



DEPARTMENT OF THE NAVY

U.S. NAVAL WAR COLLEGE
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NAVWARCOLINST 12335.1
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NAVWARCOL INSTRUCTION 12335.1

From: President, U.S. Naval War College

Subj: PROMOTION AND TENURE AT THE U.S. NAVAL WAR COLLEGE

Ref: (a) 10 U.S.C. §8748
(b) 5 CFR 213-3108
(c) OPM Guide to Processing Personnel Actions, March 2017
(d) DoD Instruction 1400.25, Vol 431 of 4 February 2016
(e) DoD Instruction 1402.06 of 23 January 2020
(f) SECNAV M-5210.1
(g) OPNAVINST 5450.207E
(h) DON Policy Memo of 28 March 2017
(i) USNWC Strategic Plan 2022-2027
(j) NAVWARCOLINST 12300
(k) NAVWARCOLINST 12271.1
(l) American Association of University Professors Faculty Handbooks Guide

Encl: (1) Best Practices and Expectations for Promotion and Tenure Application Packets
(2) Summary of Eligibility and Standards

1. Purpose. This instruction describes the process for promotion and tenure (P&T) for faculty at the U.S. Naval War College (NWC) and has been developed based on the policy and guidance outlined in references (a) through (l). It is intended to establish a defined, repeatable process that is fair, transparent, and equitable and allows NWC to recruit, develop, and retain the highest quality faculty with the necessary expertise to maintain academic excellence in support of the NWC mission, as defined in reference (g). This instruction supersedes several sections of the 2019 Faculty Handbook, including paragraph 7b(14), and paragraph 3 of Chapter II. It is intended to clarify or supplement current policy and communicate new procedures to faculty candidates, departmental and the Naval War College P&T committees, and NWC leadership.

2. Background. Promotion and tenure are implemented through a concept of shared governance and shared responsibility among the faculty and NWC leadership, subject to and consistent with the needs of the College, U.S. government (USG) regulations, and Department of Defense (DoD), and Department of the Navy (DON) policy. NWC embraces a set of fair, transparent, equitable, and commonly understood standards and processes for promotion and tenure as critical to the institution's effectiveness, mission, and ability to attract and retain a highly qualified faculty.

a. Values. NWC pursues its objectives and conducts day-to-day activities consistent with the following values:

(1) We embrace diversity, inclusiveness, and open communication to foster a creative, collaborative, and high-performing team that treats all people with professionalism, dignity, and respect.

(2) Our respect for the expansive range of ideas, experiences, and scholarship within our community underpins our commitment to academic freedom.

(3) We are agile, intentional, and innovative in addressing emergent issues and changes in tasking and the external operating environment.

(4) We are committed to measuring and improving the quality of service provided to our stakeholders.

b. Authorities. The President of the U.S. Naval War College (PNWC) is responsible for all operations of the NWC. Authorities for faculty hiring, promotion, and tenure are contained in reference (b).

(1) Under the direction of the PNWC, the Provost is designated as the “Senior Government Civilian” at NWC. In this capacity, the Provost serves as the approving authority for all civilian personnel actions, including (see note 1):

Note 1: Per NWC Provost’s Memorandum of Understanding (MOU).

(a) New hires, renewals, promotions, reassignments, details, changes to grade, etc.;

(b) Classification of new and existing civilian positions;

(c) Adjudication of administrative grievances, negotiated grievances, and matters before a third party, including approval of all administrative excusals and dismissals.

(d) Other administrative responsibilities as outlined in the Provost’s MOU.

(e) Serves as Chief Operating Officer, and as Dean of the Faculty as the principal advisor to the PNWC on matters about the recruiting, development, evaluation, promotion, and discipline of civilian faculty members.

(f) The Provost’s duties include oversight and coordination of the preparation of the College’s annual budget and participation in the Navy’s planning, programming, budgeting, and resource processes appropriate to the fiscal years under consideration.

(g) Advising PNWC on the establishment of priorities for the use of the College's financial and human resources.

(2) Authority of the Faculty. Faculty privileges, rights, and responsibilities are established by provisions of Federal Civil Service Statutes or U.S. Military Regulations. These references and faculty obligations are also addressed in Chapter II of the Faculty Handbook, which is reference (k), and in the terms and conditions of each faculty member's memorandum of understanding and/or position description.

c. Faculty Appointments

(1) Reference (j) discusses position recruitment and selection of faculty. NWC's ability to accomplish its mission, functions, and tasks demands a diverse faculty characterized by both career academic scholars and experienced national security professionals. NWC employs a dual system of tenure-track and non-tenure-track appointments to attract and retain a competitive and effective faculty to carry out its charter to deliver excellence in education, research, and outreach.

(2) Determination of which faculty positions are appropriate for tenure/tenure-track designation will be made by the PNWC and Provost, upon recommendation of the Deans, Chairs, and Directors, in light of budgetary and other considerations, and consultation with the faculty. To accomplish its mission, the College hires both tenure-track and non-tenure-track professionals and applies comparable standards for promotion.

(3) Faculty positions that require an earned doctorate and encompass the traditional academic responsibilities of classroom teaching, published scholarship, and institutional and professional service will commonly be defined as tenure track. Faculty positions that are distinctive to the NWC mission and diverge from traditional academic duties in one or more areas will more commonly be designated as non-tenure track. Such faculty positions may emphasize practitioner experience, transactional and operational instruction, full-time research and analysis, or leadership and management of large academic programs and administrative subdivisions.

(4) Faculty may request to have their position reclassified. However, it is the Department/Director and Dean's prerogative to designate position requirements within their departments. The faculty member's Chair/Director and Dean will provide a recommendation, whether initiated by leadership or upon a faculty member's request, to the Provost and PNWC after considering the needs and assigned duties of the department and the NWC.

(5) If a non-tenure track associate professor's position is formally reclassified as tenure-track, the faculty member has four years in which to apply for tenure. Tenure must be awarded before submitting for promotion to professor. The requirements for the award of tenure are the same as for a tenure-track assistant professor seeking promotion to associate professor

with the concurrent award of tenure. Consistent with the policies adopted by the American Association of University Professors (reference 1), unsuccessful tenure candidates will be given a one-time, single-year terminal appointment to conclude their service to the college. If a tenure-track faculty member's position is recategorized to a non-tenure track, that individual is then subject to the eligibility and standards as a non-tenure-track faculty for promotion consideration. Involuntary recategorization may be appealed to the PNWC through the chain of command.

(6) Recategorization of positions at other ranks will be handled on a case-by-case basis driven by the needs of the department and with the Provost's approval.

(7) Based on references (a) through (c), faculty members may be separated or appointments may be terminated due to changing missions of the NWC, a reduction in force, or for cause, based on performance or conduct.

d. Definitions and Terms

(1) Academic Tenure

(a) Consistent with the rules of the Federal civil service and the DoD and DON, *academic tenure* is conferred upon civilian tenure-track faculty based on the judgment that a faculty member has performed and will continue to perform at the highest levels of excellence across their responsibilities. Academic tenure is reserved for those members holding the rank of Associate Professor and Professor and is normally awarded concurrent with promotion to associate professor (tenure track) (see note 2). NWC subscribes to the general guidelines of the American Association of University Professors (AAUP) (reference 1)) regarding tenure and academic freedom issued in 1940 with 1970 interpretive comments.

Note 2: As used in this policy statement and consistent with the rules of the Federal civil service and the DoD and DON regulations for excepted service, once awarded academic tenure the employee's SF-50 will indicate tenure group 1 "career" or tenure group 2 "career conditional" appointment, as appropriate, as excepted service employees for the purposes of federal workforce management. Reference (c) pertains.

(b) Granting of tenure and permanent appointment is not a right of longevity nor reward for past achievements. It connotes a mutual commitment between the College and faculty members. Further discussion of standards is described in paragraph 3 of this instruction.

(2) Permanent Appointment – Non-Tenure Track (see note 3). This is awarded to non-tenure track faculty who have long records of accomplishment in education, research, and service to the College. A permanent appointment is awarded concurrent with promotion to professor or upon a non-tenure track associate professor's successful application for permanent appointment as noted in the next section. There is no inherent right to a permanent appointment, nor is it an automatic reward for longevity. It is reserved for faculty members whose records

stand out, who show continued promise of such high levels of performance, achievement, and service to the College, and whose expertise is expected to be needed for an extended period.

Note 3: In the 2019 NWC Faculty Handbook, page 65, *Permanent Appointment* was referred to as *Indefinite Appointment*. The correct term is *Permanent Appointment* in the context of this instruction and OPM policy.

(3) Faculty Duties. Subparagraphs 2d(3)(a) through 2d(3)(c) below are descriptions of three categories of duty expected of *all* NWC faculty. The descriptions are illustrative but not exhaustive of the full range of potential faculty activities. Departments may choose to weight the priority of duties for faculty across these categories based on the needs of the College and the individual's professional development goals when defining department promotion standards.

(a) Education. Broadly defined as the transmission of knowledge. At NWC, education includes: teaching resident and non-resident NWC students; curriculum development such as designing syllabi and authoring readings, case studies, and exams; producing scholarly lectures and/or multi-media presentations for delivery in the classroom and other educational forums, such as short courses, simulations, and war games; transmission of knowledge to external audiences, such as conducting tabletop exercises, war games, and briefing senior members of the Navy, DoD, and Congress.

(b) Research. Broadly defined as the creation of new knowledge. At the NWC, research includes traditional forms of qualitative and quantitative scholarship; development of knowledge through the planning, execution, and reporting of war games and operations research (including classified research); contributing to crafting doctrine, policy, or strategy directed by or supporting the DON or DoD. Research typically results in publication (academic, doctrinal, government reports, etc.) and/or presentations (conference papers, government venues, etc.) and related professional development activities. Research may include participation in professional collaboration that leads to measurable outcomes serving the NWC missions, functions, and tasks.

(c) Service. Broadly defined as assisting the department, the College, the Navy, DoD, or a professional community. At NWC, service may include contributions to one's academic or professional community, such as outreach and engagement with professional societies; peer reviewing articles and books; serving on committees at the NWC; and services rendered to the Navy, DoD, and broader public. Evaluation of faculty service also considers the candidate's demonstrated ability to work effectively with others in advancing NWC's mission beyond contributions directly associated with education and research.

(4) Academic Ranks. Ranks assigned or earned based on appointment, reappointment, and eligibility for promotion. Faculty appointments for new hires are determined in the recruitment and selection process as outlined in reference (j). Faculty appointments will typically be at one of the following ranks: *Instructor*, *Assistant Professor*, *Associate Professor*, and *Professor*. Rank descriptions, reappointment, and eligibility for promotion are defined as:

(a) Instructor/Research Associate/Fellow (AD-01). AD-01 employees are hired for their academic or professional expertise but typically either (1) do not meet the qualifications for assistant professor, or (2) are attached to a short-term program, such as a post-doctoral fellowship. AD-01 employees in the first category (1) are eligible for evaluation for promotion to assistant professor upon completing their terminal degree or attaining sufficient professional expertise to warrant promotion to a more senior rank. AD-01 employees in the second category (2) are not eligible for promotion but are eligible for renewal at their current rank if there is a clearly identified requirement. Within NWC, the AD-01 rank may be described by the following titles: Instructor, Research Associate, Researcher, or Post-doctoral Fellow.

(b) Assistant Professors (AD-03). Assistant Professor is generally a new or recently graduated scholar who holds an earned Ph.D. or equivalent terminal degree, and who is usually in or near their first faculty appointment; or is a national security professional with between five and 15 years of relevant experience hired for their prior military or civilian national security leadership or expertise. While showing promise, they have not yet compiled a qualifying record of academic or professional experience and expertise required of an associate professor. The initial appointment to the rank of assistant professor is for three years and a follow-on appointment shall normally be for four years. Tenure track assistant professors normally must apply for promotion in their sixth year of service (see note 4). Non-tenure track assistant professors may apply for promotion in or after their sixth year of service.

Note 4: The timeline for years in grade/rank begins with the date of official promotion at the previous grade/rank, which usually takes place on October 1st.

1. Extension of Promotion Clock (tenure track). As per general AAUP guidelines and consistent with reference (1), promotion candidates may petition the Provost through their academic chain to have their “promotion clock stopped” due to family circumstances, military deployment, or other special situations. Such suspensions for promotion will normally not exceed two years.

2. Waivers. Assistant professors may seek promotion to associate professor before their sixth year if indicated in their MOU or other written agreements for an accelerated timeline as recommended by the academic chain and approved by the Provost.

3. If an application for promotion to associate professor is not successful:

a. Tenure Track. A non-renewable extension to the appointment will normally be given as needed to allow the faculty member one year of continued employment to facilitate transition to other employment.

b. Non-Tenure Track. Non-tenure track faculty members may request reappointment at the assistant professor rank and may reapply after not less than two years of additional service at this rank.

(c) Associate Professors (AD-05). Faculty appointed at the rank of Associate Professors are normally experienced scholars who possess an earned doctorate and have more than five years of professional academic experience at a lower academic rank; or are experienced national security professionals who have between 15 to 20 years of relevant professional experience including at senior field grade levels (O5-O6 or equivalent) hired for military or prior civilian national security leadership and expertise. The length of an initial appointment for newly hired associate professors is normally two years and is considered renewable upon mutual agreement. After holding the rank of associate professor for not less than six years, an associate professor may seek promotion to professor for both tenure track and non-tenure track faculty (see note 5). In truly exceptional circumstances, upon approval of the Provost, through the appropriate Dean, applications for waivers for the time in rank as associate professor may be granted. If promotion is not successful on the first try, the faculty member may request reappointment at the associate professor rank and may reapply after not less than two years of additional service at this rank.

Note 5: If exceptional circumstances apply, faculty may apply to the Provost for a waiver to this timeline. Additionally, some associates professors hired prior 2018 will have a different timeline based on award of tenure. Their eligibility for promotion is based on their time as an associate professor, not based on their tenure date. In the case where the granting of tenure is not concurrent with appointment as associate professor, the six-year requirement begins with appointment as associate professor.

(d) Professor (AD-07). The title of professor signifies a scholar of stature, with a substantial body of academic achievement in their field. It is reserved for faculty who have demonstrated superior performance and productivity and have the potential for making future superior contributions to the college and the wider academic or professional practitioner community. The rank of professor denotes a faculty member who is capable of making contributions across the College outside of their normal duties; a potential mentor and example to other faculty; and a visible and engaged member of their respective scholarly or professional community (see note 6).

Note 6: Non-tenure track faculty selected for promotion at the rank of professor (AD-07) will have their SF-50 updated to indicate tenure group 1, permanent appointment.

(e) Department Chairs, Directors, other administrative positions, and Special Appointments are addressed in Chapter II of the Faculty Handbook, reference (k).

3. Promotion Standards

a. Naval War College Promotion Standards. Promotion is based on exemplary performance, contributions over time, and future potential to succeed at the next higher level. All candidates for promotion and/or tenure must meet or exceed expectations in all three areas of faculty duties (education, research, service) per this instruction and as further elaborated in

respective department guidelines. Promotions are based on merit; they are not automatic based on length of service. Promotion anticipates the ability and motivation to excel at the next higher rank.

(1) Assistant Professor. Instructors and Research Associates (employed as AD-01s) who are eligible for promotion to Assistant Professor should have completed a terminal degree or attained sufficient professional expertise to warrant appointment to a higher academic rank. The candidate should show promise of future high-quality work in all three areas of faculty duties (education, research, and service). Promotion for eligible instructors to Assistant Professor is handled through the academic chain, rather than through the NWC Promotion and Tenure Committee. Upon achievement of Assistant Professor rank, employees abide by the NWC P&T committee provisions of this instruction.

(2) Associate Professor. For promotion from assistant professor to associate professor, candidates in both tracks must demonstrate excellent performance and potential for continued improvement, maturation, and sustained future accomplishment in all three areas of contribution (education, research, and service) per the needs of their academic department, deanery, and college. Descriptions of excellent performance in each area for each track are outlined in subparagraphs 3a(2)(a) through 3a(2)(c); with amplifying detail provided by departmental-level promotion standards.

(a) Tenure-track faculty seeking promotion to associate professor with the concurrent award of tenure shall demonstrate the following. These standards also apply to tenure-track associate professors who have not had tenure awarded yet for various reasons (see note 7).

Note 7: Untenured tenure-track associate professors are faculty members who were (1) hired as tenure track associate professors without tenure, in which case they should seek tenure in accordance with the timeline outlined in their MOU; or (2) re-categorized from non-tenure track associate professor positions, in which case they must seek tenure within four years of re-categorization.

1. Education. Excellent performance in classroom teaching and significant contribution to curriculum development.

2. Research. Evidence of a high level of scholarly productivity with demonstrated impact in their field; established standing in academic discipline; and potential for future accomplishments as defined by their department. A high level of scholarly productivity is demonstrated by a significant publication record, which could include the publication of well-regarded academic books, high-quality peer-reviewed articles, or equivalent work in the form of textbooks, book chapters, or monographs, etc.

3. Service. Excellent performance for service as defined by the department, which may include: serving on committees within NWC; serving as a peer reviewer for journals

and presses; and taking leadership roles in professional organizations and conferences. Service beyond the faculty member's department/college and beyond NWC (DON, DoD, USG) is highly valued. Candidates should also demonstrate their ability to work effectively with others in advancing the NWC mission, detailed in reference (g), beyond the contributions directly associated with education and research.

(b) Non-tenure track faculty seeking promotion from assistant to associate professor shall demonstrate the following. The three categories of faculty contribution (education, research, service) may be proportionally weighted per standards established by the faculty member's department and college to reflect particular special duties or accomplishments of individual applicants. These standards also apply to non-tenure track associate professors seeking permanent appointments.

1. Education. Excellent academic or professional instruction, including individual instruction (such as supervising students' directed research); curriculum development; effective delivery of knowledge to NWC, the Navy, and DoD (to include short courses, simulations, tabletop exercises, war games, and briefings); significant contributions to educational program development.

2. Research. Evidence of high-level contributions to the knowledge base in the faculty member's professional field including high-level research and/or significant contributions to the research, analysis, and gaming functions of the NWC as defined by the respective department. This may include participation in mutual collaboration with colleagues. Examples of high-level applied research include significant contribution to Service/Joint doctrine; creation of education and training materials; published game reports, articles, and reviews in policy and professional journals; presentations at professional conferences; or other professional recognition as an expert within respective fields.

3. Service. Excellent performance in service as defined by department needs, which may include serving on committees within the NWC; leadership in creating procedures or improving the functions of the department or college; or leadership in activities within professional organizations in their field. Service beyond the home department/college (NWC, DON, DoD, etc.), including leadership roles or contributions as members of external professional organizations, is highly valued. The candidate should also demonstrate the ability to work effectively with others in advancing the NWC mission, detailed in reference (g), beyond the contributions directly associated with education and research.

(c) Non-tenure track associate professors may apply for permanent appointment to associate professor through their academic chain after not less than six years in that position (see note 8). Departmental standards for a permanent appointment for non-tenure track faculty are expected to be comparable to tenure track faculty seeking tenure, in terms of exemplary

contributions in education, research, and service, weighted according to the priorities of their department. Non-tenure track faculty are not required to separately apply for a permanent appointment before applying for promotion to professor.

Note 8: This may also be called “appointment without term” in some cases, consistent with employee MOUs.

(3) Professor. For promotion from associate professor to professor, candidates in both tracks must demonstrate a longer sustained record of superior performance and potential for continued superior performance in all three areas of expected faculty accomplishment (education, research, service) per both departmental and college-wide standards. Descriptions of sustained superior performance in each area for each track are outlined in further detail below, with amplifying detail provided in department-level standards.

(a) Tenure-track faculty seeking promotion from associate professor to professor shall demonstrate the following.

1. Education. A longer sustained record of excellence in classroom teaching and superior contributions to curriculum development, including leading department and/or college-wide curriculum efforts and significant contributions to the improvement of departmental and NWC academic programs.

2. Research. An additional iteration of high-level contributions to the knowledge base in their professional field as described for promotion to associate professor. Contributions include consideration of their whole academic record with emphasis on what has been achieved since appointment to associate professor. They may include participation in and leadership of mutual collaborations with colleagues, as well as evidence of the faculty member’s impact on and standing in their field. The specific research contributions are best described by the individual faculty departments and colleges, with their distinct missions and metrics of achievement. Evidence of qualifying research is demonstrable records of research accomplishments fairly assessed by faculty peers from across the college.

3. Service. A longer sustained record of excellence in college-level and higher service, including taking on leadership positions within NWC and/or in professional organizations. The candidate should demonstrate the ability to work effectively with others in advancing the NWC mission, as defined by reference (g), beyond the contributions directly associated with education and research.

(b) Non-Tenure-track faculty promotion from associate professor to professor should demonstrate the following. The three categories of faculty contribution (education, research, service) may be proportionately weighted per the standards established by the faculty member’s department and college. If not already granted, an appointment as a professor includes a permanent appointment with an MOU without term.

1. Education. A longer sustained record of excellence in classroom instruction or individual instruction; significant contributions to the continuous improvement of departmental and NWC academic programs including curriculum development and participation in the development of electives or other courses beyond the core curriculum. It may also include the effective delivery of knowledge to the NWC, the Navy, and the DoD (to include short courses, simulations, tabletop exercises, war games, and briefings).

2. Research. An additional iteration of contributions to the knowledge base in their professional field as described for promotion to an associate professor that has an impact across the community of practice. This may include participation and leadership in mutually reinforcing collaboration with colleagues. Examples include: significant contribution to Service/Joint doctrine, authorship or co-authorship of educational or other professional materials or curriculum development; published game reports; conducting directed research in support of DON or DoD programs, articles and reviews in policy and professional journals; presentations at professional conferences; professional recognition as evidenced by invitations, reviews, awards, or other methods of high-level professional recognition.

3. Service. Significant service and leadership to the College and profession; demonstrates a rising stature within their field of expertise through a record of increasing professional service reflected by contributions to the NWC, to peer professional organizations, and partnerships working with peer institutions. The candidate should also demonstrate their ability to work effectively with others in advancing the NWC mission, as defined by reference (g), beyond the contributions directly associated with education and research.

b. Mid-tenure Review (Tenure-Track Faculty)

(1) Deans are strongly encouraged to conduct a formal review of a tenure-track faculty member who has not yet been awarded tenure. This should be conducted during the third year of employment, assuming a standard tenure clock. An earlier review will be arranged for those with a shortened tenure clock, whereas mid-tenure review may be delayed if the tenure clock has been extended due to approved circumstances (e.g., parental leave or military reserve duty). A mid-tenure review is a process separate from, but informed by, the annual performance plan, through which the department will evaluate a tenure-track faculty member's progress and potential. The review is designed to identify areas for further improvement before the faculty member submits a formal promotion and tenure application.

(2) Under a department or deanery's procedures, the Chair or Dean will convene a committee of associate and full professors, at least half of whom must be tenured, to review the candidate's performance in education, research, and service. Candidates will provide: a letter that outlines their performance in education, research, and service; an updated curriculum vitae (CV); and any additional materials requested by the department or deanery. Letters from outside reviewers are not expected.

(3) The committee will evaluate the candidate against published departmental promotion and tenure criteria and provide a written report to the Chair or Director. A discussion will take place regarding whether the candidate is making sufficient progress towards tenure and if not, how that might be achieved. The Chair or Dean will also send confirmation that the review is complete through the academic chain with a written summary of the faculty member's progress in the areas of education, research, and service. The summary will include specific guidance the faculty member received about their performance and areas in need of improved performance before, and in support of, a submission of a promotion and tenure application.

c. Other Faculty Appointments. Refer to Chapter II, paragraph 2c of reference (k) regarding the process for faculty appointment into and out of AD-09 positions.

d. Faculty Evaluations. Refer to Chapter II, paragraph 3 of reference (k).

4. Procedures

a. Formation of P&T Committees. The NWC P&T Committee will evaluate faculty members' P&T applications, including respective Department P&T Committee reports, and Chair and Dean recommendations from across the NWC, and make recommendations for promotion and tenure regarding faculty members to the Provost based on NWC and respective department's P&T standards consistent with this instruction.

(1) NWC P&T Committee

(a) The NWC Faculty P&T Committee is charged with making recommendations to the Provost for faculty promotion to the Provost as the NWC Senior Civilian and Dean of Faculty. The committee will consist of at least seven professors (AD-07) and two associate professors (AD-05). Committee membership will have a proportional representation from each Deanery/Department based on faculty size and availability. NWC faculty who hold administrative or executive positions (AD-09) are ineligible during the time they hold such positions and within two years of serving in administrative or executive positions.

(b) Each year the Deans of Academics, the College of Distance Education, the Center for Naval Warfare Studies, the College of Maritime Operational Warfare, the College of Leadership and Ethics, and International Programs will provide to the Provost a list of all faculty eligible to serve on the NWC P&T Committee. From these lists, the Provost, in consultation with the Faculty Advisory Council, will select members of the NWC P&T Committee. Based on faculty size, the Dean of Academics, the College of Distance Education, the Center for Naval Warfare Studies, and the College of Maritime Operational Warfare will each hold two seats while International Programs Office and the College of Leadership and Ethics may hold one seat. Once their terms of membership have expired, individual faculty will again become eligible to

serve after one year has elapsed. Committee members will be appointed for staggered two-year terms. Subsequently, the Provost may adjust the length of appointment (one or two years) to maintain balance and a 50 percent turnover rate.

(c) The NWC P&T Committee will convene annually, with its first organizing meeting to take place no later than 1 April. Each year the committee will select co-chairs who must come from different deaneries, preferably one from the tenure track and one from the non-tenure track. Neither associate professor (AD-05) serving on the committee is eligible for selection as a co-chair. Each co-chair may serve as a co-chair for two consecutive years but may not serve as a co-chair for more than a total of two years within a ten-year period at the college. The co-chairs' responsibilities include ensuring that the committee meets the schedule of the calendar that the committee has published, convening and chairing the meetings, assigning committee members' tasks in support of the committee's proceedings, and communicating the committee's recommendations to the Provost. The committee will conduct its business with due attention to both transparency regarding process and faculty privacy; each member will sign a non-disclosure agreement to protect the privacy of faculty. Internal committee discussions will proceed based on non-attribution and shall not be disclosed unless authorized by the Provost or PNWC. The committee must have a minimum of seven members, including at least one of the committee's co-chairs, present to achieve the necessary quorum to conduct business. The Provost will provide administrative support to the committee as required, including a secure storage space for its records.

(2) Department P&T Committees. Each department chair or director nominates committee members, approved by the respective dean to screen P&T applications and make P&T recommendations. The departmental P&T committee shall be composed of no fewer than three faculty with at least two of the academic rank higher than the candidate seeking promotion. All departmental P&T recommendations carry by a majority vote.

b. Publication of Department Standards

(1) Each department must produce internal P&T guidelines per NWC policy which reflect relevant professional standards. Guidelines must then be reviewed and approved by the respective dean before being forwarded to the Provost and NWC P&T Committee. Department standards will be published on the NWC intranet. Transparent departmental standards are intended to assist candidates in assembling their application package and inform the NWC P&T committee of departmental standards used to internally assess P&T candidates.

(2) It is not feasible for this instruction to adequately outline the wide range of activities and disciplines represented by the NWC faculty, so this instruction requires the academic chain to provide a detailed explanation of what constitutes excellence for their respective faculty. Deans and department chairs provide P&T standards, guidance and expectations to individual faculty members seeking P&T, which departmental P&T committees use to assess applications'

qualifications and provide recommendations to department chairs, deans, and the NWC P&T Committee in assessing the array of academic disciplines and specialties represented by the diverse faculty.

(3) If department standards change, revised standards must be published no later than 1 September annually. An exception shall be made for the AY 22-23 cycle due to the timeline for developing this instruction.

c. Applicant Packages

(1) It is the responsibility of individual applicants for promotion and/or tenure to demonstrate to the satisfaction of departmental and NWC P&T committees how they have met or exceeded all relevant standards outlined in this instruction and elaborated in departmental policies. As a guiding principle, all applicants are expected to demonstrate their capabilities and commitment to maintaining high levels of productivity and effectiveness as valued members of the NWC faculty. An applicant is expected to provide, per the respective department’s procedures, two external letters from individuals in good standing who are outside the NWC and within the applicant’s discipline; these letters should directly address how the applicant’s scholarly and/or professional record relates to the norms of their professional discipline. The letters should demonstrate that the applicant is a visible and engaged member of the professional community. External letters are not intended to be shared with the applicant and therefore sent directly to the department P&T committee by the external assessor.

(2) Each respective department's P&T committee will review an applicant’s promotion package and make recommendations for the promotion or non-promotion of the faculty member who submitted the package by an annual deadline. Letters that recommend or do not recommend an applicant for promotion are expected from respective department chairs, directors, and deans for review by the NWC P&T Committee.

d. Annual NWC P&T Process and Timeline

	Milestone	Remarks
STEP 0	1 August	Candidate declares intent to seek promotion NLT 1 August through a letter of intent to the department chair/director. The chair provides names of expected candidates to the dean. College establishes the P:// drive NLT 1 October in which applications are stored and reviewed by NWC P&T committee members.
STEP 1	Normally October-December	Department announces and publishes internal standards (if changed from the previous cycle) NLT 1 September. Departments and colleges assemble internal promotion and tenure committees.

	Milestone	Remarks
STEP 2	Normally October- December	Deans/directors/chairs notify faculty of the deadline for submitting P&T applications for internal review and provide the departmental and NWC P&T guidelines that are consistent with this instruction. The specific college-wide deadline for P&T applications to be submitted to departments will be published on or about 1 December annually.
STEP 3	(As appropriate)	(Where appropriate) a faculty member may submit a request for a time-in-grade waiver for promotion or an extension of the probationary period through the respective academic chain to the Provost for decision.
STEP 4	Normally October- December	Candidates assemble P&T applications with the assistance and guidance contained in the enclosures of this instruction: enclosure (1) “Best Practices & Expectations for P&T Applications.” And enclosure (2), Summary of Eligibility & Standards External letters endorsing the applicant’s professional record and good standing sent to departmental P&T committee.
STEP 5	Jan-Feb	Candidates submit P&T applications to the respective department/college P&T committee through departmental procedures. Candidates may submit performance evaluations (e.g., DPMAP) with their promotion applications as evidence of their performance. If submitting an annual evaluation, the entire evaluation must be included in the package. Candidates will not be penalized by P&T committees for not submitting performance evaluation materials. Candidates will route promotion and tenure packages through their academic chain (as defined in reference (k)). Applications will be routed with endorsements from department chairs or directors to deans to the NWC P&T Committee according to the schedule outlined in this instruction.

	Milestone	Remarks
STEP 6	Jan-Feb	Department/college P&T committees review candidate applications and accompanying endorsements/recommendations. For each candidate it evaluates, the department/college committee will create a thorough written report that includes its reasoning and the standards and evidence on which its recommendation is based. The committee will submit the report and recommendation for each candidate it considered to the appropriate next-level authority. In some instances, this is the department chair, in others, this is the dean or director. With the former, the department chair reviews the committee's recommendations and writes a letter concurring or non-concurring with the committee's recommendation. The recommendation and next-level authority endorsement is then submitted to the respective dean or director. At this time, the departmental P&T committee chair will provide the applying faculty member with copies of the letter and committee recommendations.
STEP 7	Jan-Mar	Dean/Director reviews the committee's recommendation and, where applicable, the department chair's recommendation and writes a letter concurring or non-concurring with the departmental P&T committee's recommendation(s). The candidate's application, the department P&T committee recommendation, relevant director and dean endorsements, and external letters will be submitted to the NWC P&T Committee (via the P:Drive). At this time, the applicant's supervisor will provide a copy of the chair, director and/or dean's endorsement.
STEP 8	1 April	Candidates' applications with Departmental and Dean recommendations are submitted by the deans to the NWCP&T Committee on the P:Drive. NWC P&T Committee convenes. Shared drive (P://) closes for package submissions.
	Apr-May	The NWC P&T Committee reviews all application packets for promotion and/or tenure from each department and college.

	Milestone	Remarks
	June	NWC P&T Committee members discuss and vote on packets. A vote will be taken for each candidate who applied promotion or tenure. A committee recommendation is determined by the majority of those present (assuming a quorum of the committee is present) at the meeting but the majority vote must include a vote by at least one member from three of the five deaneries. No proxy votes will be permitted for members who are not present. Committee deliberations will be private and not releasable to the faculty. The number of votes in favor and opposed to promotion or tenure will be reported to the Provost but not the votes of individual members.
	NLT 1 July	The NWC P&T Committee will recommend to the Provost that a faculty member be promoted or not promoted, providing a thorough written report that includes its reasoning and the standards and evidence on which its decision is based. Such written reports will be consistent in form, content, and quality with those used by civilian institutions of higher learning. The report will include the promotion application considered by the departmental P&T committee as well as the endorsements from the respective department chair and/or director and respective dean. The committee co-chairs will maintain written records of proceedings.
STEP 9	As determined: Before NWC Faculty Cloister	The Provost will review the NWC P&T recommendations, make decisions, inform the academic chain. The Provost will inform PNWC of the decision and review the appeals process consistent with this instruction and the authorities delegated from PNWC to the Provost.
STEP 10	Before Cloister	<p>The Provost will notify all candidates verbally and in writing of the decision on their P&T applications. The notification will include the reasoning, standards, and evidence on which the decision is based.</p> <p>Feedback to candidates who failed selection may address broadly where the package fell short of standards and areas for improvement.</p> <p>Any faculty member not recommended for promotion and/or tenure has the right of appeal in accordance with this instruction.</p>

	Milestone	Remarks
	Faculty Cloister (early August)	Faculty awards of promotion and tenure announced publicly.
	1 September (or 30 calendar days from faculty receipt of written notification)	Deadline for appeals. The Provost may consider appeals after 1 September on a case by case basis, in the event that a procedural or substantive deficiencies become known after the deadline,

e. Appeals

(1) Faculty members not selected for P&T by the most recent NWC P&T Committee may appeal the results of the P&T process. Positive consideration of a promotion or tenure appeal requires evidence of significant misapplication of promotion standards or procedural irregularities. Only one appeal will be considered per academic rank consideration.

(2) Appeals must be submitted in writing within 30 days of receiving written notification of the Provost’s decision. The appeal must clearly delineate the grounds for appeal.

(3) An appealing faculty member shall route a written appeal through the respective academic chain addressed to PNWC, explaining in detail the reason for the appeal and providing any substantiating evidence or supporting documentation.

(4) The Associate Provost will coordinate a meeting with the candidate, the respective dean and department chair or director, representatives from the NWC P&T Committee, a representative from the Faculty Advisory Council, the Provost, and PNWC. The candidate appealing may request faculty and staff members to attend the meeting and speak on their behalf.

(5) During the meeting, the candidate will be asked to present evidence to support the grounds for the appeal and will have the opportunity to ask questions about the decision not to approve promotion or tenure. The PNWC will lead a discussion to clarify the appeal as needed.

(6) Within 14 calendar days, the PNWC will make a final decision on the appeal and will provide the candidate with written notification of the decision.

5. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per Secretary of the Navy Manual 5210.1 of September 2019.

6. Review and Effective Date. Per OPNAVINST 5215.17A, NWC Associate Provost will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, Department of Defense, Secretary of the

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Navy, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.



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Rear Admiral, U.S. Navy

Releasability and distribution:

This instruction is not cleared for public release and is available electronically only via the NWC intranet to users with common access card authorization,
<https://navalwarcollege.sharepoint.com/sites/intranet/USNWCIntranet/MILPERS/SitePages/Command-Directives.aspx>

BEST PRACTICES AND EXPECTATIONS FOR
PROMOTION AND TENURE APPLICATIONS

1. These best practices are offered to assist candidates for promotion and/or tenure in the preparation of their P&T applications as well as provide expectations for deans, directors, department chairs, and departmental and NWC P&T committees.
2. Candidate Letter. The candidate application should include a letter that clearly articulates how they meet or exceed the criteria for promotion and/or tenure. The letter should:
 - a. Include a paragraph detailing the request for tenure/promotion and fulfillment of time in service requirements or approved waiver.
 - b. Briefly describe the candidate's experience at the Naval War College.
 - c. Identify the candidate's area(s) of expertise.
 - (1) Candidates should indicate areas where they retain currency, maturation, and engagement.
 - (2) For tenure track applicants, the area(s) of expertise should be reflected in an explanation of their superior performance of all three areas of evaluation (education, research, and service).
 - (3) For non-tenure track applicants, the areas(s) of expertise should be reflected in an explanation of the category or categories they consider themselves to have demonstrated superior performance, in accordance with the *department or college-weighted contributions* and standards.
 - d. Specify experience, expertise, and accomplishments in support of the NWC mission, detailed in reference (k), and administrative or leadership responsibilities within NWC.
 - e. Indicate service contributions within wider academic and/or professional communities.
 - f. Articulate how the candidate *meets or exceeds* the criteria for promotion and/or tenure.
 - g. Evaluate how the candidate's promotion would serve the mission of the NWC and broader academic and/or professional communities.

Note: Attaining terminal degrees is an important career step in academic environments. Therefore, non-tenure track applicants who obtain a terminal degree after hiring are encouraged to address in their letter how attaining that degree has furthered or relates to their professional growth or will facilitate or enhance their potential for future accomplishment.

3. Letter of Waiver. In exceptional cases, the Provost may waive time in grade requirements, which allows faculty to be considered for promotion before established timing guidelines contained in this instruction.

a. A candidate may submit a waiver request to the respective dean/director/department chair before submitting the packet to the department/college P&T committee. Waivers must be approved before a candidate can apply for consideration by a P&T committee.

b. Dean/director/chair will review and submit waiver requests to the Provost.

c. Provost will review and decide whether to approve the request; the Provost will communicate the decision in writing to the candidate through the respective the dean/director/chair.

d. If approved, the candidate shall include the approved waiver and/or other Provost correspondence in the P&T packet.

Note: Packets that do not meet the time-in-grade requirements without a Provost-approved waiver will not be reviewed by the NWC P&T Committee.

4. Dean/Director/Chair Endorsements. Endorsements on the candidate's application from the dean/director/chair should:

a. Certify that the faculty member meets all administrative requirements (i.e., time in grade, MOU caveats) for promotion to the next academic grade as outlined in this instruction.

b. Indicate the department/college weighted areas of contribution among the three areas for evaluation (education, research, and service).

c. Clearly state how the candidate compares against the he criteria for promotion and/or tenure contained in this instruction and the respective departmental standards.

5. Department and NWC P&T Committee Recommendations. Letters from department/college-level P&T committees should reflect the committee's decision and any considerations based on department and NWC P&T standards.

6. Curriculum Vitae (CV). The CV should be up-to-date and demonstrate an arc of professional growth, high performance, and expertise whether as tenure track or non-tenure track faculty.

Note: Though professional formats for CVs vary, the sections of the CV should enable reviewers to clearly identify educational attainment, professional experience, professional contributions, service/volunteer activities, honors/awards, etc.

7. Executive Summary. The candidate should prepare an executive summary of the packet. The executive summary more specifically details the candidate's specific contributions to each criterion – education, research, and service. The executive summary should align with supporting materials and demonstrate how the candidate *meets or exceeds* these P&T criteria.

8. External Reference Letters. Required for all applicants, reference letters are extremely important and provide insights into candidates' contributions to their discipline/areas of expertise.

a. Reference letters should be from individuals who can address the qualitative nature of the candidate's work and the potential for future work.

b. The letters should demonstrate that the candidate is a visible and engaged member of the respective professional community.

c. The letters should also be detailed rather than perfunctory. For example, a letter from a senior or peer detailing the impact of the candidate's scholarship on their respective field of study or discipline is appropriate.

Note: The process of requesting external letters is determined by the candidate's respective department/college. At some institutions, the candidate nominates several potential letter writers to the department chair, who has the responsibility of requesting letters from the nominated individuals. At other institutions, the candidate contacts potential letter writers and provides evidence of scholarship along with a summary of professional contributions to these individuals. The letter writers then send their letters to the department chair.

9. Letters of Support. Letters of support are optional but provide additional assessments of the applicant's candidacy for promotion and/or tenure. For example, if the applicant has created a model/book/curriculum for use in a Navy organization, a letter from someone in that organization stating its use and impact would be appropriate.

a. Letters of support from outside the candidate's deanery (or department) are admissible and could demonstrate engagement with wider professional communities within the Naval War College.

b. Candidates may include additional correspondence from senior leaders, research sponsors, and practitioner community members that specifically address the value and impact of the candidate's contributions.

10. Supporting Materials. Supporting materials substantiate the candidate's qualifications and contributions and come in many varieties as related to the areas of consideration.

- a. *Education*, e.g., student feedback, departmental evaluations, teaching philosophy, peer evaluations, comparable application of teaching in non-classroom settings (e.g., wargames), course design, faculty notes, team coordination, lesson contributions, etc.
- b. *Research*, e.g., candidate authored or contributions to journal publications, books, wargaming reports, research efforts, refereed conference presentations, material used by other institutions, and receipt of invitations to professional events, sponsor endorsement memorandum, etc.
- c. *Service*, e.g., service within the wider academic/professional community inside and outside the NWC, NWC committee, administrative, and leadership roles, interdisciplinary activities, volunteer activities, journal reviewer, collateral duties at NWC, etc.

Note: For P&T candidates who have classified enclosures supporting their P&T promotion packet, in each respective tab of the submission state the titles of classified work, a short unclassified synopsis, and originators (e.g., lead author or contributor; endorsements and/or commendation artifacts to the individual or their leadership within NWC, etc.), with accompanying information on how to access the classified work. The NWC P&T Committee members, based on clearance level and a need to know, will view the body of the classified works in the appropriate classified environment.

11. Other. For candidates seeking promotion to full professor, it is incumbent upon the candidate, and his/her leadership if appropriate based on the candidate's record, to make a strong case for how the candidate has demonstrated *superior* performance and productivity as applicable, and has the potential for making *future superior contributions* to the College and the wider academic or professional practitioner community.

SUMMARY OF ELIGIBILITY AND STANDARDS

This table is intended to provide a summary of the eligibility and standards for promotion at the Naval War College, applicable from AD-01 to AD-07. The authoritative standards for NWC Promotion and Tenure are contained in the base instruction; this table is intended for quick reference for P&T committees but does not supersede details contained in the instruction.

Rank	Eligibility for promotion to the next rank:	Standards: Promotion, Tenure, Permanent Appointment (see note)	Remarks
Instructor/Research Associate/Fellow (AD-01)	<ul style="list-style-type: none"> • Upon completion of terminal degree or sufficient professional experience. 	Eligible AD-01: Show promise of high-quality work (all three areas)	(p.6) Promotion eligibility – Promotion from AD-01 is generally a hiring matter, not a NWC-wide P&T process.
Assistant Professor (AD-03) - to Associate Professor (AD-05)	<ul style="list-style-type: none"> • The initial appointment is three years, with four-year follow-on appointment (p.6) • Eligible - TT must apply in their sixth year. • Eligible non-TT faculty may apply in or after their sixth year of service. • If Non-TT fails promotion, may reapply for promotion after not less than two years. 	<p>Excellent performance and demonstrated potential for continued improvement, maturation, and future accomplishment in all three areas – per department needs.</p> <p>TT:</p> <ul style="list-style-type: none"> • Education – Excellent performance. • Research – high level of scholarly productivity with demonstrated impact in their field. • Service – Excellent performance as defined by dept... Service beyond the home dept is highly valued. Work effectively with others. <p>Non-TT: (three categories, proportionately weighted by dept)</p> <ul style="list-style-type: none"> • Education – Excellent academic or professional instruction. • Research – evidence of high-level contributions. • Service – Excellent performance as defined by the department. Service beyond the home dept is highly valued. Work effectively with others. 	<p>Eligibility - Extension of promotion clock and waivers described p.6.</p> <p>Standards – see p.7-9.</p>

Note: (Education, Research, Service). *Anticipates the ability and motivation to excel at the next higher rank (p.8).*

Rank	Eligibility for promotion to the next rank:	Standards: Promotion, Tenure, Permanent Appointment (see note)	Remarks
Associate Professor (AD-05) - to Professor (AD-07)	<ul style="list-style-type: none"> • The initial appointment is two years, renewable. (p.7) • Eligible - Not less than six years (both TT and non-TT). • Can reapply if not successful after not less than two years. (p.7) • Non-TT may apply for permanent appointment after no less than six years as an associate professor. Departmental standards are expected to be comparable for TT in terms of superior contributions across all three duties. (p.9) 	<p>Longer sustained record of superior performance and demonstrated potential...across all three areas. Includes awarding of tenure if not already awarded.</p> <p>TT:</p> <ul style="list-style-type: none"> • Education – longer sustained record of excellence and dept and/or college-wide curriculum efforts • Research – an additional iteration of high-level contributions to the knowledge base in their field • Service – longer sustained record of excellence, including leadership positions within NWC and/or in professional organizations. Advance NWC's mission beyond education and research. <p>Non-TT:</p> <ul style="list-style-type: none"> • Education - Longer sustained record of excellence. • Research - Additional iteration of contributions to the knowledge base in their field and impact across the community of practice. • Service – Significant service and leadership to the College and profession; demonstrates rising stature in their field of expertise; ability to work effectively with others in advancing the NWC mission. 	<p>Waivers on time requirements: Truly exceptional circumstances upon approval of the Provost via Dean.</p> <p>Standards p.8-11.</p>

Note: (Education, Research, Service). *Anticipates the ability and motivation to excel at the next higher rank (p.8).*