



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

School of Business, UW Bothell

(Date Last Modified: June 6<sup>th</sup>, 2022)

**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 merely 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><https://ap.washington.edu/ahr/actions/promotions-tenure/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 hired prior to the adoption of this document may elect to have the previous guidelines document (2017 version) apply by writing to the Dean.*



**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.*

**<sup>1</sup> 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, 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.

Furthermore, UW Bothell Faculty Council intends to adopt the diversity statement as shown in full in Appendix 1 (subject to ratification by the faculty) with relevant excerpts below:

"The School of Business at University of Washington Bothell reaffirms its commitment to diversity and support to the underrepresented minorities in our community. We recognize that diversity enhances our community and academic excellence. Therefore, we cherish freedom of thought, welcome multiple frames of reference and learning experiences that foster sensitivity and flexibility towards cultural differences, embody the global context, and reflect the interdisciplinary nature of business decisions."

"...we seek to create a community where everybody is treated fairly and where marginalized communities have equal access to educational opportunities, a vital step in fostering economic prosperity in our community..."

"...We also denounce any form of discrimination based on cultural background, nationality, gender, sexual orientation, physical and learning abilities, and learning style."

The Preamble to the UW Faculty Code Chapter 24-32 on Appointment and Promotion 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.

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.

Among the UW Presidential Orders, is Executive Order No. 45 (EO 45) on Documentation of Qualifications and Recommendations for Promotion, Tenure, and Merit Increases. 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.

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 passed by the UW Faculty Senate (No. 615), 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. 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 establish extraordinary quality/impact of a research output will be considered.

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. 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.

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 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 relations to all promotion and tenure:

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 outlined below.

**A.** 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.

**B.** 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.

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 # 5 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:

<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 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 making changes when appropriate. It also includes considering innovative approaches to effective teaching and to 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, 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 partners.
  - c. “Championing” courses and sharing teaching material with colleagues.

There must be evidence of effective teaching in the various courses the candidate teaches (Undergraduate, Graduate, core, electives, etc.). This should be substantiated by student 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<sup>4</sup>.” 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.

### **Section #6- 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.

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<sup>4</sup> <https://ap.washington.edu/ahr/actions/promotions-tenure/>



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, and professional 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 #7- 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](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)

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



- 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: <http://www.uwb.edu/getattachment/gfo/documents/ccptfa-reference-manual-finalwebpage-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 CCPT based on their review of the practices across all units at UWB.

### **Section #8- 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 tries 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 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.

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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)



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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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: 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>

A-5: APPENDIX 5 - Diversity Statement – UWB School of Business



APPENDIX 5

Diversity Statement – UWB School of Business

UW Bothell Faculty Council intends to adopt a diversity statement (to be ratified by the faculty later). The current draft of this is appended below.

"The School of Business at University of Washington Bothell reaffirms its commitment to diversity and support to the underrepresented minorities in our community. We recognize that diversity enhances our community and academic excellence. Therefore, we cherish freedom of thought, welcome multiple frames of reference and learning experiences that foster sensitivity and flexibility towards cultural differences, embody the global context, and reflect the interdisciplinary nature of business decisions."

"As a public university we seek to create a community where everybody is treated fairly and where marginalized communities have equal access to educational opportunities, a vital step in fostering economic prosperity in our community and in the State of Washington."

"We stand in solidarity with our diverse student body, faculty, and staff. We aim to provide our students with the skills and tools necessary to become leaders in our community and create a more equitable world. We denounce racism and we honor the members of our community who are impacted by systemic racism. We also denounce any form of discrimination based on cultural background, nationality, gender, sexual orientation, physical and learning abilities, and learning style."