



Guidelines for Promotion and Tenure for Assistant and Associate Professors

School of Business, UW Bothell

(January 12, 2018)

HOW THIS DOCUMENT IS TO BE USED

This document is an articulation of existing tenure and promotion practices and their alignment with the UW faculty code and relevant Presidential documents. We believe that this will be helpful in the tenure and promotion process for the faculty involved.

We aim to provide interpretive guidelines for what constitutes success standards as required by faculty code in research, teaching, and service. We encourage the faculty member to review Chapter 24 and 25 [see Appendices at the end of this document], Executive Order 45, and the resources maintained by Academic HR- <https://ap.washington.edu/ahr/actions/promotions-tenure/>.

We note that nothing written here supersedes the Faculty Code/Presidential Orders/Regent Policy documents. If there are any changes in the Faculty Code/Presidential Orders/Regent Policy that are specifically mentioned in this document, then the most recent version of the university code/order/policy applies automatically.

Any Assistant or Associate Professor may elect to have the previous guidelines document (2007 version) apply by writing to the Dean by December 31, 2018 (or earlier for AY 2017-18 tenure or promotion cases). Otherwise, this document will apply to all cases initiated beyond January 1, 2019 and to all tenure-line faculty hired subsequent to the adoption of this.

INSPIRING BUSINESS EXCELLENCE

Box 358533, 18115 Campus Way NE, Bothell, WA, 98011
Tel: (425) 352 5394, Fax: (425) 352 5277, TTY (425) 352 5303, www.uwb.edu/business

UW Bothell Eastside Leadership Center, Suite E-100, 2515 140th Ave. NE,
Bellevue, WA 98005, Tel: (425) 352-3608



PRME



Section #1- Preamble

The UW Faculty Code and Governance document states the following in Section 25-41 (Granting of Tenure: Policy and Procedure):

Tenure should be granted to faculty members of such scholarly and professional character and qualifications that the University, so far as its resources permit, can justifiably undertake to employ them for the rest of their academic careers.

It goes on to instruct:

Such a policy requires that the granting of tenure be considered carefully. It should be a specific act, even more significant than promotion in academic rank, which is exercised only after careful consideration of the candidate's scholarly and professional character and qualifications.

[For "Documentation of Qualifications and Recommendations for Promotion, Tenure, and Merit Increases," see Executive Order No. 45]

Tenure¹ is specifically defined in the Faculty Code and Governance as follows:

Section 25-31 Definition of Tenure

Tenure is the right of a faculty member to hold his or her position without discriminatory reduction of salary, and not to suffer loss of such position, or discriminatory reduction of salary, except for the reasons and in the manner provided in the *Faculty Code*.

Section 25-31, April 16, 1956; S-A 73, May 24, 1985: both with Presidential approval.

¹ Regent Policy No. 2, Tenure of the Faculty Statement of Policy

The University of Washington Regents accept in principle the concept that tenure for members of the faculty is essential for effective teaching and sustained productivity in scholarship. They furthermore accept in principle the concept that the privilege of a faculty member to hold his or her position without discriminatory reduction in salary, and not to be removed therefrom, should not be abrogated except for cause and through orderly administrative processes, maintaining and retaining, however, the responsibilities and obligations of the Board of Regents as defined in the laws of the state of Washington. *BR, October 1954; May 1956; per Executive Order No. 47, Section 2: confirmed January 3, 2017.*



Section #2- Purpose

Chapter 24-34 of the Faculty Code states:

A.2. Appointment to the rank of associate professor requires a record of substantial success in both teaching and research, except that in unusual cases an outstanding record in one of these activities may be considered sufficient.

A.3. Appointment to the rank of professor requires outstanding, mature scholarship as evidenced by accomplishments in teaching, and in research as evaluated in terms of national or international recognition.

The Preamble to Chapter 24-32 states:

In accord with the University's expressed commitment to excellence and equity, contributions in scholarship and research, teaching, and service that address diversity and equal opportunity may be included among the professional and scholarly qualifications for appointment and promotion outlined below.

EO 45 Section 4 provides the directions for the tenured faculty voting on the candidate's record in this regard. It requires:

In arriving at recommendations for promotion or tenure, faculty and chairs or program directors are directed to study the whole record of candidates.

EO 45 further specifies:

To warrant recommendation for the granting of tenure or for promotion in the professorial ranks, a candidate must have shown outstanding ability in teaching or research, an ability of such an order as to command obvious respect from colleagues and from professionals at other universities; and substantial contribution in other phases. The qualifications of teaching and research must remain unequivocally the central functions of the faculty, but administrative and other internal and extramural professional services must also be recognized.

Additionally, EO 45 Section 4 further requires:

Consideration must also be given to the way in which the candidate will fit into the present and foreseeable future of the academic unit. Does there appear to be a place for a candidate with these special interests? Will a given candidate help to bring the academic unit into balance or throw it out of balance? Does a given candidate demonstrate high standards of professional integrity and conduct, and a commitment to the sharing of academic and administrative duties sufficient to contribute to the achievement of the academic unit's goals? It does happen that individuals whose performance would otherwise warrant the granting of tenure should not, and cannot, become tenured here because the special nature of faculty requirements in the academic unit makes it impractical.



Section #3- Research

All candidates are encouraged to review Executive Order 45, Section 2 (shown in its entirety below) and its guidance on research contributions:

All members of the faculties must demonstrate scholarly ability and attainments. Their qualifications are to be evaluated on the quality of their published and other creative work, the range and variety of their intellectual interests, their success in achieving an appropriate level of independence and/or collaboration, their success as appropriate in securing external support, their success in training graduate and professional students in scholarly methods, their participation and leadership in professional associations and in the editing of professional journals, and their potential for continued success in scholarly attainments. Attainment may be in the realm of scholarly investigation, in the realm of constructive contributions in professional fields, or in the realm of the creative arts.

In the School of Business, candidates for promotion to Associate Professor must have a base of publications in high-quality refereed journals, and a trajectory indicating evidence of continuing publications. Candidates for Professor must demonstrate intellectual leadership with evidence of continuing productivity in high-quality refereed journals since their appointment as Associate Professor.

We value high-quality publications in fields relevant to business². We assume that articles published in top-tier journals³ have gone through a rigorous review process and, therefore, contribute significantly to the state of knowledge⁴. Articles in other journals could contribute just as much or more, but such articles must be addressed on their merits. Additional evidence – awards, citations, downloads, etc. – that establish extraordinary quality/impact of an article will be considered. Letters from external reviewers are important, as is the reputation of the reviewers. Care must be taken to ensure independence of outside reviewers and to avoid obvious conflict of interest (e.g., co-authors, dissertation adviser) with the choice of reviewers. Research that addresses diversity and equal opportunity will be viewed positively. Intellectual independence is valuable and there are multiple ways to demonstrate it- sole authorship may be one such way.

² Junior faculty members in the School of Business are generally advised to concentrate more on discipline-based rather than on interdisciplinary research at the beginning of their careers. This can help establish a national reputation more quickly and lead to a greater likelihood that his or her interdisciplinary research will be taken seriously. An enhanced benefit is that it has the potential to lead to greater career mobility.

³ Candidates are welcome to consult with senior faculty about the quality of journals.

⁴ We recognize that top-tier research journal papers may be inspired, initiated, supported, or motivated from diverse sources including internal reflection, collegial discussion, undergraduate research, classroom discussions, and, community-engaged activities.



Section # 4- Teaching

All candidates are encouraged to review Executive Order 45, Section 1 (shown in its entirety below) and its guidance on teaching contributions-

An essential qualification for the granting of tenure or for promotion is the ability to teach effectively. Some elements in assessing effective teaching are: the ability to organize and conduct a course appropriate to the level of instruction and the nature of the subject matter; the consistency with which the faculty member brings to the classroom the latest research findings and professional debates within the discipline; the ability to stimulate intellectual inquiry so that students develop the skills to examine and evaluate ideas and arguments; the extent to which the faculty member encourages discussion and debate within the course to enable students to articulate the ideas they are exploring; the availability of the faculty member to the students beyond the classroom environment; the regularity with which the faculty member examines or re-examines the organization and readings for a course and explores new approaches to effective educational methods. A major activity related to teaching is the faculty member's ability to participate in academic advising and counseling, whether this takes the form of assisting students to select courses or discussing the students' long-range goals. The faculty member's concern for the progress and well being of the students is an inseparable adjunct to the classroom.

Candidates for the rank of Associate Professor should demonstrate substantial success in teaching. Candidates for the rank of Professor should demonstrate outstanding teaching and intellectual leadership.

The fundamental components of teaching effectiveness include mastery of the subject matter, the ability to convey it effectively to students, and diligence to ongoing improvement in both subject area expertise and pedagogy.

In addition, we recognize as per Chapter 24-32, Section C:

<http://www.washington.edu/admin/rules/policies/FCG/FCCH24.html>

The scope of faculty teaching is broader than conventional classroom instruction; it comprises a variety of teaching formats and media, including undergraduate and graduate instruction for matriculated students, and special training or educational outreach. The educational function of a university requires faculty who can teach effectively.

To this end, we provide these guidelines:

1. As subject matter experts, faculty members are expected to demonstrate domain expertise in the classroom including knowledge of new research and trends.
2. The candidate should demonstrate an ability to use the capabilities discussed in (1) above to aid student learning. This includes organizing and conducting courses appropriate to the level of instruction and the nature of the subject matter, selecting appropriate



pedagogical tools, communicating effectively in person and/or via technology, and maintaining a classroom environment conducive to learning.

3. The candidate should demonstrate continuous efforts and ongoing development as a teacher in both content expertise and pedagogical technique. This includes regularly examining and being reflective regarding the content, design and structure of courses and making changes when appropriate. It also includes considering innovative approaches to effective teaching and to periodically assessing their effectiveness in improving student learning.
4. Faculty are typically required to teach at undergraduate and graduate levels, as appropriate.
5. Teaching-related activities that address diversity and equal opportunity will be viewed positively.
6. The school recognizes that teaching goes beyond classroom instruction and values contributions such as-
 - a. Sponsoring Internships, Independent studies and Undergraduate Research.
 - b. Engagement with community partners.
 - c. “Championing” courses and sharing teaching material with colleagues.

There must be evidence of effective teaching in the various courses the candidate teaches (core, electives, MBA, etc.). This should be substantiated by student evaluations, testimonial letters from students, teaching awards, etc. We require (see the Provost checklist), yearly peer evaluations for Assistant Professors. Associate Professors are required to conduct peer evaluations “at least every three years and in the year prior to reappointment or promotion⁵.” Particular attention is paid by the School of Business to the level of intellectual challenge of the courses, and the level of student engagement. Toward this end, we look at the Challenge and Engagement Index (CEI), as well as the number of (valuable) hours worked.

⁵ <https://ap.washington.edu/ahr/actions/promotions-tenure/>



Section #5- Service

All candidates are encouraged to review Executive Order 45, Section 3 (shown in its entirety below) and its guidance on service contributions-

The scope of the University's activities makes it necessary for members of the faculty to engage in many activities outside of the fields of teaching and research. These may include participation in University committee work and other administrative tasks, clinical duties, and special training programs. The University recognizes the value of its faculty in rendering these internal services as well as extramural professional services to schools, to industry, and to local, state, national, and international organizations.

While candidates for the rank of Associate Professor may generally carry a somewhat lighter service load than tenured faculty at the School of Business, they are expected to make identifiable service contributions. Candidates for the rank of Professor should demonstrate significant leadership at the school, campus, and, professional levels. Service activities that address diversity and equal opportunity will be viewed positively.

We value service⁶ to the school, campus, the University, profession and to the larger community. How well one performs in service is an important criterion in evaluation.

⁶ It is the responsibility of the faculty member to discuss with school administration the nature of his/her service activities.



Section #6- Dossier

Per Chapter 24-54, Section B, while the final dossier is assembled by the school, the candidate is responsible for providing up-to-date and accurate materials related to the promotion record.

In assembling the materials for submission, the candidates for promotion and tenure, are strongly encouraged to consult the following two sources:

- 1) The UW Provost checklist. It is critical to ensure that the dossier is built and organized to this list. The list can be found at:
http://ap.washington.edu/cms/wp-content/uploads/Promotion_Tenure_Checklist.pdf

As of this writing, the minimum required documents to be provided by the candidate in the Provost Checklist are as follows:

- Candidate's response to committee report (if applicable)
- Candidate self-assessment
- CV and bibliography
- 3-5 external letters of evaluation
- Teaching evaluations (peer) - Required each year for assistant professors and lecturers, every 3 years for associate professors
- Course teaching evaluations (student)

- 2) The UWB CCPTFA Suggestions for Preparation of the Promotion/Tenure Portfolio. This has been developed to provide suggestions for helping a candidate complete this task:
<http://www.uwb.edu/getattachment/gfo/documents/ccptfa-reference-manual-final-webpage-original.pdf>

But to be clear, as of this writing, there are no campus level guidelines for assembling of the tenure/promotion portfolio. It must be noted that these are suggestions of the CCPTFA based on their review of the practices across all units at UWB.

Section #7- Nexus to Third Year Reviews, Annual Merit Reviews and Annual Conferences

Per sections 24-55 and 24-57 of the faculty code, annual conferences, and, annual reviews will be conducted. Annual conferences focus on future goals and objectives while annual reviews focus on past performance. It is more likely that the discussions in the annual conference will be relevant to progress towards promotion as opposed to the annual merit review. Candidates are advised to attend to the feedback from the dean (or designee) in these meetings. These discussions are not definitive but can be indicative of trends in the progress of the candidate.

Annual merit reviews and for Assistant Professors, a third-year review are typically included in the candidate's dossier.



P&T reviews are more holistic and have a significant forward-looking component. Consequently, the School of Business makes an effort to conduct their P&T evaluation somewhat independent of other prior assessments.

On the other hand, annual merit reviews are snapshots of effort and/or outcomes in a very specific time frame. The School of Business recognizes that the publication process is often long and drawn out and involves multiple iterations of submissions. Therefore, for instance, a rating of “non-meritorious” may merely signify a lack of success for a current year and have no bearing on the outcome of the P&T evaluation. Similarly, ratings of “meritorious” or “highly meritorious” may indicate success in a given year, but not necessarily indicate a substantial record with a commensurate trajectory that would imply future tenure. However, receiving a rating of non-meritorious in multiple (and, especially, consecutive⁷) years leading up to tenure evaluation may indicate more serious problems that must be addressed and increases the probability of an adverse tenure decision.

A third-year review may be somewhat more indicative of progress towards tenure. A successful outcome at this stage is not a promise of future tenure. The third-year outcome letter will have more diagnostic value. It may provide some guidance and caveats on teaching, research, and service that candidates should consider carefully as they continue to build their record⁸.

For instance, in a successful third-year review, a faculty member may have merely made significant progress towards a publication/s. However, to be supported for tenure, the faculty member must demonstrate substantial success as discussed earlier. Similarly, in a successful third-year review, an Assistant Professor may have demonstrated commitment toward becoming a successful teacher. To achieve tenure, however, a faculty member must meet the higher standard of having become a successful teacher. Finally, in a successful third-year review, an Assistant Professor may have participated in service activities. To be granted tenure, however, the faculty member must establish identifiable service contributions.

⁷ Section 24-55 H of the UW faculty code requires that- “At the option of the faculty member affected, and mandatorily in the event of two consecutive annual ratings of no merit (as a result of reviews under this section), the chair of the faculty member's department (or dean of an undepartmentalized school or college) shall, after consultation with the faculty member, appoint an ad hoc committee of department (or school/college) faculty superior (or, in the case of full professors, equal) in rank or title to the faculty member. This committee shall meet at its earliest convenience with the faculty member and review more fully the record and merit of that faculty member.”

⁸ A third-year letter may sometimes provide specific guidance on research, such as on publication choices; and/or on teaching such as on trends on improvements in teaching evaluations, CEI index and “valuable” hours of work, all of which contribute to establishing a record of good progress towards establishing teaching effectiveness.



APPENDICES:

A-1: Provost Checklist:

[http://ap.washington.edu/cms/wp-content/uploads/Promotion Tenure Checklist.pdf](http://ap.washington.edu/cms/wp-content/uploads/Promotion_Tenure_Checklist.pdf)

A-2: Chapter 24

<http://www.washington.edu/admin/rules/policies/FCG/FCCH24.html>

A-3: Chapter 25

<http://www.washington.edu/admin/rules/policies/FCG/FCCH25.html>

A-4: Executive Order 45

<http://www.washington.edu/admin/rules/policies/PO/EO45.html>