

### **ADDENDUM #3: Best Practices in UW Promotion and Tenure Guidelines**

As the Faculty Code determines the core definitions of success for tenure and promotion (including that of non-tenure track faculty), it is critical to consider how the Code might more robustly recognize and support these changes in the careers of faculty. This would begin with considering how the contributions of diversity scholarship and teaching, collaborative and interdisciplinary research and teaching, and community-engaged scholarship should be acknowledged, assessed, and valued in hiring, promotion, and merit policies and procedures. Currently the faculty code states that:

*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. In all these, contributions that address diversity and equal opportunity may be included. (Faculty code)*

Likewise, more specific language in Executive Order No. V says:

*[Scholarly] 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. (Executive Order V)*

At an institutional level, to recognize the value of community engaged research, we need not uphold such work as a *required* form of scholarship – instead, we can work to broaden our conception of what counts as valued scholarship. In President Cauce’s words, “we shouldn’t undervalue sharing that knowledge and understanding more broadly, in ways that inspire, inform and, in fact, help to better our communities and the world. . . I’m asking us to think seriously about what activities we value and incentivize and what activities we merely tolerate, or worse, dismiss” (Cauce lecture). This led to the question, how do current criteria for promotion and tenure at UW recognize and reward community engaged research?

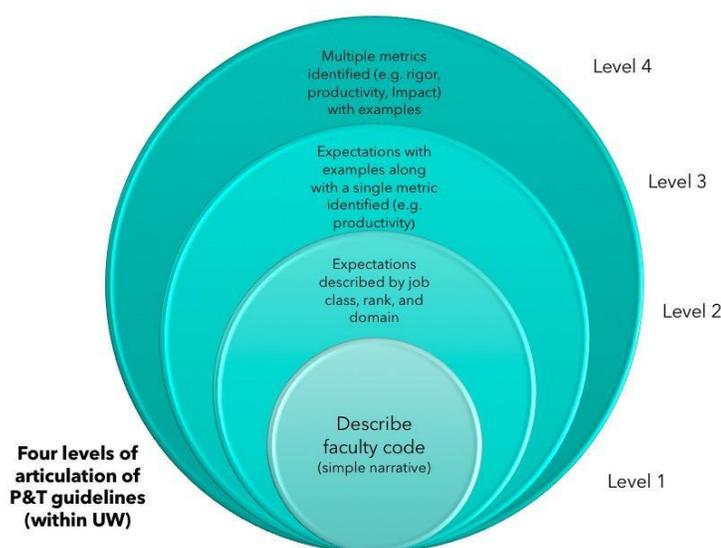
Chapter 24 of the UW Faculty Code offers the guiding principles for promotion and/or tenure of faculty in the institution. These principles are intentionally broad to allow for flexibility of interpretation due to heterogeneity in different disciplines (e.g., engineering, dance, Earth and Space sciences, business, and French and Italian studies, education). The broad nature of the code leads to ambiguity of expectations due to the wide variation of values and career paths within and between units on campus. Thus, there is a wide range of articulation of expectations with some units describing faculty code in a more expansive narrative form (Engineering) to other units with clearly established rubrics (UWT Nursing) that are used in the review of files for promotion. In-between are units that have detailed definitions and expectations outlined for junior faculty, but oftentimes those resources are considered informal tools for promotion file preparation and are not institutionalized into procedures that senior faculty and/or external reviewers use to review files (Education). The following sections highlight some of the findings from the informal review of promotion and tenures standards at the UW.

**Data Sources:** Promotion and Tenure documents were received from College of Arts and Sciences, Engineering, Foster School of Business, Education, Social Work, Public Affairs, Nursing (Tacoma), Urban Studies (Tacoma). These data are not encompassing all of the University

(especially the three campuses); however, they provide a nice range of approaches taken to address promotion and/or tenure.

### Results:

There was a wide range of detail provided for faculty in the promotion and tenure guidelines that were submitted among these units. After reviewing all submissions, it was apparent that there were several categories of articulation with increasing levels of detail and complexity. As shown in Figure 1, there were four levels of articulation of faculty code in the promotion files of tenure and non-tenure line faculty.



Each level builds upon the next. Meaning the units with a higher degree of articulation include the features at the preceding level(s) as well.

#### Level 1

Promotion and Tenure guidelines at level 1 are direct interpretations of the faculty code with some expansion on the components within Chapter 24. They do not include any detailed descriptions of expectations or any distinctions between performance expectations based on job classes (tenure line and non tenure line).

#### Level 2

Guidelines at this level include more expansive descriptions of the faculty code as well as more details of expectations of performance on the domains of research, teaching, and service based on job class (tenure line vs non tenure line), rank (assistant, associate, full, lecturer, senior lecturer, principal lecturer). The domains for non tenure line position are modified to include research and service (for research faculty) or teaching and service (for teaching faculty). For example, UW Tacoma Urban Studies has identified expectations and examples for the teaching and service domain for lecturers in the promotion process.

#### Level 3

Guidelines at level 3 not only have detailed descriptions of the Faculty Code, but also have the expectations for the domains of Research, Teaching, and Service outlined with performance

indicators listed as specific examples. For example, some units included a list of journals that are considered top tier in their field and faculty files are reviewed against this list. Some units considered the quality of scholarship based on the journal outlet--distinguishing between peer reviewed and non-peer reviewed or by distinguishing between applied/practice oriented journals and research/scholarly journals (but all as peer reviewed). Other units articulated specific ways to evaluate quality/impact of scholarship (citation counts, journal impact factor, source/amount of grant funding).

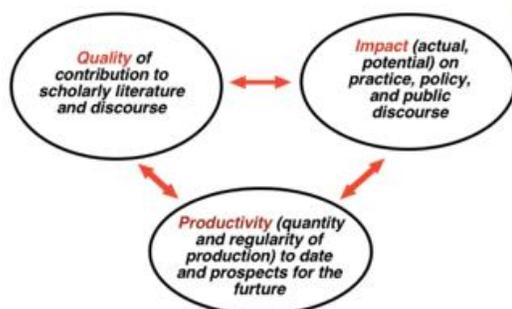
#### Level 4

The highest level of articulation of promotion and tenure guidelines that we can find were at level 4. Here, units on campus had all of the elements of levels 1-3 along with Levels 1-3 along with definitions of multiple metrics as measurement tools of the indicators. For example, one unit defined "Quality, Impact, Productivity", lists specific indicators that align with each of the definitions, and then identified how the metric could be used to evaluate the Research domain, Teaching domain, and Service domain in a promotion file. This unit also has a lengthy informal document that describes "what matters most" in the review process.

## COLLEGE OF EDUCATION

- Overall "values" description: Integration, Balance, Connection, and visibility
- Domains: Research, Teaching, Service (including advising)
- Metrics: Quality, Impact, Productivity with Indicators on each domain

Your publication record will be considered in light of three different standards, which cannot all be maximized....



UNIVERSITY of WASHINGTON June 3, 2011

College of  
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The Impact Standard

*Assessors are likely to pay attention to—*

1. **Cogency and accessibility to practitioner, policy, or public audiences**
2. **Relevance to pressing concerns**
3. **Grounding in high-quality investigations, analysis**
4. **Reach to key audiences, users**
5. **Educative value**

*Likely indicators:*

- Publication in wide-circulation practice-focused outlets (esp. "good" ones)
- Solo or lead authorship
- Testimony by Significant Others (e.g. prominent practitioners)
- Evidence your work is used by practitioners, policymakers, etc.
- Receipt of funding for "applied" or "engaged" scholarship
- Awards and other forms of recognition

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A second example of a level 4 articulation includes a unit that defined "Rigor, Impact, Dissemination, Leadership and Personal Contribution" as metrics for consideration across the domains of Research Teaching and Service. They include specific examples including counts of scholarship and special considerations—including dissemination via public scholarship.

## SCHOOL OF PUBLIC HEALTH

- Metrics: Rigor, Impact, Dissemination, Leadership and Personal Contribution
- Domains: Research, Teaching, Service, and Practice
- Example of Criteria for Public Health Practice:

Rigor	Impact	Dissemination	Leadership and Personal contribution
<ul style="list-style-type: none"> <li>• Use of rigorous quantitative or qualitative methods;</li> <li>• Use of conceptual frameworks that reflect recent developments in practice methods or theoretical understanding; and/or</li> <li>• Use of evidence-based approaches that are well grounded in public health sciences.</li> </ul>	<ul style="list-style-type: none"> <li>• Improvement or refinement of practice methods;</li> <li>• Improvement in a health policy, program, or organization;</li> <li>• Improvement in methods of disease or injury surveillance, prevention or control;</li> <li>• Progress towards social equity in public health;</li> <li>• Reduction of worker or community exposures to health risks; and/or</li> <li>• The ability of trainees to assume positions of leadership as public health practitioners</li> </ul>	<ul style="list-style-type: none"> <li>• Publishing in peer-reviewed journals or in high-quality practitioner or professional journals or other periodicals;</li> <li>• Publishing in periodicals or newspapers read by the target population;</li> <li>• Presenting to large numbers of persons that include the target population;</li> <li>• Developing video, computer, or other distance programs that reach a substantial number of persons in the target audience; and/or</li> <li>• Writing policy documents directed toward agency</li> </ul>	<ul style="list-style-type: none"> <li>• Serving as the chair or playing a key role on an important task force;</li> <li>• Directing an important public health, community-based activity;</li> <li>• Organizing ongoing partnerships with community agencies that significantly enhance the quantity and/or quality of public health activities; and/or</li> <li>• Receiving an award(s) for accomplishments in academic PHP.</li> </ul>

A third example is a unit that defined the terms of “Competence, mastery, expertise” to be used as metrics for domains of Scholarship (using Boyer’s 1990 model of defining scholarship). In this example, Scholarship of *Teaching, integration* (interdisciplinary work), *Application* (practice activities within and external community), *Discovery* (research) by Job class and rank (assistant/associate/full and lecturer/senior lecturer/principal lecturer) are articulated in a detailed rubric. This rubric is intended for use during the evaluative process and is provided at a level of detail that both senior faculty and external reviewers can rate a promotion file with the rubric to rate a promotion file. This unit also has a separate document that describes how to evaluate “unconventional scholarly work.”

## UW TACOMA NURSING

- Domains: Boyer model of Scholarship (Teaching, Integration, Application, Discovery)
- Metrics (with examples):
  - Competence (Assistant Professor/Lecturer)
  - Mastery (Associate Professor/Senior Lecturer)
  - Expertise (Full Professor/Principal Lecturer)

	Assistant Professor	Associate Professor	Professor
<b>Scholarship of Application</b>	Demonstrates competence in linking knowledge, service, and practice. <ol style="list-style-type: none"> <li>1. Community service related to professional activities</li> <li>2. Membership on program and campus committee(s)</li> <li>3. Membership in professional organization(s)</li> </ol>	Demonstrates mastery in linking knowledge, service, and practice. <ol style="list-style-type: none"> <li>1. Consults with community on practice issues</li> <li>2. Active participation on program, campus and/or university-wide committees</li> <li>3. Contributes to professional organization(s)</li> <li>4. Membership on community committee(s), and/or task force(s)</li> <li>5. Reviews for conference abstracts and/or journals</li> </ol>	Demonstrates expertise in linking knowledge, service, and practice. <ol style="list-style-type: none"> <li>1. Reviews for conference abstracts, journal articles and/or grants</li> <li>2. Provides leadership on program, campus, or university-wide committee(s)</li> <li>3. Provides leadership on board/organization(s)</li> <li>4. Provides leadership in professional organization(s)</li> </ol>
<b>Scholarship of Discovery</b>	Engages in competent systematic inquiry for purposes of advancement of knowledge. <ol style="list-style-type: none"> <li>1. Develops area(s) of scholarly inquiry related to nursing, health, and/or teaching</li> <li>2. Disseminates results of scholarly inquiry</li> </ol>	Demonstrates mastery in systematic inquiry for the purposes of advancement of knowledge. <ol style="list-style-type: none"> <li>1. Continues development of one or more focal areas of scholarly inquiry</li> <li>2. Presents at national meetings</li> <li>3. Publishes results of scholarly inquiry</li> <li>4. Recipient of grants, awards, and/or fellowships</li> </ol>	Demonstrates expertise and commitment to systematic inquiry for the purposes of advancement of knowledge. <ol style="list-style-type: none"> <li>1. Sustained development of scholarly inquiry</li> <li>2. Scholarly inquiry consultation at local, regional, national, and/or international levels</li> <li>3. Presents at professional meetings</li> <li>4. Continued publication of results of scholarly inquiry</li> <li>5. Advances knowledge in new areas</li> <li>6. Recognized nationally or internationally for expertise in area(s) of scholarly inquiry</li> <li>7. Recipient of grants, awards, and/or fellowships</li> </ol>

## Level 5

Although there were no examples submitted within the UW that represented a higher level of articulation than level 4, there are examples of a higher level of articulation at other institutions. One example of promotion & Tenure best practices that includes levels 1-4 AND specific subcategories of standards (with definitions) within the Research, Teaching, and Service domains. Specifically, a rubric with definitions of subcategories of expectations within each domain. For example, not just evaluating the single domain of Research, but identifying multiple aspects of research that are indicators of success and organizing each subdomain by faculty rank, and metric rating (“meritorious” and “excellence”). Further, this institution also includes detailed rubrics with examples of indicators of impact for the same subdomains.

## Summary

It appears that there is more room for inconsistency and ambiguity in units that have articulated promotion and tenure policies at levels 1 and 2. Levels 3 and 4 show the most promise for consistency in file review with level 4 being the most detailed approach. There is room for growth as there are other examples of more detailed articulation of expectations that units may consider reviewing in the context of their disciplines.

## **Process Best Practices**

In the process of reviewing the promotion and tenure guidelines, another theme emerged in the category of process. It was clear that units with higher levels of articulation of standards also have procedures in place that integrate new faculty into the community more intentionally. These are the features of units that intentionally “onboard new faculty” with the goal of introducing policies related to promotion and tenure early. The following were distinctive features:

- Providing faculty code to new faculty while reviewing and discussing ambiguities within the code. Specifically focusing on explaining internal (unit) interpretations of the faculty code;
- Defining values (what matters most) within the unit based on current and past trends. This includes consideration of what seems to drive the discussion of promotion and tenure files. These units explain that trends are usually influenced by current senior leadership and the senior faculty so having awareness of the shared values of the overall unit are important;
- Identifying the range of pathways that faculty have been successful by job class; and
- The existence of mentoring committees that function using guides on the mentor/mentee relationship. Such committees include established routines of communication with junior faculty and their faculty mentors.