



## **Guidelines for Promotion and Tenure for Assistant and Associate Professors**

School of Business, UW Bothell

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### **HOW THIS DOCUMENT IS TO BE USED**

*This document is an articulation of the 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.*



## **Guidelines for Promotion and Tenure for Assistant and Associate Professors**

### **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]*

Tenure<sup>1</sup> 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.*

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#### **<sup>1</sup> Regent Policy No. 20: 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; BR, July 11, 2019.

**Section #2 Purpose, Qualifications, and Process**

As noted in the preamble of Executive Order (EO) 32 on “Employee Responsibilities and Employee Conflict of Interest”:

*Policies guide but are not sufficient in themselves to capture the essential qualities that should characterize the collegiality of the academic community. The University is first and foremost a community of scholars charged with the responsibility of educating the next generation. The institution provides the framework within which that task is carried out. To do so successfully and harmoniously requires that all cooperate in a spirit of mutual support and interest.*

The Preamble to the UW Faculty Code Chapter 24-32 on “Scholarly and Professional Qualifications of Faculty Members” states:

*The University faculty is committed to the full range of academic responsibilities: scholarship and research, teaching, and service. Individual faculty will, in the ordinary course of their development, determine the weight of these various commitments, and adjust them from time to time during their careers, in response to their individual, professional development and the changing needs of their profession, their programs, departments, schools and colleges, and the University. Such versatility and flexibility are hallmarks of respected institutions of higher education because they are conducive to establishing and maintaining the excellence of a university and to fulfilling the educational and social role of the institution. All candidates for initial faculty appointment to the ranks and/or titles listed in Chapter 21, Section 21-32. A shall submit a statement of past and planned contributions to diversity, equity, and inclusion. Academic units and search committees shall consider a candidate's statement as part of a comprehensive evaluation of scholarship and research, teaching, and service.*

In accordance with UW policies and state and federal law, the School of Business affirms its commitment to non-discrimination, diversity, and freedom of thought. EO 81 on “Prohibiting Discrimination, Harassment, and Sexual Misconduct” states:

*“The University prohibits discrimination in all programs and activities, including education, employment, and patient care, based on an individual’s actual or perceived protected characteristics. Protected characteristics include race, color, creed, religion, national origin, citizenship, sex, pregnancy, age, marital status, sexual orientation, gender identity or expression, genetic information, disability, or veteran status.”*

Further, the UW Faculty Code Chapter 24-32 states:

*“In accord with the University’s expressed commitment to excellence and equity, any contributions in scholarship and research, teaching, and service that address diversity and equal opportunity shall be included and considered among the professional and scholarly qualifications for appointment and promotion [...]”*

Chapter 24-34 of the Faculty Code on “Qualifications for Appointment at Specific Ranks and Titles” 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.*

Section 4 of EO 45 “Documentation of Qualifications and Recommendations for Promotion, Tenure, and Merit Increases” 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.*

Other Considerations in 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 explicitly notes, that while most of the above deal with “factors with reference to the granting of tenure or for promotion thus far mentioned have to do with the qualifications of the candidate as an individual and may be regarded as the intrinsic factors” it requires an assessment of fit. Specifically, it 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.*

As per the Class C resolution “Concerning Community-Engaged Scholarship” approved by the UW Faculty Senate on February 24, 2022, community-engaged scholarship is defined as:

*“WHEREAS, the UW Community Engagement Steering Committee (2019-2020) has defined community engagement at the UW as, “[reciprocal] collaboration between the UW and our larger communities (local, tribal, regional/state, national, global) for the equitable, mutually beneficial creation and exchange of knowledge and resources...”*

In the School of Business, we recognize that community-engaged scholarship may be inspired, initiated, supported, or motivated from diverse sources including internal reflection, collegial discussion, undergraduate research, classroom discussions, and community-engaged activities. Faculty members have complete freedom to pursue their intellectual pursuits.

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. We value high-quality publications in fields relevant to business, whether discipline-based or interdisciplinary in nature. We assume that articles published in top-tier journals<sup>2</sup> have gone through a rigorous review process and, therefore, contribute significantly to the state of knowledge. Scholarship of other forms could contribute just as much, but such outputs must be assessed on their merits.<sup>3</sup> Section 24-32 B of the University Faculty code states that:

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<sup>2</sup> Candidates may consult with senior faculty about the quality of journals.

<sup>3</sup> Publications in predatory journals are not considered positively for tenure and promotion. Candidates may consult with senior faculty about journals they are not sure about.



*“The creative function of a university requires faculty devoted to inquiry and research, whose attainment may be in the realm of scholarly investigation, in constructive contributions in professional fields, or in the creative arts, such as musical composition, creative writing, or original design in engineering or architecture. While numbers (publications, grant dollars, students) provide some measure of such accomplishment, more important is the quality of the faculty member's published or other creative work.”*

The scholarly output of the Faculty in the School of Business may also take the form of books, monographs, or other academic contributions. However, in the spirit of Section 24-32 B we reiterate that *“while numbers (publications, grant dollars, students) provide some measure of such accomplishment, more important is the quality of the faculty member's published or other creative work.”* Additional evidence - awards, citations, downloads, etc. - that establishes extraordinary quality/impact of a research output will be considered. Contributions to open science, as well as entrepreneurial and innovative activities that translate research into practical applications or societal impact, may be considered as part of scholarly work.

Letters from external reviewers are important in assessing the merit of the scholarship produced, as is the reputation of the reviewers. Care must be taken to ensure independence of outside reviewers and to avoid obvious conflict of interest with the choice of reviewers (e.g., co-authors, dissertation adviser etc.). Intellectual independence is valuable and there are multiple ways to demonstrate it -- sole authorship may be one such way.

Full Professor is the highest rank the University bestows on a faculty member. Therefore, promotion to full professor requires excellence in research and national or international recognition as a mature scholar. The candidates are expected to have a continued record of publications in high-quality journals after their appointment and promotion to Associate Professor.

Maturity of scholarship is reflected in the rigor and depth of one's research, and the contribution it makes to the literature, as recognized by the experts in the field. Other activities such as invited editorial engagements in reputed research journals, delivering invited speeches at well-respected research conferences, being invited to serve on the scientific committee for conferences, recognition as an academic expert by the industry through invitation to lead/participate in industry conferences, leading international research projects, and other activities as specified under chapter 24-32 can also be viewed as evidence of mature scholarship.

The University Faculty adopted the following language in the faculty code Chapter 24-32 as follows in relation to all promotion and tenure:



*Scholarship, the essence of effective teaching and research, is the obligation of all members of the faculty. The scholarship of faculty members may be judged by the character of their advanced degrees and by their contribution to knowledge in the form of publication and instruction; it is reflected not only in their reputation among other scholars and professionals but in the performance of their students.*

It goes on to state:

*Important elements in evaluating the scholarly ability and attainments of faculty members include the range and variety of their intellectual interests; the receipt of grants, awards, and fellowships; the professional and/or public impact of their work; and their success in directing productive work by advanced students and in training graduate and professional students in scholarly methods. Other important elements of scholarly achievement include involvement in and contributions to interdisciplinary research and teaching; participation and leadership in professional associations and in the editing of professional journals; the judgment of professional colleagues; and membership on boards and committees.*

The School of Business tenure standards will reflect the letter and spirit behind the above guidelines in faculty code (Chapter 24-32).

#### **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 wellbeing 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:

*The scope of faculty teaching includes the ability to stimulate critical engagement, intellectual inquiry, discussion, and share the latest research findings and professional debates within the discipline. It also 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 continuing education and the instructor's availability to learners beyond the classroom environment (for example, through office hours, communication channels such as email or course question-and-answer forums, and writing letters of recommendation.*

*The educational function of a university requires faculty to routinely reflect on and refine teaching practices. Instruction must be judged according to each of the following core elements of effective teaching:*

*-Aligned: Effective teaching is intentionally designed and organized to help learners meet learning objectives.*

*-Inclusive and equitable: Effective teaching considers learners' experiences and creates opportunities for each learner to thrive.*

*-Active and engaged: Effective teaching creates opportunities for learners to critically engage ideas and each other.*

*-Growth-oriented: Effective teaching creates opportunities for learners to learn through practice and provides feedback that helps them grow their knowledge and abilities.*

*-Relevant: Effective teaching helps learners understand why what they are learning matters and prepares them for future learning and life after the UW.*

To this end, we provide these guidelines which should be read in conjunction with Section 24-32, Section C:

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 curricula, and making changes when appropriate. It also includes developing innovative approaches to effective teaching and periodically assessing their effectiveness in improving student learning.
4. Tenure track faculty are typically required to teach at undergraduate and graduate levels, as appropriate. Graduate teaching may also include graduate level certificates and doctoral supervisory committees.
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 and global partners;
  - c. “Championing” courses and sharing teaching materials with colleagues;
  - d. Providing mentorship to student entrepreneurship ventures.

There must be evidence of effective teaching in the various courses the candidate teaches (Undergraduate, Graduate, core, electives, etc.). This should be substantiated by Course Evaluations, testimonial letters from students, teaching awards, etc. We require (see the Provost Checklist Appendix A-1) 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 promotion, as required by Faculty Code (see Section 24-57-A). Over time, peer reviews are strongly encouraged to involve a variety of faculty across ranks and tracks and include at least one reviewer from the candidate’s academic area with the most direct expertise relevant to the courses being observed. 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 and ratio of (valuable) hours worked.

### **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 Assistant Professors may generally carry a somewhat lighter service load than tenured faculty at the School of Business, they are expected to make service contributions. Candidates for the rank of Professor should demonstrate significant leadership through significant acknowledgements or awards, at the school, campus, University, and professional<sup>4</sup> levels. Service activities that address diversity and equal opportunity will be viewed positively.

We value service<sup>5</sup> to the school, campus, the University, profession and to the larger community. How well one performs in service is an important criterion in evaluation. While participation in service may be adequate for Assistant Professors, for promotion to Full Professor, a candidate must demonstrate service leadership through significant acknowledgements, identifiable service products, or service awards.

### **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:  
[https://ap.washington.edu/wp-content/uploads/Promotion\\_Tenure\\_Checklist-2024-25.pdf](https://ap.washington.edu/wp-content/uploads/Promotion_Tenure_Checklist-2024-25.pdf)

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

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<sup>4</sup> Service to the profession includes activities such as peer review, editorial service, and conference service.

<sup>5</sup> It is the responsibility of the faculty member to discuss with school administration the nature of their service activities.

- Candidate's confirmation of receipt and response (if applicable) to committee, faculty, and dean reports.
- Candidate self-assessment
- CV and bibliography
- 3-5 external review letters
- Teaching evaluations (peer) - Required each year for assistant professors and lecturers, every 3 years for associate professors
- Course Evaluations, as required by the Faculty Code. We strongly encourage faculty to provide Course Evaluations for all courses taught for the current period of appointment
- Form 1460 (Outside Work)

It is also strongly advised to include examples of syllabi for each course taught. Additional materials demonstrating teaching effectiveness (e.g., sample assignments, student work) are encouraged.

2. The UWB CCPT Suggestions for Preparation of the Promotion/Tenure Portfolio. This has been developed to provide suggestions for helping a candidate complete this task: <https://www.uwb.edu/gfo/wp-content/uploads/sites/34/2023/06/CCPT-Reference-Manual-2019-003.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 CCPT based on their review of the practices across all units at UWB.

### **Section # 7: Relationship to Third Year Reviews, Annual Merit Reviews, and Goals Meetings**

Per sections 24-55 and 24-57 of the faculty code, goals meetings, and annual reviews will be conducted. Goals meetings 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 intends to keep its P&T evaluations 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 particular year and have little bearing on the outcome of the P&T evaluation. Similarly, ratings of “meritorious” or “highly meritorious” may indicate success for a particular 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, consecutive<sup>6</sup>) 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 record<sup>7</sup>.

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 a record of meaningful service contributions.

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<sup>6</sup> 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.”

<sup>7</sup> 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: UW Provost Checklist:

[https://ap.washington.edu/wp-content/uploads/Promotion\\_Tenure\\_Checklist-2024-25.pdf](https://ap.washington.edu/wp-content/uploads/Promotion_Tenure_Checklist-2024-25.pdf)

A-2: UW Faculty Code Chapter 24

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

A-3: UW Faculty Code Chapter 25

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

A-4: UW Executive Order 45

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