

DEPARTMENT OF MICROBIOLOGY
University of Washington
FACULTY APPOINTMENTS AND PROMOTIONS

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INTRODUCTION

The University of Washington Handbook and the School of Medicine set forth the principles upon which the Department of Microbiology appointments and promotions are based. The criteria and guidelines described here supplement and amplify these policies, and relate them to the specific missions of the Department of Microbiology.

The Department of Microbiology has three missions: research, teaching and service. Microbiology has a central role in the understanding of the molecular functioning of cells, of infectious diseases and of the environment. Our research mission is therefore to discover and extend our knowledge of fundamental biological concepts that are expressed in microorganisms (including viruses), both as they relate to the intrinsic nature of the organisms and to their interaction with other life forms and the environment. Our teaching mission is to pass on these discoveries to students at all levels through didactic instruction and to the scientific community through publication in scholarly journals, reports at scientific meetings, and community outreach programs. We also have the mission of contributing to the service needs of the department, School, University, and our community, near and far. This mission is served by our participation

on committees and initiatives within and outside the Institution.

The academic ranks for faculty in the Department of Microbiology include lecturer, assistant professor, associate professor, and professor. These positions are filled following a national search. All faculty appointments carry expectations to contribute to each of the three missions of the department. However, the level of expectations for research, teaching and service increase as a faculty member rises through the ranks, and are higher for those with primary appointments in the department, relative to joint appointees. Research space is provided to regular tenure-track and tenured faculty members with a primary appointment in the department and, in some circumstances, WOT faculty or joint appointments. Faculty members in the professorial ranks have the opportunity to serve as sponsors for research faculty.

Research faculty status is given to department faculty whose principal academic function is research and whose research space is within a sponsor's laboratory. Research faculty appointments are made following a national search. Again, the level of expectation from these faculty members for contributions to research, teaching and service increase as they rise through the academic ranks. However, participation in the teaching and service commitments of the department would generally be less than those in the regular faculty track.

The title prefixes acting, adjunct or affiliate may be applied at all levels of rank as appropriate and require a less formal search process prior to appointment. Acting status denotes a temporary appointment. Adjunct faculty status is given to faculty members whose primary appointment and research space are within the University of Washington but outside the Department of Microbiology. Affiliate faculty status is given to department faculty whose primary appointment and research space is outside of the University of Washington.

CRITERIA

PROFESSIONALISM

Professional behavior is expected of all members of the Microbiology Department.

Professionalism, as defined in the UW Medicine policy on Professional Conduct, includes demonstrating excellence, integrity, respect, compassion, accountability, and a commitment to altruism. Faculty members in the Department are expected to demonstrate professionalism in all aspects of their work including everyday duties and responsibilities. For promotion to each successive rank in the Department, a faculty member is expected to grow in his or her fulfillment of this commitment and to be or become a role model for professionalism. Demonstrated growth in professionalism may occur in any aspect of a faculty member's work, including formal or informal leadership; mentoring; service activities for the Department, School or University;

and the core activities of teaching and research. Regularly scheduled faculty reviews will include an evaluation for professionalism, and these reviews will be included in promotion materials made available at the time of consideration for promotion. Regular reviews will include input from the individual faculty member under review, as well as feedback from others including faculty colleagues and staff.

REGULAR FACULTY

ASSISTANT PROFESSOR

Appointment to the rank of assistant professor in the Department of Microbiology requires completion of a national search. Successful candidates will have a doctoral degree, substantial research experience, promise of success in teaching, and a strong commitment to an academic career. Ideally, appointees will also have had postdoctoral research experience. The initial appointment is for a 3-year term and reappointment to the rank of assistant professor for a second 3-year term requires a vote of the senior faculty.

ASSOCIATE PROFESSOR

Teaching. Appointment or promotion to associate professor requires evidence of effectiveness and success in promoting learning and stimulating an inquisitive and scholarly attitude in students. Teaching may include classroom education of undergraduate and graduate students (including medical students) as well as in-laboratory training of graduate and postdoctoral fellows. Teaching responsibilities include the preparation and presentation of material in a well organized, current and intellectually stimulating fashion as viewed by senior faculty of the school or department, and the medical, graduate or undergraduate students. Contributions include participation in the design, organization, and/or presentation of a course and the ability to evaluate and/or mentor graduate students effectively. Promotion requires that annual student evaluations be on file, along with a peer evaluation of classroom teaching at least once during the two years preceding consideration of promotion. Peer evaluations of teaching at least once every two years are strongly encouraged.

Research. Appointees are expected to have established a substantial record of accomplishments in research as evidenced by published scholarly work (research papers, book chapters, etc.). The research must be known outside the University of Washington, and the opinion of leaders in the particular scientific field must be solicited about the quality and potential of the faculty member as an independent investigator. The faculty member must have a record of presenting his/her work regularly at national scientific meetings. The curriculum vitae must include major publications of significant scientific merit in highly regarded, peer-reviewed

journals and reflect productivity in a specific or a few closely related areas of investigation. He/she is expected to be the primary or senior author of a reasonable number of papers. Evidence must exist that the faculty member will maintain a funded, active, and independent research program. Other evidence of recognition in research may include leadership positions in professional societies, invitations to present seminars, and participate in selected meetings and symposia, invitations to chair sessions at national meetings, and opportunities to review grants and manuscripts on a regular and/or ad hoc basis.

Service. Appointees will have evidence of commitment to the general activities of the department, school, University and/or government and non-government organizations and community. Within the University, this is evidenced by service on departmental and possibly school or University wide committees. Service on review boards and study sections are examples of service at the national level.

PROFESSOR

To be appointed or promoted to Professor, the candidate must demonstrate recognized contributions in all three areas of academic activity (teaching, research, and service) and be outstanding in research and teaching. The individual must have made important discoveries and/or major contributions in research that significantly advance a particular field of scientific inquiry. Research contributions must be recognized at the national and international level. In unusual cases, outstanding teaching may be the principle basis for promotion if there is national recognition for innovative teaching programs and/or curriculum development initiated and implemented by the faculty member. These contributions are characterized by originality and documented by publications and nationally recognized scholarship.

Teaching. Appointment or promotion to the rank of professor is based on the quality of his/her contributions and on their effectiveness in improving the teaching program. This includes leadership in the educational mission of the school or department. Teaching responsibilities include evidence of consistent, significant contributions to the school or department, including having had the responsibility for the organization and instruction of a course and demonstrated ability to evaluate and/or mentor graduate students effectively. Appointment or promotion to the rank of Professor will be based not on the quantity, but on the quality of his/her contributions and on their effectiveness in improving the teaching program. Such contributions to teaching must be documented in a manner similar to that described for appointment to Associate Professor.

Research. The overall published output of the appointee must show evidence of having

significantly advanced the field of scientific inquiry in which he/she is involved. Evidence for originality and important discoveries are the most valued elements in the published output. The national recognition of the faculty member's work may be reflected by the publication of invited chapters and reviews that put into perspective the advances in a particular scientific area. Evidence must exist that the appointee will maintain a funded, active, and independent research program. Faculty members receiving appointment to the full professor level play a sustained role in national and international organizations or meetings in their own areas of investigation or scholarship. They may be involved in organizing research seminars and journal clubs pertinent to their research at the University of Washington and/or participate in the planning, organization, and chairing of national or international meetings and symposia. Participation in study sections of federal granting agencies, site visit teams, and as visiting scientists at institutions other than the University of Washington are also considered a measure of the faculty member's accomplishments. It is expected that the faculty member's work will generate the type of interest in the scientific community, at the University of Washington and also nationally or internationally, that will attract scientists who wish to collaborate with him/her.

Service. An appointee at the professor level is expected to have served on departmental and school or University-wide committees or councils (e.g., Faculty Senate). Positions of leadership in professional societies, national committees, review groups (e.g., study sections), editorial boards, etc. are other indications of the national status of a faculty member.

NONTENURE APPOINTMENTS

RESEARCH FACULTY APPOINTMENTS

Research faculty appointments in the Department of Microbiology require sponsorship from a regular faculty member, and the sponsor provides research space. This track should attract individuals whose research interests complement those of the sponsoring faculty member. All initial research faculty appointments in the Department are for 3-year terms, and are initiated by the Sponsor. Research faculty members have the same basic rights and responsibilities as other members of the faculty and they are eligible for appointment to the Graduate Faculty during their initial 3-year appointment. After 3 years they are eligible to be considered for appointment to the Graduate Faculty with endorsement to chair doctoral supervisory committees. They are expected to take active roles in generating research funding, and are eligible to act as Principal Investigators for grants and contracts. Research faculty are encouraged to participate in teaching but are not required to do so, except insofar as required

by their funding source. The department does not view Research faculty appointments as intermediate positions leading to regular track (tenure or WOT) faculty appointments.

Eligibility for appointment to the Research Faculty:

- Appointees must have qualifications corresponding to those prescribed for the regular faculty rank, with a primary emphasis on research.
- It is expected that funding for the initial 3-year term of appointment will be provided either by the sponsor or via grants initiated by the Research faculty member. The Department is under no obligation to provide funding to Research faculty. Independent funding in the form of a PI-initiated research grant is expected within the third year of the appointment of a Research Assistant or Research Associate Professor. Appointment to Research Professor requires independent funding at the time of appointment.
- This independent funding should provide at least 50% of the appointee's salary. Success in obtaining funding and efforts to do so will be considered in the criteria for reappointment to an additional term.
- During the second year of the initial appointment as Research Assistant Professor, the eligible voting faculty will vote on whether (a) the appointment is to be renewed (b) the appointment is not to be renewed beyond the initial three-year period, in which case the appointment will cease at the end of the third year; or (c) the decision concerning the appointment is to be postponed to the following year. Should the above decision result in a postponement, during the third year of the initial appointment the eligible voting faculty will vote on whether (a) the appointment is to be renewed under the above provision for reappointment or (b) the appointment is not to be renewed; if it is not renewed, the appointment is extended to include a fourth and terminal year.
- Space allocation for a research faculty member is within the footprint of the sponsor. In the event that the sponsor leaves the University or withdraws support, the department will continue to provide space until the end of the current term of appointment. Under these circumstances, the Department is not obligated to continue to provide space beyond the current duration of the Research Faculty member's appointment regardless of whether she/he successfully renews a grant or obtains a new grant that extends beyond the term of the appointment.

- Renewals must be approved by the voting faculty of the department who are superior in academic rank to the candidate under consideration, except that voting faculty members at the rank of Professor shall consider whether to recommend renewal of the appointment of a Research Professor. Consideration of renewal will take place prior to the beginning of the terminal year of the current appointment.

RESEARCH ASSISTANT PROFESSOR

Research Assistant Professor appointments are for a term not to exceed three years with one renewal. The appointment to the rank of Research Assistant Professor is reserved for individuals who have qualifications corresponding to those described for Assistant Professors (completion of a doctoral degree, 2-3 years postdoctoral experience, strong evidence of research productivity). It is expected that an appointee to this rank will be selected after a national search. Research Assistant Professors are expected to have independent funding in order to have their appointment renewed after the initial 3-year period, and must have independent funding in order to be promoted to Research Associate Professor. Research Assistant Professors are subject to removal during the term of their appointment for cause (see section 25-51 of University Handbook), for termination of funding, or for reasons of program elimination (see sections 25-52 and 26-41 of University Handbook). Termination of funding is defined as failure by the end of the third year of appointment and beyond, and for a continuous period of more than 12 months, to obtain through a PI initiated research grant, funding sufficient to provide at least 50 percent of the faculty member's base annual salary. The review process is the same as for an Assistant Professor. A Research Assistant Professor who is denied promotion receives a terminal year of appointment.

RESEARCH ASSOCIATE PROFESSOR

Promotion to the rank of Research Associate Professor requires independent funding for a project that is complementary to yet independent of the research program of the faculty sponsor and a record of substantial independent success in research, as evidenced by senior-author publications. Appointment to an initial three year appointment at the rank of Research Associate Professor does not require existing independent funding, but does require a record of substantial independent success in research, as evidenced by senior-author publications. Renewal of a Research Associate Professor appointment requires independent funding and demonstrated success in research and is for a period not to exceed five years, subject to renewal. Research Associate Professors are subject to removal during the term of their appointment for cause, for termination of funding, or for reasons of program elimination.

RESEARCH PROFESSOR

Appointment or promotion to the rank of professor requires outstanding, mature scholarship as evidenced by accomplishments in research as evaluated in terms of national or international recognition, independent funding and publication record. Renewals of a Research Professor appointments requires continued independent funding and demonstrated success in research and are for a term not to exceed five years, subject to renewal. Research Professors are subject to removal during the term of their appointment for cause, for termination of funding, or for reasons of program elimination.

LECTURER

Initial appointment to the rank of lecturer in the Department of Microbiology may require completion of a national search. A search is not required for annual appointments. The candidate must have completed a bachelor's degree or higher in the biological sciences and have a commitment to a teaching career. The potential to be an outstanding teacher in both the laboratory and the classroom is the most important criterion for evaluating applicants for the position of lecturer. The primary responsibility of a lecturer is to oversee the teaching of laboratory courses offered by the department and possibly lecturing in introductory microbiology courses. Additional responsibilities include student advising, maintaining a culture collection, serving on undergraduate associated committees, and providing demonstrations for medical student laboratory courses. This appointment carries no expectation for the conduct of independent research. However, as time permits, there may be an opportunity to supervise undergraduates in the conduct of research projects with the support of the regular faculty.

SENIOR LECTURER

Promotion to the rank of senior lecturer occurs in recognition of time and rank and recognizes a special instructional role of one who has extensive training, competence, and experience in the discipline. A lecturer may request consideration for promotion or may be nominated by a departmental faculty member.

ACTING INSTRUCTOR

Appointment as Acting Instructor requires completion of a doctoral degree and a minimum of two years of postdoctoral experience. Acting Instructor appointments fall under the auspices of a member of the department who will provide space and salary. The Department views these

appointments as a means to further the career development of the appointee. There is no formal teaching or service requirement for this appointment, and no commitment of space from the Department. Three letters of recommendation must be included with the application in addition to a letter from the head of the laboratory sponsoring and providing research and office space for the individual. The applicant must present a seminar on his or her research prior to the faculty vote. Individuals appointed to the rank of Acting Instructor are encouraged to apply for their own outside funding. This is an annual appointment and may be reviewed for renewal for up to three years for a total of up to four years.

ACTING ASSISTANT PROFESSOR

The acting title denotes a temporary appointment on the faculty. Appointment to acting assistant professor requires completion of a doctoral degree and a minimum of two years of highly productive postdoctoral experience, as evidenced by first author publications in peer-reviewed journals. There is no formal teaching or service requirement for this appointment, and generally no commitment of space from the Department. The applicant must present a seminar on his or her research prior to the faculty vote. This is an annual appointment and may be reviewed for renewal for a total of up to three academic years for a total of four years, with not more than a total of six years in a combination of the Acting Instructor and Acting Assistant Professor titles.

FACULTY WITHOUT TENURE FOR REASONS OF FUNDING (WOT)

These faculty members are appointed following a national search conducted according to guidelines established for faculty being recruited to the regular faculty. This appointment is appropriate for faculty whose primary interest is research and who have or are expected to establish an independent, well-funded research program. WOT faculty do not hold tenure for guaranteed salary because all or part of his/her annual University-administered salary is derived from sources other than regularly appropriated state funds. Except for this distinction, WOT faculty members have similar rights, responsibilities, and obligations as tenure-track and tenured faculty members at those ranks. The description of their duties and qualifications for promotion and salary increases for reasons of merit are the same.

A professor or associate professor without tenure for reasons of funding (WOT) is eligible for tenure by virtue of rank and such a faculty member may hold his/her appointment on a continuing basis. However, such an appointment is at all times subject to the continued availability of grant or contract funds (see volume II, Section 24-41 of the University of Washington Handbook).

Faculty members WOT are expected to be integrated fully into the research, teaching, and service activities of the department warranting their status as voting members of the University. This expectation is the basis for continuation of their appointments and distinguishes such faculty from other non-tenured and term appointments.

Faculty members WOT have salaries supported from a variety of sources. Faculty members WOT have a written understanding with the chair describing the duties they must perform to meet the department's missions. This understanding specifies the sources, distributions and levels of funds supporting their salaries for these purposes. Source and level of salary funding is related to the faculty member's involvement in these departmental activities. Classroom instructional duties are supported from department-administered funds.

ADJUNCT APPOINTMENTS

Appointment to the adjunct faculty is made only to a faculty member (including one in a research professorial rank) already holding a primary appointment in another department of the University of Washington. This title recognizes the contributions of a member of the faculty to the Department of Microbiology (the secondary department). The department is not responsible for any salary support nor is any departmental space provided. Adjunct appointments do not confer governance or voting privileges or eligibility for tenure in the Department of Microbiology. These appointments are annual, and appointment renewals are made by a vote of the faculty senior in rank of the Department of Microbiology.

Appointment to the rank of adjunct assistant, associate, or professor requires qualifications comparable to those required for appointment to the corresponding rank on the regular faculty. Ongoing participation in the teaching mission of the department is expected of all appointees at a level to be determined at the time of appointment or renewal.

AFFILIATE APPOINTMENTS

Appointment to the affiliate faculty is made to recognize the professional contribution of an individual whose principal employment responsibilities lie outside the colleges or schools of the University. The department is not responsible for any salary support nor is any departmental space provided. These appointments are used to recognize distinguished scientists at other institutions, and to provide research contacts between the department and industry. Affiliate appointments are annual, and appointment renewals are made by a vote of the faculty senior in rank of the Department of Microbiology. Appointment to the rank of affiliate assistant, associate, or professor requires qualifications comparable to those required for appointment to the corresponding rank on the regular faculty. If approved by a vote of the faculty, affiliate

appointees may supervise graduate students. The teaching expected of an affiliate appointee shall be determined at the time of appointment. The rank of Affiliate faculty member may reflect the rank, when relevant, in their home institution.

JOINT APPOINTMENTS

Appointment to the joint faculty rank recognizes a faculty member's long-term commitment to, and participation in, two or more departments at the University of Washington. A joint appointment may be discontinued only with the concurrence of the faculty member and the appointing department. One department is designated the primary department and the others as secondary, and this designation can be changed only with the concurrence of the faculty member and the appointing departments. Personnel determinations (salaries, promotions, leave, etc.) originate with the primary department, but may be proposed by the secondary department, and all actions must have the concurrence of the secondary department(s).

A faculty member who has the privilege of participation in governance and voting in the primary department may arrange with the secondary department(s) either to participate or not to participate in governance and voting in the secondary department(s). This agreement must be in writing and is used to determine the quorum for faculty votes. The agreement may be revised with the concurrence of the faculty member and the department involved.

Research space may be provided if commensurate grants are awarded through and administered by the Department of Microbiology. Joint appointees have a teaching obligation to the department to participate in courses and may supervise graduate and undergraduate students. The teaching obligation is decided at the time of appointment and reviewed periodically. This obligation increases if research space is offered through the department.

GRADUATE FACULTY

Graduate faculty must hold the rank of assistant professor, associate professor, or professor. Affiliate, adjunct and research faculty may be elected for a five-year, renewable term by a vote of the faculty senior in rank. As minimal criteria, all new and present members are expected to show evidence of:

- Continued research-based scholarship as demonstrated by peer-reviewed publications or equivalent creative work.
- Involvement in (or, for a beginning faculty member, qualification for) graduate student teaching and research supervision.
- Provision of a research environment appropriate to the training of graduate students.

In the case of faculty appointed in the research category, the research sponsor and faculty member shall submit a request for appointment to the graduate faculty. This request is decided by a vote of the faculty senior in rank based on having:

- Established an independent research program complementary to the faculty sponsor's research program.
- Received an externally reviewed research grant.
- Given research presentations.
- Provided evidence of ability to supervise undergraduate and/or graduate students in research.
- Letters of support from sponsor and 2 other faculty members.

PROMOTION PROCESSES

PROMOTION OF REGULAR FACULTY

Each member of the faculty below the rank of professor is considered annually for possible promotion by the voting members of the department who are senior in academic rank to the person under consideration. The candidate should confer with the chair regarding timing for consideration of promotion. The candidate, may, however, request and receive consideration without concurrence of the chair. All candidates are encouraged to provide a departmental seminar prior to the vote of the faculty senior in rank.

The promotion package will include the following documentation:

- 1 A letter from the Chair to the Dean recommending promotion.
- 2 If Joint Appointment, a letter of concurrence from the Chair(s), including a vote.
- 3 If Adjunct Appointment, a letter of concurrence from the Chair(s) of the secondary department(s). A vote is not required.
- 4 An example letter of solicitation from the Chair to the referee. A minimum of six letters of recommendation. Of the six letters, at least three must come from outside the University. Of the three external, non-UW referees, at least two must not be present or past colleagues, teachers, students, friends, mentors, or collaborators (worked with or co-authored papers).
- 5 The remaining three letters can come from within the University; one must be from

- within the department. It is preferred that these letters come from senior faculty.
- 6 A completed University of Washington School of Medicine *External Referee Form* for each outside letter of recommendation.
 - 7 Candidate's self-assessment and written summaries provided to the candidate during the departmental promotion process as well as responses from the candidate.
 - 8 Candidate's updated CV/Bibliography in University of Washington School of Medicine format. An asterisk should identify the candidate's five most significant scholarly contributions.
 - 9 Teaching evaluations including peer teaching evaluations and a separate summary of evaluations.

The faculty senior in rank to the candidate will be provided with the candidate's CV, teaching evaluations, self assessment, and both the internal and external letters of recommendation. The voting faculty will then meet to discuss the candidate's record and vote on the promotion.

The chair will provide a written report of these proceedings (and any preliminary faculty discussions) for the candidate, summarizing the discussion and recommendation. The candidate may then respond in writing to the department chair within seven calendar days. If the recommendation is favorable, or if the promotion decision is mandatory, or if the candidate has written a response to the departmental vote, the chair will transmit all documents produced in this promotion process to the dean, with his or her independent analysis and recommendation.

PROMOTION OF RESEARCH FACULTY

The promotion package will include:

- 1 A letter from the Chair to the Dean recommending promotion.
- 2 Joint Appointments: A letter of concurrence from the Chair(s) of the secondary department(s) including a vote.
- 3 Adjunct Appointments: A letter of concurrence from the Chair(s) of the secondary department(s). A vote is not required.
- 4 An example letter of solicitation from the Chair to the referee.
- 5 A minimum of six letters of recommendation. Of the six letters, at least three must come from outside the University. Of the three external, non-UW referees, at least two must not be present or past colleagues, teachers, students, friends, mentors, or collaborators (worked with or co-authored papers).

- 6 The remaining three letters can come from within the University; one must be from within the department. It is preferred that these letters come from senior faculty.
- 7 A completed University of Washington School of Medicine External Referee Form for each outside letter of recommendation.
- 8 Candidate's self-assessment, his/her expected contribution to the sponsor's research program, and written summaries provided to the candidate during the departmental promotion process as well as responses from the candidate.
- 9 Candidate's updated CV/Bibliography in University of Washington School of Medicine format. An asterisk should identify the candidate's five most significant scholarly contributions.
- 10 Teaching evaluations including peer teaching evaluations if applicable.

All candidates are encouraged to provide a departmental seminar and meet with faculty members prior to the required vote of the faculty senior in rank necessary for promotion.

RENEWAL OF A NONTENURE APPOINTMENT

Renewal requires a vote of the members of the department who are superior in academic rank to the person under consideration. The one exception is that the voting faculty at rank of Professor considers whether to recommend renewal or non-renewal of the appointment of a Research Professor. The chair then transmits the recommendation to the dean. If the chair does not concur in the recommendation he or she may also submit a separate recommendation.