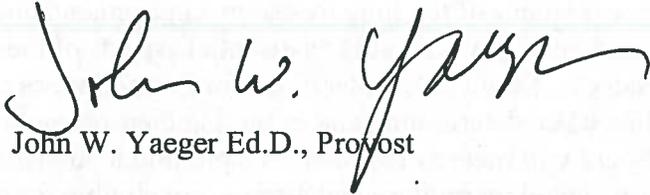




## NATIONAL DEFENSE UNIVERSITY DIRECTIVE 1404.02A

### FACULTY TITLING AND PROMOTION

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- Originating component:** Academic Affairs
- Effective date:** August 1, 2019
- Releasability:** Cleared for public release and available at <https://portal.ndu.edu/Pages/Home.aspx>.
- Incorporates and cancels:** NDU Instruction 1404.02, Title 10 Faculty Promotion Directive, October 1, 2015
- Approved by:**
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John W. Yaeger Ed.D., Provost
- Purpose:** Establishes policy and assigns responsibilities for NDU faculty promotion in accordance with references (a) and (b).

SUBJECT: NDU Faculty Titling and Promotion Directive

REFERENCES:

- a. NDU University Instruction 1402.01, Human Capital Talent Management
- b. NDU Instruction 1416.01, Civilian Faculty Employment and Compensation

1. PURPOSE:

- a. This directive establishes policy and assigns responsibilities for NDU faculty titling and promotion in accordance with references (a) and (b).
- b. Cancels all previous NDU faculty promotion policies and directives.

2. APPLICABILITY: All NDU instructional, academic specialist librarian, research, wargaming, and academic administrator faculty. This instruction provides guidance for determining academic titles for memorandum of understanding faculty and military faculty should they seek academic rank. It also provides guidance for all faculty seeking an academic promotion.

3. BACKGROUND: A fundamental aspect of any university's talent management program is an orderly, rigorous, and fair promotion policy. This directive defines the use of the instructional, academic specialist librarian, research, wargaming, and academic administrator faculty titles to cover all faculty assigned.

4. POLICY: To be considered for promotion, faculty members must demonstrate excellence across the performance domains of teaching, research, engagement, and outreach. There are broad concepts that the University embraces as essential aspects of the promotion process. These are included in appendix A, Faculty Considerations for Promotion, as examples for NDU components to emulate when determining and executing their promotion processes. An NDU Faculty Promotion Board will meet as required, as a minimum annually, to assess candidates for promotion. All faculty, including military and agency, are eligible for promotion.

5. RESPONSIBILITIES:

5.1 NDU PROVOST AND VICE PRESIDENT FOR ACADEMIC AFFAIRS

- a. is responsible for oversight of faculty titles and promotion
- b. annually appoints a rotating chair of the promotion board
- c. is the final approving authority for decisions on faculty titles.

5.2. HUMAN RESOURCES DIRECTORATE: Serves as advisor on issues of faculty promotions.

5.3. NDU PROMOTION BOARD CHAIR

- a. acts as the overall lead for and oversees the selection process of faculty promotions

- b. conducts a standardized review of promotion applications and makes recommendations for approval to the Provost and Vice President for Academic Affairs.

#### 5.4. NDU ACADEMIC PROGRAM DEANS OF FACULTY, LIBRARY DEAN, DIRECTOR OF WARGAMING, AND DIRECTOR OF RESEARCH AND STRATEGIC SUPPORT

- a. appoint a qualified faculty member to serve as panel members of the faculty promotion board
- b. establish an internal process for determining which faculty names will be forwarded to the NDU promotion board. This process will be approved by the Provost and Vice President for Academic Affairs.

#### 5.5. NDU FACULTY PROMOTION BOARD

- a. leverages expertise of qualified faculty members from programs across the enterprise to provide a standardized and equitable forum for promotion application review and evaluation
- b. shall meet as required to:
  - (1) evaluate applications for promotion
  - (2) recommend to the Provost those applications that merit promotion.

#### 5.6. DEPARTMENT CHAIRS (AND EQUIVALENT SUPERVISORS)

- a. develop annual performance plans with all faculty members that they rate, which includes a mix of teaching, research, and additional elements determined by academic program leadership
- b. conduct midpoint performance reviews and prepare an annual performance appraisal that assess attainment of goals
- c. consider promotion nomination requests and provide comments endorsing or not endorsing nomination to the promotion board.

#### 5.7. INDIVIDUALS REQUESTING PROMOTION: Submit promotion request to supervisor using appendix B, Promotion Request Memorandum Template.

6. RELEASABILITY: Cleared for public release. This directive is available at <https://portal.ndu.edu/Policies%20Instructions%20and%20Guidance/Forms/AllItems.aspx>

7. NDU PROPONENT: Office of Academic Affairs.

8. EFFECTIVE DATE: This directive is effective as of August 1, 2019.

9. REVISIONS: Submit recommended policy/regulation changes to NDU Academic Affairs, Suite 309, 5<sup>th</sup> Avenue SW, Washington, DC, 20319-5066.

## APPENDIX A: ACADEMIC TITLES/RANKS AND CONSIDERATIONS FOR PROMOTION

1. ASSIGNMENT OF TITLE/RANK: NDU will evaluate all title/rank determinations through a review board or panel composed of peers from components of the University. Contributions in teaching, research, engagement, and service shall be included and considered among the professional and scholarly qualifications for assignment of faculty title/rank. This assessment will be provided to the Provost for validation.

- 1.1. The assigned title/rank of faculty members will be judged by the character of their advanced degrees and by their contribution to knowledge in the form of instruction and publication. It is reflected not only in their reputation among other scholars and professionals but also in the performance of their students.
- 1.2. The scope of faculty teaching is broader than conventional classroom instruction. It comprises a variety of teaching formats and media, including war gaming, graduate instruction, and special training or continuing education. The educational function of a university requires faculty who can teach effectively. Instruction must be judged according to its essential purposes and the conditions that they impose. Research, the creative function of a university, requires faculty devoted to inquiry and research, whose attainment may be in the realm of scholarly investigation or in constructive contributions in professional fields. While numbers (publications, grant dollars, students) provide some measure of such accomplishment, more important is the quality and impact of the faculty member's published or other creative work.
- 1.3. Other important elements of scholarly achievement include involvement in and contributions to interdisciplinary research and teaching; participation and leadership in professional associations and in the editing of professional journals; the judgment of professional colleagues; and membership on boards and committees.

## 2. INSTRUCTIONAL FACULTY PROMOTIONS

### 2.1. PROFESSORIAL FACULTY

- a. Instructor: An Instructor must have a master's degree from a regionally accredited institution of higher education (or international equivalent) in an appropriate discipline or field. The rank of Instructor should be granted only on a temporary basis. Appointment as an Instructor should be for no more than four years, with a maximum of one renewal. Evaluation for promotion to Assistant Professor should begin upon completion of the terminal degree, when applicable, or one year teaching experience.
- b. Assistant Professor: An Assistant Professor must have a master's degree from a regionally accredited institution of higher education (or international equivalent) in an appropriate discipline or field; a terminal degree is highly preferred. An Assistant Professor has at least one year of full-time teaching experience at a regionally accredited college or university, or the instructional equivalent.

During the initial appointment, he or she is expected to show growth as a scholar and in performance of his or her teaching, research, or other duties, as appropriate. Assistant Professors must obtain an earned doctoral degree or other appropriate terminal degree within the first six years of appointment or the position will be open for recompetes. Upon holding the rank of Assistant Professor for six to eight years, the faculty member may seek promotion to Associate Professor.

- c. Considerations for Promotion to Assistant Professor: Promotion to the rank of assistant professor requires demonstrated excellence in either teaching or research, depending on assigned primary duties, and fully successful performance in the remaining performance elements. Instructors may apply for promotion after attaining at least 1 year, or the instructional equivalent, of full-time teaching experience at a regionally accredited college or university. Promotion consideration elements include:
- (1) continued improvement and maturation in the faculty member's performance in teaching and curriculum development, obtaining fully successful evaluations within the initial appointment
  - (2) evidence of potential for academic or policy scholarship including original research and publication
  - (3) potential for contributing significantly to the engagement and outreach of the component, establishing relationships and networks within the appropriate community of practice
  - (4) providing clear evidence of further promise of scholarly achievement in the field and service to the component as defined by the component leadership
  - (5) demonstrating a record of professionalism as an employee of the National Defense University (inter alia, in interactions with students, peers, and external parties)
  - (6) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives.
- d. Associate Professor: An Associate Professor has earned a doctoral degree from a regionally accredited institution of higher education (or international equivalent) in an appropriate discipline or field. An Associate Professor will have completed six to eight years of academic experience at a lower academic rank. An Associate Professor whose primary duty is teaching will have a record of excellence and will continue to demonstrate proficiency, currency, and relevance. An Associate Professor whose primary duty is research will have already produced a significant body of original scholarly research and publication. Upon holding the rank of Associate Professor for no less than six cumulative years (two of the six to eight years must have been at the graduate level), the faculty member may seek promotion to Professor.
- e. Considerations for Promotion to Associate Professor: Promotion to the rank of associate professor requires demonstrated excellence in either teaching or

research, depending on assigned primary duties, and fully successful performance in the remaining elements. Assistant professors may apply for promotion after attaining at least 5 years, or the instructional equivalent, of full-time teaching experience at a regionally accredited university of which at least 2 years must be at the graduate level. If denied promotion, the faculty member may request a one-year extension to his or her appointment and reapply after a period of 12 months. Failure to gain promotion at this level by the end of the eighth year of service normally indicates an unsuccessful performance as a member of the faculty. Promotion consideration elements include:

- (1) continually improving and maturing in teaching and curriculum development, obtaining fully successful evaluations within the initial appointment
- (2) demonstrating academic or policy scholarship, including original research and publication.
- (3) contributing significantly to the engagement and outreach of the component, establishing relationships and networks within the appropriate community of practice
- (4) demonstrating clear evidence of further promise of scholarly achievement and service to the component as defined by the component leadership
- (5) demonstrating a record of professionalism as an employee of the National Defense University (inter alia, in interactions with students, peers, and external parties)
- (6) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives.

f. Professor: The title of Professor signifies a scholar of stature, with a substantial body of academic achievement and experience in his or her field. The title should be reserved for faculty who have demonstrated superior performance and productivity, and have potential for making future superior contributions to the organization and the wider academic community. As a rank given upon hiring, it will be used sparingly and reserved for faculty members who have already attained substantial academic achievement in their careers and who show promise of continuing that high level of performance. The rank of Professor denotes a faculty member who is capable of making contributions across the University outside of his or her normal duties; a mentor and example to other faculty; and a visible and engaged member of his or her respective scholarly or professional community, with evidence of a continued high rate of productivity in his or her respective field.

g. Considerations for Promotion to Professor: In all cases, faculty seeking promotion to professor must show a demonstrated commitment and ability to work successfully within the component and University and provide evidence of professional achievement that indicates the promise of further contributions both to the organization and the faculty member's particular field of specialization. Faculty seeking promotion to professor should demonstrate an established capability and willingness to challenge assumptions through actions, such as, but

not limited to, embracing innovation and positive change, capturing efficiencies, enhancing effectiveness, promoting team-building, and exhibiting critical thinking. Associate professors may apply for promotion after attaining at least 8 years, or the instructional equivalent, of full-time teaching experience at a regionally accredited university of which at least 3 years must be at the graduate level. Failure to gain promotion to professor does not prejudice a faculty member's standing and he or she may reapply every two years after the initial request for promotion. Promotion consideration elements include:

- (1) performing and mentoring in teaching and contributing to curriculum development
- (2) contributing significantly to scholarship or policy, such as publication of original research in peer-reviewed academic journals or other high-quality publication venues
- (3) performing significant leadership and service to the component and University, as defined by component leadership.
- (4) contributing actively to and engagement with academic or professional fields and the wider academic or professional community
- (5) committing to the advancement of professionalism, promoting activities and behavior that build trust and confidence among the students and faculty
- (6) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives.

- h. Distinguished Professor: Distinguished Professor is a title awarded in recognition that a senior academic from NDU or other academic institution has excelled to a level of exemplary and sustained pre-eminence in teaching, scholarship, and engagement. This designation requires a University board process and criteria as determined by the Provost and with senior-level board representation normally by Deans of Faculty and Academic Programs.
- i. Professor of Practice: A Professor of Practice is an outstanding practitioner in defense, government, or the private sector with an outstanding record of at least ten years of public service, professional achievements, specialized certifications, and/or regional, national, or international prominence. He or she must have earned a master's degree, and may or may not have an earned terminal degree from a regionally accredited institution of higher education (or international equivalent). The Professor of Practice must have valuable expertise, knowledge, outreach, and contributions that add value to critical components of the NDU curriculum.
- j. Distinguished Professor of Practice: A Distinguished Professor of Practice is an individual with distinctive contributions to the nation (for example: former ambassadors, retired general and flag officers, or senior government officials). He or she may, or may not, meet the traditional academic requirements but is deserving of this title because of outstanding professional accomplishments. This designation requires a University board process and criteria as determined

by the Provost and with senior level board representation normally by Component Deans.

- k. Visiting and Adjunct Faculty. NDU may employ special faculty members from Instructor through Professor/Professor of Practice who are experts in their fields. NDU may employ these special faculty members in either a full-time, part-time, or intermittent capacity for a specified period of time with or without competition through appropriate personnel or other administrative procedures.
- (1) Visiting Faculty: Visiting faculty may be employed for up to 18-month terms without competition, and may be considered for one additional term (not to exceed 36 months). The first 18 months of service are in a probationary status.
  - (2) Adjunct Faculty Members: Adjunct faculty are part-time (fewer than 64 hours per pay period) faculty members who may be employed by components without competition.

## 2.2. LIBRARY FACULTY

- a. Academic Specialist (Librarian I): An Academic Specialist (Librarian I) possesses an American Library Association (ALA) accredited master's degree in library or information science and has at least one year of relevant experience in a library setting or demonstrated potential in librarianship, assessment, engagement, and service. He or she must show aptitude in professional development and collaboration across institutional boundaries. During the initial three-year appointment, he or she is expected to show growth as a librarian and make significant contributions to the Library and NDU.
- b. Academic Specialist (Librarian II): An Academic Specialist (Librarian II) possesses an American Library Association (ALA) accredited master's degree in library or information science and has two years of relevant experience in a library setting or documented potential in librarianship, assessment, engagement, and service. He or she must show consistent commitment to the advancement of professionalism, promoting activities and behavior that builds trust and confidence among coworkers, students, staff, and faculty.
- c. Considerations for Promotion to Academic Specialist (Librarian II):
  - (1) eighteen months of high quality performance as an Academic Specialist (Librarian I). Clear evidence of expert knowledge and application of librarianship as it applies to JPME and higher education.
  - (2) successful contribution to library services and collections in support of student learning and curriculum development in any of the NDU colleges
  - (3) demonstrated professionalism as an employee at the National Defense University, (inter alia, in all interactions with students, peers, and external parties)
  - (4) engagements that develop librarianship skills and links to professional library community

- (5) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives
  - (6) failure to gain promotion to Academic Specialist (Librarian II) does not prejudice a specialist's standing.
- d. Academic Specialist (Librarian III): An Academic Specialist (Librarian III) possesses an American Library Association (ALA) accredited master's degree in library or information science and has five years of relevant experience in a library setting or documented success in librarianship, assessment, engagement, and service. An Academic Specialist (Librarian III) has significant expertise in one or more library service areas.
- e. Considerations for Promotion to Academic Specialist (Librarian III):
- (1) five years of high quality performance as an Academic Specialist (Librarian II) or equivalent. Demonstrated experience of expert knowledge and application of librarianship as it applies to JPME and higher education
  - (2) successful contribution to library services and collections in support of student learning and curriculum development in any of the NDU colleges
  - (3) demonstrated professionalism as an employee at the National Defense University, (inter alia, in all interactions with students, peers, and external parties)
  - (4) demonstrated engagement or contributions to respective professional community
  - (5) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives
  - (6) failure to gain promotion to Academic Specialist (Librarian III) does not prejudice a specialist's standing.
- f. Team Lead/Academic Specialist (Librarian IV): A Team Lead/Academic Specialist (Librarian IV) possesses an American Library Association (ALA) accredited master's degree in library or information science and has six years of relevant experience in a library setting with progressive leadership responsibility in the areas of librarianship, assessment, engagement, and service. He or she manages a core library function by leading a cross-functional team of library staff. Team Lead Librarians do not have supervisory role of the team members.
- g. Considerations for Promotion to Team Lead/Academic Specialist (Librarian IV):
- (1) at least five years of relevant experience in a library setting and one year of high quality performance as an Academic Specialist (Librarian III) or equivalent. Demonstrated experience of expert knowledge and application of librarianship as it applies to JPME and higher education
  - (2) successful contribution to library services and collections in support of student learning and curriculum development in a graduate level academic setting
  - (3) significant contributions to inform policy, including internal reports and/or knowledge sharing with peer librarians in professional forums of librarianship

- (4) significant leadership and service to the component and university. A consistent commitment to addressing the needs of stakeholders
  - (5) demonstrated initiative to make data informed decisions independently, manage library projects, perform at high levels without the need for supervision
  - (6) a record of demonstrated engagement or contributions to respective professional community
  - (7) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives.
  - (8) Failure to gain promotion to Team Lead/Academic Specialist (Librarian IV) does not prejudice a specialist's standing.
- h. Division Chief/Academic Specialist (Librarian V): A Division Chief possesses an American Library Association (ALA) accredited Master's degree in library or information science and has ten years of relevant experience with five years in a supervisory capacity in a library setting. He or she must have a track record of progressive leadership achievement and success in the areas of librarianship, assessment, engagement, and service. A Division Chief supervises a library division and manages library programs and staff.
- i. Considerations for Promotion to Division Chief/Academic Specialist (Librarian V)
- (1) excellent leadership skills and attitude to successfully lead, support, and mentor staff of matrix teams
  - (2) excellent capacity to diagnose and solve problems by collaborating with teams and stakeholders
  - (3) excellent performance and significant contributions to the curriculum, critical thinking, information fluency, and critical evaluation and ethical use of information and effective use of information in strategic decision making process
  - (4) significant scholarly or policy contributions, including internal reports and/or knowledge sharing with peer librarians in professional forums of librarianship.
  - (5) significant leadership and service to the component and university, as defined by component leadership
  - (6) active contributions to and engagement within the JPME field and the wider academic or professional community
  - (7) a consistent commitment to the advancement of professionalism, promoting activities and behavior that builds trust and confidence among the students, staff, and faculty
  - (8) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives.

### 2.3. WARGAMING FACULTY

- a. Wargaming Assistant: A Wargaming Assistant possesses a bachelor's degree from a regionally accredited institution of higher education (or international equivalent) in an appropriate discipline or field. Typically, he or she will have only limited

relevant professional expertise or experience as it relates to wargaming, modeling and simulation, or strategic- and operational-level exercises. A demonstrated potential in teaching, research, engagement, service, or professional contributions or impact is preferred. The rank of Wargaming Assistant should only be granted on a temporary basis. Appointment as a Wargaming Assistant should be for no more than five years as a matter of practice, with a maximum of two renewals. Upon completion of four years of significant contributions to the program as well as completion of a master's degree in a relevant field from an accredited institution of higher learning (or international equivalent), the faculty member may seek promotion to Assistant Wargaming Fellow.

- b. Assistant Wargaming Fellow: An Assistant Wargaming Fellow possesses a master's degree from a regionally accredited institution of higher education (or international equivalent) in an appropriate discipline or field, and has at least three years of relevant personal expertise or experience in wargaming, modeling and simulation, or strategic- and operational-level exercises. In general, an Assistant Wargaming Fellow is also the primary liaisons to the teaching faculty within an assigned college; he or she will also likely be leading small game design teams at this level. Therefore, a demonstrated potential for higher order methodological understanding, teaching, research, engagement, service, or professional contributions to the field is required. Upon holding the rank of Assistant Wargaming Fellow for five years, the faculty member may seek promotion to Wargaming Fellow.
- c. Considerations for Promotions for Wargaming Faculty: Upon holding the rank of assistant wargaming assistant for 5 years, the faculty member may seek promotion to wargaming specialist. To do so, elements include:
  - (1) improving and maturing in performance in game design and delivery as well as understanding and linking game objectives to student learning outcomes
  - (2) obtaining fully successful evaluations within the initial appointment
  - (3) showing academic or game methodology scholarship, including research, professional presentations, and/or publication of original works related to the field
  - (4) demonstrating significant contribution to exercises designed at the lower level that can be shown to have positive effect on student learning
  - (5) contributing significantly to the engagement and outreach of the component, establishing relationships and networks within the appropriate community of practice
  - (6) showing clear evidence of further promise of scholarly achievement in the field and service to the component as defined by the component leadership
  - (7) demonstrating a record of professionalism as an employee of the National Defense University (inter alia, in interactions with students, peers, and external parties)
  - (8) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives.

- d. **Wargaming Fellow:** A Wargaming Fellow possesses a master's degree from a regionally accredited institution of higher education (or international equivalent) in an appropriate discipline or field, has at least seven years of relevant professional expertise or experience in wargaming, modeling and simulation, strategic- and operational-level exercises, as well as a demonstrated record of successful engagement with the teaching faculty and other component leadership. In general, the Wargaming Fellow is responsible for team management on either of NDU's primary campuses.
- e. **Senior Wargaming Fellow:** A Senior Wargaming Fellow either possesses a doctoral degree from a regionally accredited institution of higher education (or international equivalent) in an appropriate discipline or field and has at least 10 years of relevant professional expertise in wargaming or has a master's degree from a regionally accredited institution of higher education (or international equivalent) in an appropriate discipline or field, and has at least 15 years of relevant professional expertise or experience in wargaming, modeling and simulation, and strategic- and operational-level exercises. A Senior Wargaming Fellow will also have demonstrated excellence in wargame design, teaching, research, engagement, and service. In general, the Senior Wargaming Fellow is a leader within the program with significant oversight of personnel (military and civilian), contractor personnel, and budgetary authority. He or she is the leading authority(-ies) for the University in all things related to wargaming and simulation.

### 3. RESEARCH FACULTY PROMOTIONS

#### 3.1. RESEARCH FACULTY

- a. **Research Assistant:** A Research Assistant is an entry-level position to support the work of more senior researchers. A Research Assistant possesses a bachelor's degree from a regionally accredited institute of higher education (or international equivalent) in an appropriate discipline, and demonstrates an ability to conduct shared and/or independent research and writing. Appointment as a Research Assistant should be for no more than three years, and as a matter of practice, with a maximum of one renewal. Evaluation for promotion to Assistant Research Fellow should begin upon completion of the master's degree though it is expected that most research assistants will depart for broadening experience at a government agency or in the private sector.
- b. **Assistant Research Fellow:** An Assistant Research Fellow possesses a master's degree (at a minimum) from a regionally accredited institution of higher education (or international equivalent) in an appropriate discipline, has at least two years of relevant, professional experience, and a record of quality, shared analytic research, writing, and engagement. He or she must demonstrate aptitude in collaboration across institutional boundaries. During the initial appointment, he or she is expected to show growth as a scholar and in performance of his or her

research and teaching. Upon holding the rank of Assistant Research Fellow for no less than three years, the faculty member may seek promotion to Research Fellow.

- c. **Research Fellow:** A Research Fellow possesses a doctorate or other terminal degree in an appropriate discipline or field from a regionally accredited institution of higher education (or international equivalent). A terminal degree may be waived if the applicant has held senior positions (GS-15 or O6 equivalent) in government or the private sector for a period of at least 10 years as a leading practitioner with proven analytic skills. A Research Fellow also possesses 5 to 7 years of professional, relevant experience in an appropriate discipline or field related to national security studies and a demonstrated, sustained record of excellence in shared and independent analytic research, writing, and engagement skills. Upon holding the rank of Research Fellow for no less than 5 cumulative years, the faculty member may seek promotion to Senior Research Fellow.
  
- d. **Considerations for Promotion to Research Fellow:** A doctorate degree or other terminal degree in an appropriate discipline or field of study from a regionally accredited institution of higher education (or international equivalent). A terminal degree may be waived if the applicant has held senior positions (GS-15 or O6 equivalent) in government or the private sector for a period of at least 10 years and is known as a leading practitioner with proven analytic skills. Promotion to the rank of research fellow requires demonstrated excellence in research and fully successful performance in the remaining elements. Assistant research fellows may apply for promotion after attaining at least 5 year of full-time research experience at a regionally accredited university, or in an equivalent research organization. If denied promotion, the faculty member may request a 1-year extension to his or her appointment and reapply after a period of 12 months. Failure to gain promotion at this level by the end of the seventh year of service normally indicates an unsuccessful performance as a member of the research faculty. Promotion criteria elements include:
  - (1) obtaining a cumulative record of 5 to 7 years of quality and substantial research, predominantly co-authored written analyses in peer-reviewed professional publications or reports related to strategic and security studies in an appropriate discipline; participating in large, substantive conferences that include detailed, post-conference reports and/or publications
  - (2) demonstrating clear evidence of knowledge of international/regional security, defense policy, and strategic military issues
  - (3) demonstrating knowledge of scholarly research methodologies and the ability to identify, acquire, and analyze primary and secondary sources of information pertaining to strategic and security studies in general
  - (4) demonstrating a record of teaching and/or curriculum development in any of the colleges
  - (5) demonstrating a record of professionalism as an employee of the National Defense University (inter alia, in all interactions with students, peers, and external parties)

(6) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives.

e. Senior Research Fellow: A Senior Research Fellow possesses a doctorate or other terminal degree in an appropriate discipline or field from a regionally accredited institution of higher education (or international equivalent) and has 10 to 12 years of professional experience in an appropriate discipline or field. A terminal degree may be waived if the applicant has held senior positions (GS-15/O-6 equivalent and above) in government or the private sector for a period of at least 10 years as a leading practitioner with proven analytic skills. A Senior Research Fellow contributes to the NDU mission through both research and teaching and is expected to be a mentor to junior researchers. He or she should be fully capable of independent analyses and teaching requiring minimal oversight. A Senior Research Fellow is expected to be a thought leader in his or her discipline and an engaged member of his or her scholarly community. At this rank, the Senior Research Fellow's work will begin to be recognized by executive-level DOD leadership.

f. Considerations for Promotion to Senior Research Fellow: Promotion to the rank of senior research fellow requires demonstrated excellence in research and fully successful performance in the remaining elements. A senior research fellow contributes to NDU mission through both research and teaching and is expected to be a mentor to junior researchers. They should be fully capable of independent analyses and teaching requiring minimal oversight. A senior research fellow is expected to be a thought leader in his discipline and an engaged member of his or her scholarly community. At this rank, researcher's work will begin to be recognized by executive-level DOD leadership. Research fellows may apply for promotion after attaining at least 8 years of full-time research experience at a regionally accredited university, or in an equivalent research organization.

Promotion criteria elements include:

(1) obtaining a doctorate or other terminal degree in an appropriate discipline or field of study from a regionally accredited institution of higher education (or international equivalent); a terminal degree may be waived if the applicant has held senior positions (GS-15 or O6 equivalent) in Government or the private sector for a period of at least 10 years and is known as a leading practitioner with proven analytic skills

(2) holding a substantial record (5+ years) of high-quality and often independent written analyses in peer-reviewed professional publications, books, or reports related to strategic and security studies in appropriate discipline; high-quality major research products are works that influence teaching, future research, and/or policy analysis and decisions. These accomplishments help stimulate scholarly and policy debates and serve as a source of reference for informed analyses of the issue(s). An influential product is measured by where it is published—the caliber of the research publication—and how it is used; highest quality research products (in original or derivative form) are used by practitioners and/or policymakers, used in the classroom as part of the

curriculum, and cited by leading scholars, and referenced in a leading academic or policy journals

- (3) showing clear evidence of expert knowledge of international/regional security, defense policy, and strategic military issues
- (4) mastering scholarly research methodologies and demonstrating an ability to identify, acquire, and analyze primary and secondary sources of information pertaining to strategic and security studies in general
- (5) demonstrating a record of teaching and/or curriculum development in any of the NDU colleges
- (6) demonstrating skill in preparing and presenting complex material resulting from research analyses to varied senior Government agencies
- (7) demonstrating a record of professionalism as an employee at the National Defense University (inter alia, in all interactions with students, peers, and external parties)
- (8) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives.

g. **Distinguished Research Fellow:** Distinguished Research Fellow is a title awarded in recognition that an individual possesses a doctorate or other terminal degree in an appropriate discipline or field from a regionally accredited institution of higher education (or international equivalent) and has at least 20 years of accomplishments with a substantive body of work as a highly productive, nationally or internationally known scholar or practitioner. The title signifies a scholar who is regarded as a thought leader in his or her field, and his or her work should be predominantly independent and routinely recognized by executive-level DOD leadership. A Distinguished Research Fellow will also have a substantive record of teaching excellence at NDU. This designation requires a University board process and criteria as determined by the Provost and with senior-level board representation normally by Component Deans.

h. **Special Research Faculty.** NDU may employ Special Research Fellows as faculty members in either a full-time, part-time, or intermittent capacity for a specified period of time with or without competition through appropriate personnel or other administrative procedures. Special Research Fellows are not compensated and must be sponsored by a Senior Research Fellow and approved by the Director of Research and Strategic Support. Special Research Fellow appointments are reviewed annually to be mutually beneficial to NDU and the fellow.

### 3.2. Policy Faculty

a. **Policy Assistant:** A Policy Assistant is an entry-level position to support the work of more senior fellows. A Policy Assistant possesses a bachelor's degree from a regionally accredited institute of higher education (or international equivalent) in an appropriate discipline, and demonstrates an ability to conduct shared and/or independent analysis, writing, oral presentation, and development of experiential learning activities. Appointment as a policy assistant should be for no more than

three years, and as a matter of practice, with a maximum of one renewal. Evaluation for promotion to Assistant Policy Fellow should begin upon completion of the master's degree, though it is expected that most Policy Assistants will depart for broader experience at a government agency or in the private sector.

- b. Assistant Policy Fellow: An Assistant Policy Fellow possesses a master's degree (at a minimum) from a regionally accredited institution of higher education (or international equivalent) in an appropriate discipline and has at least two years of relevant, professional experience; a record of quality, shared analysis, writing, oral presentation, and development of experiential learning activities; and shows aptitude in collaboration across institutional boundaries. During the initial appointment, he or she is expected to show growth as an analyst and in performance of assigned educational tasks. Upon holding the rank of Assistant Policy Fellow for no less than three years, the faculty member may seek promotion to Policy Fellow.
- c. Policy Fellow: A Policy Fellow possesses a master's degree (at a minimum) in an appropriate discipline or field from a regionally accredited institution of higher education (or international equivalent); has 5 to 7 years of professional, relevant experience in an appropriate discipline or field related to national security studies; demonstrates a sustained record of excellence in analysis, writing, oral presentation, and development and facilitation of experiential learning activities; and exhibits the proven ability to collaborate across institutional boundaries. Upon holding the rank of Policy Fellow for no less than five cumulative years, the faculty member may seek promotion to Senior Policy Fellow.
- d. Considerations for Promotion to Policy Fellow: Promotion to the rank of Policy Fellow requires demonstrated excellence in analysis and fully successful performance in the remaining elements. If successful, the promotion to fellow will take effect at the end of the third year of service as an assistant fellow at NDU. If denied promotion, the faculty member may request a one-year extension to his or her appointment and reapply at the beginning of the fourth year of service at NDU. Failure to gain promotion at this level by the end of the seventh year of service normally indicates an unsuccessful performance as a member of the faculty.
  - (1) Cumulative record of 5-7 years of quality analytic work related to policy, strategy or planning for national security or foreign policy, predominantly achieved as part of a team, and persuasively presented in writing and orally to government sponsors and stakeholders (action officers or above). Includes co-development and co-facilitation of experiential learning activities, such as tabletop exercises, seminars, workshops and conferences. Studies, papers, after-action reports, exercise scenarios, and annotated briefings are examples of analytical and experiential learning activity products.
  - (2) Clear evidence of knowledge of international/regional security, defense policy, and strategy issues.

- (3) Clear evidence of knowledge of the policy, strategy or planning organizations and coordination processes for the Department of Defense and the interagency, including through participation in or other direct contributions to these processes conducted at the action officer level or above.
  - (4) Demonstrated contribution, independently or as part of a team, to NDU or JPME education programs through development of curricula, syllabi and instructional materials, course management, and/or classroom teaching.
  - (5) Demonstrated record of professionalism as an employee at the National Defense University (*inter alia*, in all interactions with students, peers, and external parties)
  - (6) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives.
- e. Senior Policy Fellow: A Senior Policy Fellow possesses a master's degree (a doctorate or other terminal degree is preferred) in an appropriate discipline or field from a regionally accredited institution of higher education (or international equivalent) and 10 to 12 years of professional experience in an appropriate discipline or field. An outside applicant has held a senior position (GS-15/O-6 equivalent and above) in government or the private sector for a period of at least 10 years as a leading practitioner with proven analytic skills. A Senior Policy Fellow contributes to the NDU mission through both analysis and education and is expected to be a mentor to junior analysts. He or she should be fully capable of independent analysis and teaching requiring minimal oversight. He or she is expected to be a thought leader in an area of expertise and an engaged member of the associated policy, strategy, or planning community. At this rank, the Senior Policy Fellow's work will begin to be recognized by executive-level DOD leadership.
- f. Considerations for Promotion to Senior Policy Fellow: Promotion to the rank of senior fellow requires demonstrated excellence in analysis and fully successful performance in the remaining elements. Promotion to senior policy fellow may take effect at the end of the fifth year of service as a policy fellow.
- (1) a master's degree (doctorate or other terminal degree is preferred) in an appropriate discipline or field of study from a regionally accredited institution of higher education (or international equivalent)
  - (2) a substantial record (5 or more years) of high quality and often independent analyses at the fellow level related to policy, strategy or planning for national security or foreign policy, persuasively presented in writing and orally to officials of government sponsors and stakeholders (often office directors or above). Includes often independent development and facilitation of experiential learning activities, such as tabletop exercises, seminars, workshops and conferences. Impactful studies, papers, after-action reports, exercise scenarios, and annotated briefings are examples of high quality analytical and experiential learning activity products. Evidence of impact includes concepts, recommendations, and work products that are reflected in policy, strategy or planning documents or constructs, and routine requests for

the analyst's participation in analytic, experiential learning activities or professional or academic conferences

- (3) clear evidence of knowledge of international/regional security, defense policy, and strategy issues
  - (4) clear evidence of knowledge of the policy, strategy or planning organizations and coordination processes for the Department of Defense and the interagency, including through participation in or other direct contributions to these processes conducted at the office director level or above
  - (5) demonstrated record of teaching, curriculum development and/or program management in any NDU or JPME education program
  - (6) demonstrated record of professionalism as an employee at the National Defense University, (*inter alia*, in all interactions with students, peers, and external parties)
  - (7) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives.
- g. Distinguished Policy Fellow: Distinguished Policy Fellow is a title awarded in recognition that an individual has at least 20 years of accomplishments with a substantive body of work as a highly productive, nationally or internationally known practitioner. Distinguished Policy Fellow signifies someone regarded as a thought leader in an area of expertise. The work should be predominantly independent and routinely recognized by executive-level DOD leadership. A Distinguished Policy Fellow will also have a substantive record of educational excellence at NDU. This designation requires a University board process and criteria as determined by the Provost and with senior-level board representation normally by Component Deans.

### 3.3. Academic Program Support Faculty Promotions

- a. Institutional Research Assistant: An Institutional Research Assistant is an entry-level position that supports the work of more senior specialists. An Assistant possesses a bachelor's degree from a regionally accredited institute of higher education (or international equivalent) in an appropriate discipline, and demonstrates an ability to use educational learning and assessment technologies and conduct shared and/or independent research and writing. Upon holding the rank of Institutional Research Assistant for no less than three years and completion of a master's degree, the individual may seek promotion to Institutional Research Specialist.
- b. Institutional Research Specialist: An Institutional Research Specialist possesses a master's degree (a doctorate or other terminal degree is preferred) from a regionally accredited institution of higher education (or international equivalent) in an appropriate discipline, a solid foundation in education theory and assessment practices, at least three years of relevant experience, and a record of quality analytic research, writing, and engagement. The Institutional Research Specialist is involved with assessment planning and implementation, in addition to

summarizing highly complex statistical data to assist with strategic decision-making. During the initial three-year appointment, he or she is expected to show growth as a researcher and make significant contributions to the component/NDU. At this point, the Institutional Research Specialist should be fully capable of independent analyses and writing, requiring minimal oversight. The Specialist is expected to be a mentor to Institutional Research Assistants.

c. Considerations for Promotion to Institutional Research Specialist:

- (1) a master's degree or other terminal degree in an appropriate discipline or field of study from a regionally accredited institution of higher education (or international equivalent)
- (2) cumulative record of at least three years of quality and substantial research, predominantly co-authored written analyses
- (3) knowledge of institutional research and assessment methodologies and demonstrated ability to collect, analyze, and report data in a clear, concise, useful, and timely manner
- (4) clear evidence of JPME knowledge, including strong familiarity with the OPMEP
- (5) successful navigation and manipulation of NDU's information and data systems
- (6) contribution to curriculum development in any of the NDU colleges
- (7) potential for making future superior contributions to the organization
- (8) record of professionalism as an employee at the National Defense University (*inter alia*, in all interactions with students, peers, and external parties)
- (9) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives

d. Institutional Research Coordinator: An Institutional Research Coordinator possesses a master's degree (doctorate or other terminal degree is strongly preferred) in an appropriate discipline or field from a regionally accredited institution of higher education (or international equivalent) and is the lead for institutional research and assessment activities at the component or NDU level, including supervision of division staff. An Institutional Research Coordinator has significant professional experience in the field, demonstrated superior performance and productivity, documented supervisory skills (or strong aptitude for leading the division and staff), and potential for making future contributions to the organization. The Coordinator routinely provides expertise and embraces innovative techniques. The Institutional Research Coordinator is expected to be a thought leader in his or her discipline and an engaged member of the wider academic community, to include collaboration across NDU's Institutional Research offices and with the larger JPME community of Institutional Researchers.

e. Considerations for Promotion to Institutional Research Coordinator:

- (1) strong aptitude for leading the division

- (2) commitment and ability to work successfully within the component and university
- (3) capability and willingness to embrace innovation and positive change, develop efficiencies, enhance effectiveness, promote team building, and exhibit critical thinking
- (4) clear evidence of expert knowledge and application of education and assessment theory as it applies to JPME and higher education
- (5) substantial record of high quality and often independent written analyses in internal component/NDU publications and peer-reviewed professional publications, books, or reports. High-quality products are data-driven and provide valuable information for decision making
- (6) record of professionalism as an employee at the National Defense University (*inter alia*, in all interactions with students, peers, and external parties)
- (7) contribution to a climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas and perspectives.

3.4. Academic Administrators Promotions: Academic administrators normally attain higher ranks by being competitively selected for another position rather than through a promotion board process.

**APPENDIX B: PROMOTION REQUEST MEMORANDUM TEMPLATE**

NDU-XXXX

Month, DD, 20YR

MEMORANDUM FOR: Chair, XXXX Department (XXXX, Ph.D.)

SUBJECT: Request for Promotion—Dr. XXX

REFERENCES:

- a. NDUI 1402.01B Human Capital Talent Management Instruction, 30 Jun 2019
- b. NDUI 1416.01B Civilian Faculty Employment and Compensation Instruction, June 30, 2019
- c. NDUD 1404.12A Faculty Titling and Promotion Directive, June 30, 2019

I respectfully request your endorsement of my promotion to the rank of XXRANK in accordance with the references above.

I exceed all of the requirements identified by Component and NDU policies.

Thank you for your consideration.

Please contact me (XXX .ndu.edu, xxxx) if you need any additional information.

XXXX, Ph.D.  
XXX RANK  
XXX Department, NDU XCOMPONENT

Enclosures

Enclosure 1: Curriculum Vitae or Resume, Dr. XXXX

Enclosure 2: Supporting Evidence Narrative, Dr. XXXX

