluation of scholarly activity is based primarily upon quality and evidence of a habit of publication and research activity. In other words, the steadiness and quality of publications are more important than the precise number.

For faculty members who primarily publish their research as journal articles, the goal is to achieve the criterion of an average of two articles a year during the probationary period (and previous faculty positions, if appointment at ASU is less than 5 years). Online publications with a DOI count as in print publications. Most of these articles should be in peer refereed journals. Of these, greater weight will be given to articles in major national journals and to leading journals in one's area(s) of specialization. The remaining manuscripts may appear in edited volumes or series as chapters, essays, or invited papers.

For faculty members who primarily publish their research as books, the goal is to achieve the criterion of:

- 1) at least two books with a highly regarded publisher. The second book could be in press (not in review, fully accepted for publication and in copyedit or proof pages stage)
- 2) one book based on original research and at least four refereed articles and/or book chapters

In addition to the article or book tracks referenced above, technical reports (funded research reports, technical manuals, commissioned reports), policy reports, and other research products (e.g., software, assessment tools and statistical programs) may be considered as part of the person's overall research productivity, particularly when they are a salient part of a programmatic research vision.

The candidate must show evidence of leadership and impact in their research. Leadership can include lead authorship and critical contributions (e.g., substantive, methodological) in collaborative work. Lead authorship includes articles where the candidate is the primary faculty member co-authoring with students. The Sanford School is an interdisciplinary program and recognizes and values the importance of collaborative research. As such, we strongly encourage collaborative work – and in fact, highlight this kind of work as a reflection of a candidate's ability to work in teams that address important and critical questions.

Presentations of papers at national, regional, and special area conferences also will be considered in evaluating productivity. A pattern of paper presentations signifies recognition and involvement in one's area (s) of specialization.

B. Research Grants

Some methods and techniques of research in The Sanford School (e.g., surveys) demand substantial funding for effective pursuit, while other methods require little funding. For example, secondary analysis or historical studies require that existing data or archives, respectively, be available and ethnographic research usually is conducted by a single investigator. Consequently, the number and size of research grants can vary considerably. Nevertheless, information on research grants is useful for evaluating the candidate's excellence in research, and there should be some evidence of applying for internal and external grants, even if not funded, in this area for promotion to Associate Professor with tenure.

When appropriate within the discipline, the candidate's success in attracting external funding will be considered. In these cases, obtaining external funding is validation of the soundness and promise of the candidate's research program and scholarly accomplishments. Moreover, where the candidate is the Principal Investigator, the receipt of external funding shows confidence in the candidate's reliability in administering the research project effectively and contributes to the School's national reputation.

Sometimes candidates who engage in collaborative research are listed as Co-Investigators rather than Principal Investigators on research grants. In instances in which the Co-Investigator has played an important role in securing or executing a grant, it should be recognized as being consistent with the interdisciplinary and collaborative environment of the School.

Work-in-progress and proposals may be considered as scholarly contributions; *however, refereed publications, and research grants applied and obtained (especially competitive grants)* represent the primary evidence of the candidate's research contributions. Manuscripts under peer review for a journal or book also may be offered as evidence of a growing or continuing program of research. In the case of work disseminated through channels where evaluators are unlikely to know the quality of outlets (e.g., journals in other fields, new or uncommon journals, proceedings, or sponsored research reports), the candidate is expected to provide evidence of the stature of the outlet and the nature and importance of the contribution.

C. Recognition of Accomplishment

Nomination for and receipt of awards and honors from professional associations and from the University for accomplishment in research and scholarship will be considered in validating the quality of the candidate's productivity. In addition, when appropriate, number of citations, indices like H, i10, and interest indices, such as the ResearchGate Index, could be considered.

It is important that faculty exhibit continuous research productivity that systematically adds to the creation of knowledge in a given area. That is, research efforts should be programmatic and focused, and should add to the general body of knowledge in an area of inquiry. Evaluating this activity requires the highest level of professional judgment on the part of the evaluators for two reasons: 1) the difficulty of the judgments; and 2) the judgments concern the contributions and the candidate's likely future career, especially when tenure is under consideration.

II. Teaching

Teaching is a multifaceted activity. For purposes of promotion and tenure review in The Sanford School, teaching effectiveness is considered to be made up of three components:

- A. Classroom (live, virtual, and/or asynchronous) teaching and command of subject matter;
- B. Mentoring students' learning and scholarly activities including postdoctoral candidates' development, master's theses, doctoral dissertations for graduate students, senior theses, nonthesis-research, and/or honors projects for undergraduate students;
- C. Developing courses, curricula, and materials related to classroom instruction.

Peer review of curriculum materials such as syllabi and assignments will be an additional mechanism to evaluate quality. Evidence of innovative methods of teaching will also be evidence of teaching excellence.

The candidate is expected to meet the minimum teaching load each academic year and teach required courses in the undergraduate and graduate curricula. The Sanford School also expects the candidate to participate in the training of graduate students. In addition to teaching graduate courses, the candidate is expected to serve on thesis and dissertation committees, provide questions for and evaluate comprehensive examinations, and serve as the Graduate Dean's representative when called upon. However, Assistant Professors are generally not expected to chair dissertation committees.

Each of the three components of teaching is rated individually.

The determination of teaching effectiveness is difficult and involves substantial professional judgment. Consideration will be given to such factors as student evaluations, peer teaching evaluations, student and course load, level of courses, new courses developed, variety of courses, number of students mentored, and type of mentoring activities.

A candidate is considered meeting a level of excellence in teaching if classroom teaching and/or peer evaluations are very positive and the remaining components mentioned above are considered to be comparable to other faculty with similar teaching obligations within SSFD.

A candidate is considered not meeting a level of excellence in teaching if classroom teaching and/or peer evaluation ratings are not very positive and/or the remaining components mentioned above are considered to be not comparable to other faculty with similar teaching obligations within SSFD.

III. Service

Service to one's profession, university, and surrounding community are all valued and often are inextricably connected to one's research and teaching contributions. Evidence of service, regardless, can be documented in several ways.

There should be evidence of continual active service within the university, although

it is not expected that non-tenured faculty will serve on College and University committees. SSFD assistant professors' service responsibilities within the unit are generally limited to the greatest extent possible so they can focus on their teaching and research. As such, the SSFD unit leadership will provide guidance to the assistant professors as to which unit committee assignments are appropriate. Membership and active participation in professional associations, however, is encouraged.

Community service may count for promotion if it meets certain criteria. These service activities must be tied directly to one's special field of knowledge and relate to, and flow directly out of, this professional activity. Included are activities that relate directly to the intellectual work of the professor and are carried out through unpaid consultation, technical assistance policy analysis, program evaluation, public speaking, and the like. In documenting these kinds of community service, faculty should include evaluations of those who received the service, if possible. The service will be evaluated by The Sanford School with respect to promotion in light of the following questions: Is the activity directly related to the academic expertise of the professor? Have project goals been defined, procedures well planned, and actions carefully recorded? In what way has the work not only benefited the recipients of such activity but also added to the professor's own understanding of the field?

Membership and active participation in professional associations is encouraged. Examples of active participation include attendance at annual meetings, membership on editorial boards, memberships on councils, holding office, and committee service.

Service inside the university and outside the university is rated on the basis of quality and quantity. More specifically, it is rated on the candidate's willingness to do and record of appropriate service to the unit and profession.

A candidate is considered engaged and effective in service if the evidence indicates a contribution that is approximately equal to faculty within the same rank and discipline in service.

A candidate is considered not being engaged and/or ineffective in service if evidence indicates a contribution that is below that of faculty within the same rank and discipline in service.

Evaluation of Candidate for Tenure and Promotion to Associate Professor

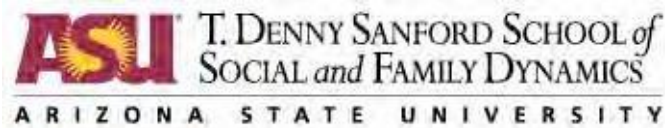
To be considered for positive recommendation for interim evaluations or for tenure and promotion to Associate Professor in The Sanford School, the candidate requires demonstration of the following:

- Refereed publications

- Creativity and leadership in research
- Evidence of applying for and/or winning internal/external funding awards
- Demonstrated competence in subject matter commensurate with graduate or undergraduate teaching evidenced through instructional contributions and/or mentoring
- Effective service to School (as assigned by School leadership) and/or community
- Evidence of professional service and activity (e.g., active participation in related professional associations, editing/reviewing for professional journals, speeches, presentations at national professional conferences)

Furthermore, all faculty are expected to conform to a high standard of personal and professional ethics. The ASU Faculty Code of Ethics is described in the Academic Affairs Policy and Procedures Manual (ACD 204-01). Failure to adhere to this code could result in disciplinary action and/or denial of tenure and promotion.

Promotion to Associate Professor and granting of tenure are based upon both past performance and future potential. Effectiveness in pending professional contributions may be considered but may not be substituted for proof of a sustained independent program of research, teaching, and service. Recommendations for promotion to Associate Professor with tenure are based on the quantitative and qualitative characteristics of the candidate's cumulative record, not on seniority.



Criteria for Promotion to Professor

For promotion from Associate Professor to Professor, candidates must demonstrate national and/or international recognition for scholarship, impact, and leadership in their field of study in addition to showing evidence of continued excellence in research, teaching, and service.

The criteria outlined below specify a variety of ways since promotion to Associate Professor in which faculty may demonstrate excellence in performance for promotion to Professor. Approaching any of these is a mark of significant achievement, even if all the goals are not met. Importantly, these criteria are to be regarded as standards toward which we are evolving.

I. Research

A. Research Publications

Candidates should have achieved a substantial body of scholarship that demonstrates a coherent trajectory and impact. 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 impact and recognition.

Below are some indicators of research productivity. The number of publications *after* submitting one's packet for tenure and promotion to associate professor is partially determined by whether the candidate primarily writes books or articles and whether the candidate engages in qualitative or quantitative research. Although the discussion below involves quantification of productivity, evaluation of scholarly activity is based primarily upon quality and evidence of a habit of publication and research activity. In other words, the steadiness, quality, and impact of publications are more important than the precise number.

For faculty members who primarily publish their research as journal articles, the goal is to achieve the criterion of approximately 8-10 articles that demonstrate the candidate's impact in their established program of research. Online publications with a DOI count as in print publications. Most of these articles should be in peer refereed journals. Of these, greater weight will be given to articles in major national journals and to leading journals in one's area(s) of specialization. The remaining manuscripts may appear in edited volumes or series as chapters, essays, or invited papers.

For faculty members who primarily publish their research as books, the goal is to achieve the criterion of approximately:

1. at least two scholarly books with a highly regarded publisher. The second book could be in press (not in review, but fully accepted for publication and in copyedit or proof pages stage) or;

2. one book that incorporates a major study or integrates findings from various aspects of their research program and at least four refereed articles and/or book chapters.

Books published by academic presses or by cross-over commercial presses will be given more weight than those published by other presses. Favorable review and/or awards by professional societies will be taken into account in evaluating a book's contribution to the discipline.

In addition to the article or book tracks referenced above, technical reports (funded research reports, technical manuals, commissioned reports), policy reports, and other research products (e.g., software, assessment tools and statistical programs) may be considered as part of the person's overall research productivity, particularly when they are a salient part of a programmatic research vision.

The candidate must show evidence of leadership and impact in their research. Leadership can include lead authorship and critical contributions (e.g., substantive, methodological) in the work led by others. Lead authorship includes articles where the candidate is the primary faculty member co-authoring with students. The Sanford School is an interdisciplinary program and recognizes and values the importance of collaborative research. The T. Denny Sanford School of Social and Family Dynamics is an interdisciplinary program and recognizes and values the importance of collaborative research. As such, we strongly encourage collaborative work – and in fact, highlight this kind of work as a reflection of a candidate's ability to work in teams that address important and critical questions.

Presentations of papers at national, regional, and special area conferences also will be considered in evaluating productivity. A pattern of paper presentations signifies recognition and involvement in one's area (s) of specialization.

B. Research Grants

Some methods and techniques of The Sanford School research (e.g., surveys) demand funding for effective pursuit, whereas other methods require little funding. For example, secondary analysis or historical studies simply require that existing data or archives, respectively, be available and ethnographic research usually is conducted by a single investigator. Consequently, the number and size of research grants can vary considerably for equally productive investigators. Nevertheless, information on research grants is useful for evaluating the candidate's excellence in research and this is expected of senior faculty seeking promotion.

The candidate's success in attracting external funding will be considered. In these cases, obtaining external funding is validation of the soundness and promise of the candidate's research program and scholarly accomplishments. Moreover, where the candidate is the Principal Investigator, the receipt of external funding shows confidence in the candidate's reliability in administering the research project effectively and contributes to the School's national reputation.

Sometimes candidates who engage in collaborative research are listed as Co-Investigators rather than Principal Investigators on research grants. In instances in which the Co-Investigator has played an important role in securing or executing a grant, it should be recognized as being consistent with the interdisciplinary and collaborative environment of the School. Promotion to Professor should, in most cases, reflect an ability to provide leadership and success in obtaining external funding.

Work-in-progress and proposals may be examined; however, *refereed publications and research grants obtained (especially competitive grants)* represent the primary evidence of the candidate's research contributions. In the case of work disseminated through channels where evaluators are unlikely to know the quality of outlets (e.g., journals in other fields, new or uncommon journals, proceedings, or sponsored research reports), the candidate is expected to provide evidence of the stature of the outlet and the nature and importance of the contribution.

C. Recognition of Accomplishment

Nomination for and receipt of awards and honors from professional associations and from the University for accomplishment in research and scholarship will be considered in validating the quality of the candidate's productivity. By this time, it is likely that the candidate a) would have been invited to participate at specialized conferences, speak at colloquia, or give public lectures; b) would have been appointed to editorial boards or editorships of scholarly journals; c) would have been asked to serve on grant-review panels of at least one agency; d) would have accumulated a substantial body of citations (excluding self-citations) in the Social Science Citation Index or using the h-index; or e) would have been elected to an office (or executive council) or a national professional organization.

It is important that faculty demonstrate research productivity that systematically adds to the creation of knowledge in a given area. That is, research efforts should be programmatic and focused, and should add to the general body of knowledge in an area of inquiry. Evaluating this activity requires the highest level of professional judgment on the part of the evaluators for two reasons: 1) the difficulty of the judgments involved and 2) the judgments concern the contributions and the candidate's likely future career.

II. Teaching

Teaching is a multifaceted activity. For purposes of promotion in The Sanford School, teaching effectiveness is considered to be made up of 3 components:

- A. Classroom (live, virtual, and/or asynchronous) teaching and command of subject matter;
- B. Serving as a mentor in the cases of postdoctoral candidates, master's theses, and doctoral dissertations for graduate students, and senior theses, nonthesis-research, and/or honors projects for undergraduate students;
- C. Developing courses, curricula, and materials related to classroom instruction.

Peer review of curriculum materials such as syllabi and assignments will be an additional mechanism to evaluate quality. Evidence of innovative methods of teaching will also be evidence of teaching excellence.

The candidate is expected to meet the minimum teaching load each academic year and to teach required courses in the undergraduate and graduate curricula. The Sanford School also expects the candidate to participate in the training of graduate students. In addition to teaching graduate courses, the candidate is expected to serve on and chair thesis and dissertation committees, provide questions for and evaluate comprehensive examinations, and serve as the Graduate Dean's representative when called upon.

Each of the three components of teaching is rated individually.

The determination of teaching effectiveness is difficult and involves substantial professional judgment. Consideration will be given to such factors as student evaluations, peer teaching evaluations, student and course load, level of courses, new courses developed, variety of courses, number of students mentored, and type of mentoring activities.

A candidate is considered meeting a level of excellence in teaching if classroom teaching and/or peer evaluations are very positive and the remaining components are considered to be comparable to other faculty with similar teaching obligations within SSFD.

A candidate is considered not meeting a level of excellence in teaching if classroom teaching and/or peer evaluation ratings are not very positive and/or the remaining components are considered to be not comparable to other faculty with similar teaching obligations within SSFD.

III. Service

Service to one's profession, university, and surrounding community are all valued and often are inextricably connected to one's research and teaching contributions. Evidence of service, regardless, can be documented in several ways.

There should be evidence of continual active service and leadership within the School, College, and university. Membership and active participation in professional associations is expected.

Community service may count for promotion if it meets certain criteria. Service activities must be tied directly to one's special field of knowledge and relate to, and flow directly out of, this professional activity. Included are activities that relate directly to the intellectual work of the professor and are carried out through unpaid consultation, technical assistance policy analysis, program evaluation, public speaking, and the like. In documenting these kinds of community service, faculty should include evaluations of those who received the service, if possible. The service will be evaluated by the department with respect to promotion in light of the following questions: Is the activity directly related to the academic expertise of the professor? Have

project goals been defined, procedures well planned, and actions carefully recorded? In what way has the work not only benefited the recipients of such activity but also added to the professor's own understanding of the field?

Membership and active participation in professional associations is expected. Examples of active participation include attendance at annual meetings, membership on editorial boards, memberships on councils, holding office, and committee service.

Standards. Service inside the university and outside the university are rated on the basis of quality and quantity. More specifically, it is rated on the candidate's willingness to do and record of appropriate service to the unit, university, and profession.

A candidate is considered engaged and effective in service if the evidence indicates a contribution that is approximately equal to faculty within the same rank and discipline in service.

A candidate is considered not being engaged and/or ineffective in service if evidence indicates a contribution that is below that of faculty within the same rank and discipline in service.

Evaluation of Candidate for Promotion to Professor

To be considered for positive recommendation for interim evaluations or for tenure and promotion to Professor in The Sanford School, the candidate must require demonstration of the following:

- Refereed publications
- Creativity and leadership in research
- Evidence of applying for and/or winning external funding awards
- Demonstrated competence in subject matter commensurate with graduate or undergraduate teaching evidenced through instructional contributions and/or mentoring
- Effective service and leadership in School, College, University, and community
- Evidence of professional service and activity (e.g., active participation in related professional associations, editing/reviewing for professional journals, speeches, presentations at national professional conferences)
- National recognition (e.g., recognition by established leaders in the candidate's field of the candidate's contributions, service on editorial boards or on professional organizations' boards, service of review panels for professional organizations or the government)

Furthermore, all faculty are expected to conform to a high standard of personal and professional ethics. The ASU Faculty Code of Ethics is described in the Academic Affairs Policy and Procedures Manual (ACD 204-01). Failure to adhere to this code could result in disciplinary action and/or denial of tenure and promotion.

Promotion to Professor is based upon the continuing progress of the candidate, the continued demonstration of excellence and leadership in teaching and service, and the extension of the candidate's reputation in scholarship. Effectiveness in pending professional contributions may be considered but may not be substituted for proof of a sustained independent program of research, teaching, and service. Recommendations for promotion to Professor are based on the quantitative and qualitative characteristics of the candidate's cumulative record, not on seniority.

