



January 11, 2021

Ana Mari Cauce, President
Office of the President
301 Gerberding Hall
Box 351230

Dear President Cauce:

In accordance with the rules, the faculty has approved the *Faculty Code* amendment in Class A Bulletin No. 148: Improving Transparency in the Promotion and Tenure Process.

The results of the election submitted to the faculty for vote on December 8, 2020 are:

Total ballots distributed electronically:	4,936
Total ballots returned:	1,253
Percent of faculty who voted:	25%
Percentage of "yes" votes:	93.22%
Percentage of "no" votes:	3.35%
Percentage of "abstentions:"	3.43%

(The above percentage figures are based on ballots recorded electronically by the Catalyst Group.)

Attached is Chair Robin Angotti's certification that the faculty has voted to approve the changes as proposed in Class A Bulletin No. 148. Before the *Faculty Code and Governance* can be revised, we need your approval. According to the *Faculty Code*, you have fourteen days to respond.

Sincerely,

Mike Townsend
Secretary of the Faculty

/jmb

Cc: Robin Angotti, Faculty Senate Chair
Margaret Shepherd, Chief Strategy Officer, Office of the President
Barbara Lechtanski, Director, University Policy and Rules Office
Maegan Reilly, Assistant to Chief Strategy Officer

GENERAL LEGISLATIVE ACTION

At its meeting on December 3, 2020, the Faculty Senate approved legislation that would amend the Faculty Code related to improving transparency in the promotion and tenure process. These changes have been approved at every step of the legislative process. The Faculty Council on Women in Academia has developed and approved this legislation.

Proposed Legislation

Background and Rationale

The promotion and tenure process truly starts before a faculty member is even hired. The faculty recruitment process is a lengthy and expensive dialog intended to ensure a good fit between the University and the faculty member. As tenure-track positions decline in number, the competition for the highest quality candidates becomes more fierce. Articles about what to expect in the tenure process make the assumption that tenure guidelines are available, so not having them puts the University of Washington at a disadvantage in the hiring process, as well as when our qualified candidates are preparing for their tenure dossier¹.

The AAUP 1940 Statement on Academic Freedom and Tenure², as updated and endorsed in 1970, identifies that instructors in their “probationary period” be offered the precise terms and conditions of their appointment, in writing, prior to the appointment. While this can be interpreted to mean salary and benefits, the Statement also indicates that it is a living code, subject to reinterpretation with changing times. The Statement lists no other reason for termination prior to the end of probationary period other than incompetence, moral turpitude, and financial exigency, so it would therefore seem to imply that the terms of passing out of the probationary period would have been included in the “terms and conditions” of appointment. This can, in modern terms, be interpreted in part as the tenure and promotion guidelines.

Peer Institutions

While each individual department or school may use a different set of peer institutions for their own comparison or accreditation purposes, the Office of Planning and Budget uses the U.S. News Top-25 Public Research Institutions for its main comparison group³. The FCWA also used this group, therefore, to determine the current state of practice for publicly accessible tenure and promotion guidelines. A list of these schools, and their practices regarding the publication of P&T policies and guidelines can be found in Appendix A. We would like to highlight a few of the specifics from our research here. One peer institution, University of Illinois at Urbana-Champaign, expressly identifies the lack of articulation of P&T standards for junior faculty as negatively affecting their beliefs about the transparency regarding the university leadership, and its ability to mentor future leaders⁴. A task force commissioned by the University of North Carolina at Chapel Hill recognized the need for tenure criteria to be “up-to-date, clear, and applied fairly”⁵, in order to promote transparency in the criteria and their application, which will in turn ensure better quality decision making in the tenure granting process. The University of Maryland, in their tenure and promotion policies and procedures document, specifically require their institutions to have written procedures for tenure and promotion that state criteria, procedures, and methods for appeals⁶. In total, 15/21 schools had posted guidelines. Of those 6 that did not, 4 were in one University System (UC) and likely subject to similar internal policies. Clarity, specificity, and transparency remain the overarching themes.

¹ <https://www.chronicle.com/article/10-Things-No-One-Told-Me-About/246187?cid=rclink>

² <https://www.aaup.org/report/1940-statement-principles-academic-freedom-and-tenure>

³ <https://www.washington.edu/opb/tuition-fees/peer-comparisons/>

⁴ <https://faa.illinois.edu/strategy-overview-2014%E2%80%9317>

⁵ <https://provost.unc.edu/taskforce-future-promotion-tenure-policies-practices/>

⁶ <https://president.umd.edu/administration/policies/section-ii-faculty/ii-100a>

Our University

A review of the Schools at the University of Washington (counting the University of Washington Bothell and University of Washington Tacoma as one unit each, per the current state of University governance), shows that of the 19 Schools and Colleges, 9 have no published guidelines, 1 is available through an Intranet, 4 are accessible through a site-based Internet search, and 3 are easily findable from the main page of the school. This does not fit with the themes of clarity, specificity, and transparency. Further details are available in Appendix B.

What We Propose to Do

This is a proposal to add the word “published” to section 24-54 of the Faculty Code.

What Will Change?

This change will not affect the content or process of these guidelines. Those will still be determined by the units, according to their own needs. This requirement will simply require those guidelines to be made publicly accessible.

Why Are We Proposing This?

FCWA has identified a number of compelling reasons why we believe this change is essential at this time.

- **Equity:** Increasing the transparency of promotion and tenure guidelines will benefit women-identifying faculty, faculty of color, and faculty who have disabilities relating to information processing. Each of these groups are harmed when guidelines are inconsistently applied or unknown.
- **Recruitment and Retention:** Many of our peer institutions have published guidelines, so having a lack of the same leaves us at a competitive disadvantage in the hiring market.

Counter Arguments to Proposal

Without a more precise definition of the word “published,” the legislation might not have its intended effect.

**Proposed Amendment to the Faculty Code:
(Additions are underlined; deletions are struck through)**

**University of Washington
Faculty Code and Governance
Faculty Code Chapter 24**

Section 24-54 Procedure for Promotions

Annually, all eligible members of the faculty shall be informed of the opportunity to be considered for promotion by their department chair (or chair's designee or the dean of an undepartmentalized school or college, or the dean's designee). At the request of the faculty member, or if the promotion decision is mandatory, a promotion review shall be conducted following the procedure below.

- A. Promotion shall be based upon the attainment of the qualifications prescribed in Sections 24-32, 24-33, 24-34, and 24-35 for the various academic ranks and titles and not upon length of service. In arriving at recommendations for promotion, faculty, chairs, and deans shall consider the whole record of candidates' qualifications described in Section 24-32.

The voting members of the appropriate department (or undepartmentalized college or school) who are superior in academic rank to the person under consideration shall decide whether to recommend promotion within the professorial ranks.

Research faculty shall be considered by voting members of the appropriate department, or undepartmentalized college or school, who are superior in academic rank to the person under consideration.

Faculty with instructional titles outlined in Section 24-34, Subsection B shall be considered by voting members of the appropriate department or undepartmentalized college or school who hold an appointment as associate professor or professor or an instructional title superior to that of the candidate being considered.

- B. The record of the candidate being considered for promotion shall be assembled following the **published** guidelines of the candidate's college and unit. The candidate is responsible for assembling the promotion record, which shall include a self-assessment of the candidate's qualifications for promotion. External letters of review shall be kept confidential from the candidate.

For departments (or college/school if undepartmentalized) where an initial report and/or recommendation on the qualifications of the candidate for promotion is produced by a subcommittee of the eligible voting faculty (as described above), the report shall be written. The department chair (or chair's designee or the dean of an undepartmentalized school or college, or the dean's designee) shall provide the candidate with a written summary of the committee's report and recommendation. For purposes of confidentiality, specific attributions shall be omitted and vote counts may be omitted from the candidate's summary. The candidate may respond in writing within seven calendar days. The chair or dean shall forward the candidate's response, if any, together with the committee's report to the voting faculty.

The eligible voting faculty (as described above) of the candidate's department (or college/school if undepartmentalized) shall then meet to discuss the candidate's record. A vote on the promotion question shall occur following the discussion.

The department chair (or the chair's designee or the dean of an undepartmentalized school or college or the dean's designee) shall write a formal report of these proceedings for the candidate, summarizing the discussion and recommendation. For purposes of confidentiality, specific attributions shall be omitted and vote counts may be omitted from this report. The candidate may then respond in writing to the department chair (or dean in an undepartmentalized school or college) within seven calendar days.

If the faculty recommendation is a departmental one, and is favorable, or if the promotion decision is mandatory, or if the candidate has written a response to the departmental vote, the chair shall transmit all documents produced in this promotion process to the appropriate dean, with his or her

independent analysis and recommendation. The chair may, at his or her discretion, share the chair's recommendations with the candidate.

Section 13-31, April 16, 1956; S-A 22, April 18, 1958; S-A 59, April 23, 1979; S-A 64, May 29, 1981; S-A 81, January 30, 1990; S-A 94, October 24, 1995; S-A 100, April 25, 2000; S-A 124, July 5, 2011; S-A 126, June 11, 2012; S-A 130, June 14, 2013; S-A 142, June 22, 2018: all with Presidential approval. [See also Executive Order No. 45.]

Approved by:
Senate Executive Committee
October 5, 2020

Approved by:
Faculty Senate
October 22, 2020

Approved by:
Senate Executive Committee
November 16, 2020

Approved by:
Faculty Senate
December 3, 2020

Appendix A
Peer Institutions

Name	Posted Guidelines	Location	Notes	Link
University of Pittsburgh - Pittsburgh Campus	Y	Faculty Handbook/School webpages		https://www.provost.pitt.edu/faculty-handbook/ch2_appt_tenure https://www.as.pitt.edu/faculty/governance/criteria-appointment-evaluation-and-reappointment-non-tenure-stream-faculty
Pennsylvania State University - Main Campus	Y	Academic Policies		https://artsandarchitecture.psu.edu/facstaff/promten
University of Virginia - Main Campus	Y	Individual schools		http://as.virginia.edu/procedures-renewal-promotion-and-tenure-TT https://engineering.virginia.edu/promotion-and-tenure-policy-tenured-and-tenure-track-faculty-20176 https://faculty.med.virginia.edu/facultyaffairs/advancement/pandt/pt-resources/department-committees/
University of Illinois at Urbana-Champaign	Y	Provost Office		https://provost.illinois.edu/policies/provosts-communications/communication-9-promotion-and-tenure/promotion-tenure-frequently-asked-questions/
University of Michigan - Ann Arbor	N		Policies Only	https://regents.umich.edu/governance/bylaws/chapter-v-the-faculties-and-academic-staff/
University of California - Santa Barbara	Y	Academic Personnel		
Rutgers University - New Brunswick	Y	Human Resources		https://policies.rutgers.edu/view-policies/human-resources-hr-%E2%80%93-section-60
University of Connecticut	Y	Bylaws		
University of California - Davis	N		Policies Only	
University of California - San Diego	N		Policies Only	
University of California - Irvine	N		Policies Only	

University of California - Los Angeles	N		Policies Only	
Georgia Institute of Technology - Main Campus	Y	Faculty Handbook		http://www.policylibrary.gatech.edu/faculty-handbook/3.3.7-promotion-and-tenure-evaluation
University of Georgia	Y	Provost Office		https://provost.uga.edu/faculty-affairs/promotion-tenure/ https://provost.uga.edu/policies/appointment-promotion-and-tenure/promotion-tenure-criteria/
University of Wisconsin - Madison	Y	Office of the Secretary of the Faculty		https://secfac.wisc.edu/tenure/
University of Maryland- College Park	Y	Office of the President/Department		https://president.umd.edu/administration/policies/section-ii-faculty/ii-100
The University of Texas at Austin	N		Policies Only	https://utexas.app.box.com/v/pt-19-20-guidelines
Ohio State University - Main Campus	Y	Office of Academic Affairs		https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure
Purdue University - Main Campus	Y	Policies		https://www.purdue.edu/provost/policies/index.html https://www.purdue.edu/policies/academic-research-affairs/ib2.html
University of North Carolina at Chapel Hill	Y	Varies		https://sph.unc.edu/resource-pages/appointments-promotions-tenure-apt/ https://www.med.unc.edu/hr/epa-2/faculty-appointments-promotions-and-tenure/
University of Florida	Y	Office of Faculty Affairs/Schools		

Appendix B
Transparency in Tenure and Promotion Guidelines Posting/Quality

School/Department	Guidelines Posted	Guidelines Easily Accessible	Guidelines Clearcut
College of Built Environment	http://be.uw.edu/wp-content/uploads/2015/11/CBE-PT-framework-rev_12_22.pdf	Searchable, not linked from any main page that I could find.	Process is extremely clear, criteria are not dictated.
Foster School of Business	No		
College of Arts and Science	Yes https://admin.artsci.washington.edu/promotion-	Searchable, found under the administrative gateway. No obvious link.	Yes, both process and

	and-tenure-guidelines#dept-guidelines		criteria are included.
School of Dentistry	Not really https://ap.washington.edu/wp-content/uploads/promotion-departmentalized.pdf http://www.washington.edu/admin/rules/policies/FCG/FCC/H24.html		
College of Engineering	Yes	Under "My CoE", two clicks.	Yes, on both process and criteria
College of the Environment	Yes	Under Intranet, Policies A-Z	Only on Process
School of Law	No		
The Information School	No		
School of Computer Science and Engineering	Yes https://homes.cs.washington.edu/~lazowska/chairstair/faculty.evaluation.html	Searchable	Process, but from 1995
College of Education	Sort of https://education.uw.edu/my-coe/facstaff/faculty-resources#Faculty_Promotion_and_Tenure	Under My Coe	Guidelines for 3 rd Year review
Jackson School of International Studies	No		
Evans School of Public Policy	No		
School of Social Work	No		
UW Bothell	Sort of https://www.uwb.edu/gfo/officers#ccpt	Searchable	Policies and some broad criteria
Department of Medicine	Yes for some schools	Searchable	Very specific when available https://medicine.uw.edu/faculty/academic-human-resources/tenure

			https://medicine.uw.edu/faculty/academic-human-resources/promotion-evaluation-data
School of Nursing	No		
School of Pharmacy	Yes, sort of. https://uwnetid.sharepoint.com/sites/MySOP/SitePages/Promotion%20and%20Tenure%20Process.aspx	Searchable.	Policy only.
School of Public Health	No		
UW Tacoma	https://www.tacoma.uw.edu/faculty-assembly/appointment-promotion-tenure#Resources%20and%20Policies	If you know to look under the "Faculty Assembly" page, they can be found in 3 clicks.	For some units, they are similar to the Ohio State ones. For other units, they are more vague.