



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. 149: Procedures for Promotion.

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:	1,211
Percent of faculty who voted:	25%
Percentage of "yes" votes:	85.47%
Percentage of "no" votes:	7.51%
Percentage of "abstentions:"	7.02%

(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. 149. 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 procedures for promotion. These changes have been approved at every step of the legislative process. The Faculty Council on Faculty Affairs has developed and approved this legislation.

### Proposed Legislation

#### Background and Rationale

Section 24-54 of the Faculty Code describes the process for promotion of faculty members. The crux of the process is an optional subcommittee report, followed by a vote by the eligible voting faculty on whether to recommend promotion.

Before 2018, it was possible for a promotion subcommittee to include voting members of the faculty from outside the candidate's own department or college, provided they were superior in academic rank and title to the person up for promotion. A change was made to the code in 2018 to adjust the voting hierarchy so that assistant professors would no longer vote on the promotion of senior lecturers to principal lecturers; but the wording of that code change inadvertently stipulated that members of a promotion subcommittee had to be members of the candidate's department (or undepartmentalized college or school). This greatly reduced the number of faculty members available to serve on promotion subcommittees and caused hardships for some departments and colleges.

When FCFA was contemplating a way to fix this problem, we discovered a second problem that did not have to do with the 2018 change: sometimes, in very small departments, the number of faculty members of sufficient rank to vote on a particular promotion case can be extremely small, with only two, one, or even no faculty members eligible to vote. This can be particularly acute for promotion of a tenured faculty member from Associate Professor to Professor, in which case only tenured or WOT full professors can vote. Conducting a "departmental vote" (or college vote in an undepartmentalized college) with so few voting members can create a perception of unfairness and a lack of confidentiality on the part of those voting.

#### What We Propose to Do

To solve the first problem, we propose to explicitly allow promotion subcommittees to include members from outside the candidate's department or college who have appropriate expertise, provided they are qualified by rank and title to vote on such a promotion case. Then to solve the second problem, we propose to *require* such a subcommittee (with three or more members) in cases where there are fewer than three eligible voting members in the candidate's unit, and then to use the report of that subcommittee in lieu of a departmental vote. (Note that all subcommittee reports and departmental promotion votes are advisory to the chair and, ultimately, to the dean.)

#### What Will Change?

The biggest change will be that in cases where there are fewer than three voting faculty members in a unit who are eligible by rank and title to vote on a particular promotion case, there will no longer be an official departmental vote (or college vote in the undepartmentalized colleges) on the case. Instead, a subcommittee of at least three will be formed, which may include faculty members from outside the candidate's department, college, school, or campus, and that committee's report will serve in lieu of the departmental (or undepartmentalized college) vote. If there are any eligible voting faculty members in the candidate's unit, they must be offered the opportunity to serve on the committee.

A more minor change is that in units that do have at least three eligible voting faculty members, we will revert to the situation before 2018: if a subcommittee does issue an initial report, it may contain members from outside the candidate's unit.

### **Counter Arguments to Proposal**

The legislation does not specify how the subcommittees are chosen.

The legislation does not address the situation in which an eligible faculty member in a department with three or fewer faculty members is unavailable to serve on the subcommittee. As written, the legislation arguably precludes that faculty member from having a vote at all because the subcommittee recommendation is taken as the unit recommendation.

The legislation may make it easier for a small group to block promotions in small departments.

**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.

~~Eligibility to deliberate and vote on a recommendation of promotion is limited to voting members of the faculty who are superior in academic rank and title to the person under consideration, subject to the limitations described in Section 21-32, Subsections C and D.~~

~~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 and teaching 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.~~

~~Artists in residence 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 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.

~~An initial report and/or recommendation on the qualifications of the candidate for promotion may be produced by a subcommittee. Such a subcommittee must consist of at least three eligible voting faculty members (where eligibility is defined in Subsection A above), and may include faculty drawn from other departments, schools, colleges, or campuses who have appropriate expertise. Members of the subcommittee shall be given the opportunity to review the candidate's record, including external letters.~~

~~If there are fewer than three eligible voting members in the department (or undepartmentalized college or school), a subcommittee shall be formed as described above, and it shall include any eligible voting faculty members in the candidate's department (or undepartmentalized college or school) who are available to serve.~~

For a department (or undepartmentalized college or school) 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. ~~The written summary shall identify the members of the subcommittee.~~ 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 ~~eligible~~ voting faculty ~~of the department (or undepartmentalized college or school).~~

If there are three or more eligible voting faculty members in the candidate's department (or undepartmentalized college or school), those eligible voting faculty members shall then meet to discuss the candidate's record, and following the discussion they shall vote whether to recommend promotion. If an initial report was produced by a subcommittee, all members of the subcommittee may choose to participate in the discussion, but only eligible voting faculty in the candidate's department (or undepartmentalized college or school) may be present for the vote. 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 there are fewer than three eligible voting faculty members in the candidate's department (or undepartmentalized college or school), the recommendation of the subcommittee shall be used in lieu of a vote by the department (or undepartmentalized college or school).

If the candidate is a member of a departmentalized college or school, then in case the departmental recommendation (or the subcommittee recommendation in the event there are fewer than three eligible voting faculty members in the candidate's department) is a departmental one, and is favorable or the promotion decision is mandatory or the candidate has written a response to the departmental vote (or the subcommittee recommendation in the event there are fewer than three eligible voting faculty members in the candidate's department), 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