

**Updates to the Class A Legislation, Proposed Amendments to the Faculty Code regarding the faculty salary policy.**

At the Faculty Senate meeting on March 3, 2016, the proposed changes to the FSP were discussed. At that meeting, it emerged that as a result of recent consultations among many people who contributed to the development of the proposed policy, a consensus had developed that to work well across the university, the proposed legislation required two additional key changes:

1. The code needs to be clarified to ensure that Variable Adjustments can be used to reward performance on a continuing basis. (This was always the intent of the working group that developed the policy and the FCFA, but the AG's office interpreted the proposed code to disallow this.)
2. At the request of some schools/colleges, a way was needed to opt out of the tier system.

After extensive discussion at the March 3 meeting, the senate decided that the most expedient thing to do was to reject the legislation and re-submit it in time for a first consideration at the April 21<sup>st</sup> Faculty Senate meeting.

With this in mind, Senate Chair Norm Beauchamp appointed a task force consisting of Gordon Watts, Paul Hopkins, and Jack Lee to suggest revisions to the proposed Class A legislation to address these two points. The attached version of the proposal contains those revisions. In addition, we have reviewed all of the changes proposed by the president's office and the Code Cops (officially the "Advisory Committee on Faculty Code and Regulations," a faculty senate committee that reviews proposed Class A legislation for clarity and consistency with other parts of the code). Where appropriate the proposed changes have been absorbed into the proposed legislation.

**Notes on changes to address points 1 and 2**

1. Section 24-35.L: The procedure to opt-out of the tier system. By default, faculty throughout the University who are defined as "tier eligible" will be in the tier system. At any time after this legislation has passed, a school, college, or campus may opt out by a majority vote of all the affected faculty. Once opted out, it is also possible to opt back in by the same procedure. As written, opting out (or back in) can't happen at the department level – school, college, or campus is the smallest unit of granularity. For the purposes of the code, faculty are considered as non-tier-eligible if their school, campus, or college has opted out of the tier system.
2. Section 24-61.D: The language describing the expected rate of the collegial review (and tier advancements) was clarified to make clear it was advisory. The code mandates at least one collegial review every five years – a requirement for accreditation. In the case of a non-tier-eligible school, college, or campus, deans might choose to require reviews as frequently as annually. As in the current code, the procedure for this review will be determined at the unit level.
3. Section 24-62: One of the possible outcomes of a collegial performance review is to recommend performance-based raises in a college, campus, or school that has opted out of the tier system. Performance-based raises will be distributed via variable adjustments.
4. Section 24-62.C: In a college, school, or campus that has opted out, all faculty are considered non-tier eligible. This text was updated to give more flexibility in defining which categories of faculty are included when delegating performance reviews to a committee. This flexibility will also exist for tier-eligible units.
5. Section 24-62.E: These lines make it clear that not only should the review make a determination of satisfactory/non-satisfactory, but it should also assess quality of performance. This will be important in schools, colleges, or campuses that have opted out of tiers and thus need a measure of performance to distribute variable adjustments.
6. Section 24-72.I.1: Extends the uses of variable raises for performance and other purposes the faculty and university might come up with later, with limits described below.
7. Section 24-72.I.2: Modified to make it clear the code allows variable adjustments to be initiated by the provost or dean or chancellor. In all cases the final distribution must be approved by the provost, no matter who initiates the process.

8. Section 24-72.I.3: Although the plan for distribution of variable adjustments must be approved every year, if it is to be used regularly for rewarding performance, it is expected that once first approved, the plan can be re-approved with a cursory vote by the SCPB.
9. Section 24-72.I.7-9: These paragraphs make sure that when "performance" is a factor in distributing variable adjustments, a fair consideration of the faculty member's full record is performed. These paragraphs are adopted with only minor modifications from the current code language describing merit raises.
10. Section 24-72.K: This clarifies that the expectation that a tier advancement will accompany a retention raise applies only to tier-eligible faculty; it won't apply in colleges that have opted out of the tier system.
11. Section 24.77.A: This change makes it clear that those who are in college, schools, or campuses that have already opted out of the tier system can receive market adjustments during the transition year.
12. Section 24-77.C: Restrict the determination of next mandatory collegial review to tier-eligible faculty. Non-tier-eligible faculty members who are subject to renewal will have their next mandatory review when they are up to renewal. In colleges that have opted out of the tier system, units will set their own expectations for time of next collegial evaluation.

### Notes on the changes proposed by the Code Cops and the President's office

Almost all changes are clarifications or minor corrections. While they are highlighted for the most part in the code below, the major changes are summarized here. In particular, those that were not accepted wholesale:

1. Throughout: Numerous subsection headings were added by the administration's Rules Coordination Office, as part of a general policy designed to make the code more easily navigable. These are not highlighted, but new headings are marked (like all other new text) with single underlines. They should accurately reflect the contents of their subsections, but they should not affect the substantive meaning of any part of the code.
2. Section 24-35.K: The original intention was to provide a way for someone to request an administrator exemption if they are not exempted by default, or to request that an administrator exemption should not be applied if they would have been exempted by default. The original language was not clear on intent, and the president's suggested changes limited the ability to opt out of an administrative exemption. This change also reflects the president's request to have the provost involved in all such decisions (not just the dean).
3. Section 24-43.A and 24-62.G: The president's office requested that the final decision for renewal of appointments, actions on a collegial review, be made by the full faculty in the appointing unit rather than by a delegated committee (if there was one formed in the first place). The delegated committee can still do all the work, come up with the recommendation, and present a simple list to the full unit to be quickly voted on.
4. Section 24-62.C: Deleted. The president's office has asked that the final vote on faculty performance must be approved by the unit's full faculty. As a result, there is no longer a need to specify if a delegated committee can approve or must send the results back to the faculty for approval – it must do the latter.
5. Section 24-62.J: The President's office had requested that deans be able to deny any tier advancement for financial reasons. It has been reworded to limit it to early tier advancements. We fully expect deans to request a schedule of upcoming tier advancements to plan their budgets sufficiently in advance to accommodate the inevitable statistical variations.
6. Section 24-72.C: The President's office has changed the subsection heading from "Financial Hardship" to "Financial Stress," because the former might have legal ramifications that are too restrictive for the present purposes (for example, if a declaration of financial hardship is required to deny or reduce raises to faculty, in a situation that fell just short of financial hardship, the university might be forced to lay off professional or classified staff before modifying faculty raises). We agreed that this wording adequately expresses the purpose of the subsection.
7. Section 24-72.C: The president's office extended somewhat the scope of changes that could be made in time of financial stress.

8. Section 24-72.C. 1. b: The President's office wanted 10 days' review by the SCPB. The time should be sufficient to allow two regular meetings of the SCPB for such an important discussion (plus likely a number of extraordinary meetings), so we are proposing to change the time frame to 15 days. The faculty as a whole still has 30 days review this (paragraph c).
9. Section 24-72.C.2: The president's office requested that the wording be clarified to say clearly that the delayed tier raises after a period of financial stress would be given at the rate in effect after the delay. This was always the intention of the working group and FCFA, and we recommend accepting this change of wording.
10. Section 24-72.1.9: The final distribution of variable adjustments must be signed off on by the dean and provost.
11. Section 24-73.A: The president's office requested three years to implement the salary policy, with a possible fourth year that required just informing the SCPB. We have proposed changing this back to two years, and made the third year require a bit more of a discussion in the SCPB.
12. Section 24-77.B.2: Rank and Title are different aspects (many faculty have both). This makes it clear that when calculating the proper initial tier both are taken into account. The president's office had suggested "rank or title," which is sufficient in most places in the code, but not here.
13. Section 24-77.E: Brings this text into line with the changes at Section 24-72.C.

Commented [NLB1]:

Note: This language was converted back to the previous text at the request of the president's office. (Third academic year.)

### Other Changes

As we studied the document, we discovered some other issues that had nothing to do with the above concerns. They are summarized here:

1. Section 24-61.C: The original proposal here accidentally swept up a much broader class of people into the review and planning process (including, for example, research associates/post-docs). In this version, the list of faculty members who are required to have planning conferences is directly copied from the current code.
2. Section 24-77.A.1: The original proposal said "no market adjustments." The market adjustment for tier-eligible faculty was already factored into the transition raise; but this is not the case for non-tier-eligible faculty, so the latter should get market adjustments. This fixes that oversight in the code.

Respectfully,  
Gordon Watts  
Jack Lee  
Paul Hopkins

Below find the original preamble and the modified proposed legislation. Note that the conflict of interest legislation has to be updated. Its voting period hasn't completed yet.

**Class A Legislation.**  
**Proposed Amendments to the Faculty Code regarding the faculty salary policy.**

**Rationale for proposed Class A legislation:** Chapters 24 and 25, "Appointment and Promotion of Faculty Members" and "Tenure of the Faculty" (which are combined into a single Chapter 24, "Appointment Provisions of the Faculty", by this proposed change)

The current salary policy has the following stated goal: "The fundamental purpose of the University of Washington Faculty Salary Policy is to allow the University to recruit and retain the best faculty." This work grew out of a general feeling that the current policy was not living up to the second part of this goal – retention. In particular, the phenomenon of salary compression was thought to be widespread – new hires were coming in at salaries that were close to or in some cases above their senior colleagues. As our peer institutions were giving better raises on average, UW left itself more open to poaching than it might otherwise have.

The current faculty code provides for regular and additional merit raises that have averaged less than 3%. The proposed changes add *tiers* for members of the faculty who are appointed as tenure track, WOT track, or research professorial track, or as full-time lecturers, full-time senior lecturers, principal lecturers, artists in residence, or senior artists in residence (24-35). A member of the faculty performing normally is expected to advance a tier every four years on average (24-35 H). A tier raise is proposed to be 8% (though it is capped at 8% of the average faculty salary).

Further, each year, meritorious faculty will receive a market adjustment, which is in the amount of the percentage increase in the CPI-U (US Consumer price index for all urban consumers). Draft EO 65 sets the Tier and market adjustment sizes. The proposed faculty code changes and the draft EO allow for modifications on a by-unit or by-school basis of these numbers within limits (EO 65, 24-72 B).

There is also a provision for Variable Adjustments, which will be made available when possible, and have a lot of flexibility as to how they are applied (24-72 I). They are designed to address inappropriate salary differences between peers at the university to individual level. To keep track with peer institutions, this means about 1% per year on average (in addition to the CPI-U above).

Promotions (and their timing) are not affected by this policy. Promotion raises are 12% in the current draft EO.

Retention offers are not affected directly by the proposed changes, though it is hoped the need for them will be reduced by this policy (24-72 K). Further it is hoped that the codifying of tier advancements and raises will increase the likelihood that salaries recaptured by retirement are redirected back into faculty salaries. If a retention offer occurs, it is expected that a tier advancement will also occur commensurate with the size of the retention offer.

The decision for tier advancement is made after a collegial performance review (24-62). This is meant to be a careful review by peers, and does not require outside letters as does a full promotion review. It is possible to delegate a performance review to a committee of faculty in the unit (24-62 C). Each faculty member will have a planning conference with the chair on a schedule determined by rank (at least every four years for full professors and principal lecturers, every two years for associate professors, senior lecturers, and senior artists in residence, and every year for others). After the planning conference, a collegial review may be initiated by either the faculty member or the chair, and in any case no later than five years after the previous review. An individual faculty member may request an early planning conference and/or an early collegial review at any time.

Tiers 7, 8, and 9 of the Professor rank are special, reserved for exceptional members of the faculty (24-35 I). Tier advancement to tier 7 of professor requires a careful review, including external letters. Finally, there are three time periods: pre-transition, transition (1 year), and post-transition. During the pre-transition period, which would start with the approval of this legislation, the faculty salary policy operates under the same rules as the faculty does currently. During the transition period all faculty will have their

collegial review schedules set and those who are meritorious will receive a transition raise whose size depends on the time of their post transition review (24-77 D).

Every attempt was made to keep the code policy neutral, except where the new policy forced changes. In many cases the old code language was copied to new locations. The proposal uses the standard formatting to indicate this: underlined text is new, strikeout is deleted, and double underline is existing language (that has been moved). As chapters 24 and 25 have been combined, there is a lot of moved code.

Here is a brief summary of new and deleted or significantly altered sections:

1. 24-25 – Note that the Conflict of Interest is being considered in separate Class A legislation. Whatever the outcome of that process will be reflected here.
2. 24-35 – New section defining what ranks have associated tiers and how faculty progress across tiers and promotions.
3. 24-55 – Make it clear how collegial reviews fit into the procedure for promotions; one possible outcome of the collegial review is a recommendation for promotion, which will trigger a promotion review.
4. 24-60/24-61 – 24-60 is now a heading, and also contains the proposed removal of the old 24-55 “Procedure for Salary Increases based Upon Merit”. 24-61 details the process by which reviews occur, documentation, etc. - and contains a good deal of the code (reworded and clarified) from the old merit review section.
5. 24-62 Describes collegial performance reviews.
6. 24-63 Consequences of unsatisfactory performance was updated to reflect the new tier system and also clarified. It is also made explicit what section of the code to follow if no resolution can be attained by the procedure detailed here (25-71 D – as this is the current practice).
7. 24-71 Statement of principles of the faculty salary policy
8. 27-72 How salary increases are allocated (including provisions for per-unit customization). Includes details on each type of possible raise.
9. 24-73 Details how the transition to the new policy will proceed. This code and code sections after concerning the pre-transition or transitions periods will be removed automatically as they become irrelevant.
10. 24-74/75/76 Pre-transition code – which is a copy of the current code for merit raises and reviews.
11. 24-77 Details the transition period, how tiers will be assigned, transition raises, and assignment of each faculty member's first collegial review.

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

**Chapter 24**

**Appointment, Evaluation, and Promotion, and Salary of the Faculty Members**

**Part 24-10 Statutory Provisions and Regent Statement**

**Section 24-11 Statute Relating to Faculty**

[For a statute relating to faculty, see RCW 28B.20.200]

**Section 24-12 25-01 Statute Relating to Tenure Statute Describing Powers and Duties of Regents Relating to Faculty**

[For a statute describing powers and duties of regents relating to faculty relating to tenure, see RCW 28B.20.130 (1) and (2).]

**Section 24-13 25-11 Statement of Policy by the Board of Regents Regent Policy on Tenure of the Faculty**

[See *Board of Regents Governance, Regent Policy No. 2.*]

**Part 24-20 General Principles and Policies**

**Section 24-21 24-31 General Faculty Appointment Policy**

The principal functions of a university are to preserve, to increase, and to transmit knowledge. Its chief instrument for performing these functions is its faculty, and its success in doing so depends largely on the quality of its faculty. The policy of this University should be to enlist and retain distinguished faculty members with outstanding qualifications.

**Section 24-22 24-32 Scholarly and Professional Qualifications of Faculty Members**

The University faculty is committed to the full range of academic responsibilities: scholarship and research, teaching, and service. Individual faculty will, in the ordinary course of their development, determine the weight of these various commitments, and adjust them from time to time during their careers, in response to their individual, professional development and the changing needs of their profession, their programs, departments, schools and colleges, and the University. Such versatility and flexibility are hallmarks of respected institutions of higher education because they are conducive to establishing and maintaining the excellence of a university and to fulfilling the educational and social role of the institution. In accord with the University's expressed commitment to excellence and equity, contributions in scholarship and research, teaching, and service that address diversity and equal opportunity may be included among the professional and scholarly qualifications for appointment, and promotion, and tier advancement outlined below.

47 A. Scholarship

48  
49 Scholarship, the essence of effective teaching and research, is the obligation of all members of the  
50 faculty. The scholarship of faculty members may be judged by the character of their advanced  
51 degrees and by their contribution to knowledge in the form of publication and instruction; it is  
52 reflected not only in their reputation among other scholars and professionals but in the performance  
53 of their students.

54  
55 B. Inquiry and Research

56  
57 The creative function of a university requires faculty devoted to inquiry and research, whose  
58 attainment may be in the realm of scholarly investigation, in constructive contributions in  
59 professional fields, or in the creative arts, such as musical composition, creative writing, or original  
60 design in engineering or architecture. For each of these realms, contributions that address diversity  
61 and equal opportunity may be included. While numbers (publications, grant dollars, students)  
62 provide some measure of such accomplishment, more important is the quality of the faculty  
63 member's published or other creative work.

64  
65 Important elements in evaluating the scholarly ability and attainments of faculty members include  
66 the range and variety of their intellectual interests; the receipt of grants, awards, and fellowships;  
67 the professional and/or public impact of their work; and their success in directing productive work by  
68 advanced students and in training graduate and professional students in scholarly methods. Other  
69 important elements of scholarly achievement include involvement in and contributions to  
70 interdisciplinary research and teaching; participation and leadership in professional associations  
71 and in the editing of professional journals; the judgment of professional colleagues; and  
72 membership on boards and committees. In all these, contributions that address diversity and equal  
73 opportunity may be included.

74  
75 C. Scope of Instruction

76  
77 The scope of faculty teaching is broader than conventional classroom instruction; it comprises a  
78 variety of teaching formats and media, including undergraduate and graduate instruction for  
79 matriculated students, and special training or educational outreach. The educational function of a  
80 university requires faculty who can teach effectively. Instruction must be judged according to its  
81 essential purposes and the conditions which they impose. Some elements in assessing effective  
82 teaching include:

- 83  
84 • The ability to organize and conduct a course of study appropriate to the level of instruction  
85 and the nature of the subject matter;  
86  
87 • The consistency with which the teacher brings to the students the latest research findings  
88 and professional debates within the discipline;  
89  
90 • The ability to stimulate intellectual inquiry so that students develop the skills to examine and  
91 evaluate ideas and arguments;  
92  
93 • The extent to which the teacher encourages discussion and debate which enables the  
94 students to articulate the ideas they are exploring;  
95  
96 • The degree to which teaching strategies that encourage the educational advancement of  
97 students from all backgrounds and life experiences are utilized;  
98  
99 • The availability of the teacher to the student beyond the classroom environment; and  
100

- The regularity with which the teacher examines or reexamines the organization and readings for a course of study and explores new approaches to effective educational methods.

A major activity related to teaching is the instructor's participation in academic advising and counseling, whether this takes the form of assisting students to select courses or discussing the students' long-range goals. The assessment of teaching effectiveness shall include student and faculty evaluation. Where possible, measures of student achievements in terms of their academic and professional careers, life skills, and citizenship should be considered.

D. Professional and Public Service

Contributions to a profession through published discussion of methods or through public demonstration of an achieved skill should be recognized as furthering the University's educational function. Included among these contributions are professional service activities that address the professional advancement of individuals from underrepresented groups from the faculty member's field.

- E- The University encourages faculty participation in public service. Such professional and scholarly service to schools, business and industry, and local, state, national, and international organizations is an integral part of the University's mission. Of similar importance to the University is faculty participation in University committee work and other administrative tasks and clinical duties, including the faculty member's involvement in the recruitment, retention, and mentoring of scholars and students in an effort to promote diversity and equal opportunity. Both types of service make an important contribution and should be included in the individual faculty profile.

- F- Competence in professional service to the University and the public should be considered in judging a faculty member's qualifications, but except in unusual circumstances skill in instruction and research should be deemed of greater importance.

**Section 24-23 24-33-A Statement of Principle: Academic Freedom and Responsibility**

Academic freedom is the freedom to discuss all relevant matters in teaching, to explore all avenues of scholarship, research, and creative expression, and to speak or write without institutional discipline or restraint on matters of public concern as well as on matters related to shared governance and the general welfare of the University.

Faculty members have the right to academic freedom and the right to examine and communicate ideas by any lawful means even should such activities generate hostility or pressure against the faculty member or the University. Their exercise of constitutionally protected freedom of association, assembly, and expression, including participation in political activities, does not constitute a violation of duties to the University, to their profession, or to students and may not result in disciplinary action or adverse merit evaluation.

A faculty member's academic responsibility requires the faithful performance of professional duties and obligations, the recognition of the demands of the scholarly enterprise, and the candor to make it clear that when one is speaking on matters of public interest, one is not speaking for the institution.

Membership in the academic community imposes on students, faculty members, administrators, and regents an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways that injure individuals and damage institutional facilities or disrupt the classes of one's instructors or colleagues. Speakers on campus must not only be protected from violence, but also be given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that clearly and significantly impede the functions of the University.

**Commented [NLB2]:**

Whenever the transition sections of this chapter have been implemented, references to "merit" and/or "meritorious" elsewhere in the code must be reviewed for potential housekeeping changes

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158 Students and faculty are entitled to an atmosphere conducive to learning and to evenhanded treatment in  
159 all aspects of the instructor-student relationship. Faculty members may not refuse to enroll or teach a  
160 student because of the student's beliefs or the possible uses to which the student may put the knowledge  
161 to be gained in a course. Students should not be forced by the authority inherent in the instructional  
162 relationship to make particular personal choices as to political action or their own roles in society.  
163 Evaluation of students and the award of credit must be based on academic performance professionally  
164 judged and not on matters irrelevant to that performance. (Examples of such matters include but are not  
165 limited to personality, personal beliefs, race, sex, gender, religion, political activity, sexual orientation, or  
166 sexual, romantic, familial, or other personal relationships.)  
167  
168 It is the responsibility of the faculty members to present the subject matter of their courses as approved  
169 by the faculty in their collective responsibility for the curriculum. Within the approved curriculum, faculty  
170 members are free to express ideas and teach as they see fit, based on their mastery of their subjects and  
171 their own scholarship.  
172  
173 ***Footnote: Faculty/Student Relationships and Conflicts of Interest***  
174  
175 Conflicts of interest resulting from romantic or sexual relationships are detrimental to the functioning of  
176 the University because, if present, the professional authority under which decisions are made may be  
177 called into question. The University's responsibilities to the public and to individual members of the  
178 University community may be compromised if such conflicts of interest are not avoided.  
179  
180 The faculty's decision-making responsibilities should not restrict the faculty's rights as citizens, including  
181 the personal rights of association and expression, unless the exercise of those freedoms conflicts with the  
182 institutional necessity of impartiality in academic and employment decisions. In that case, the faculty  
183 member must restrict his or her participation in such decisions.  
184  
185 State law and University rules preclude a faculty member from participating in decisions which directly  
186 benefit a member of his or her family. The same rules should apply to decisions involving sexual or  
187 romantic relationships between faculty and students, since these relationships, like formal family  
188 relationships, may call into question the ability of the faculty member to assess the performance of  
189 another solely on academic or professional merit.  
190  
191 Romantic or sexual relationships between faculty and students may in some instances infringe on the  
192 rights of that student or other students or colleagues. The possibility of sexual harassment may arise, if  
193 the faculty member's immediate power to influence a student's academic progress brings into question  
194 the ability of the student genuinely to consent freely to the relationship. The possibility of impeding the  
195 student's academic or professional progress may also arise if the faculty member is already in a position  
196 of significant decision-making authority with respect to the student, since the faculty member must abstain  
197 from further participation in such decisions, thereby denying the student access to the faculty member's  
198 professional assessment. The possibility of an unwelcome, hostile or offensive academic environment  
199 may also arise if the faculty member fails clearly to separate personal interests from his or her  
200 professional decision-making.  
201  
202 Faculty members should be aware that the harms listed above do not arise only from existing  
203 relationships, but may also arise if an individual in a position of authority to a student makes overt sexual  
204 or romantic advances upon that student. Even if the advances are welcome, the faculty member should  
205 remove him or herself from the teaching or supervisory role, which may impede the student's academic  
206 progress. If the advances are unwelcome, the student may suffer unneeded stress, and the academic  
207 relationship may suffer.  
208  
209 ***NOW, THEREFORE, BE IT RESOLVED*** by the Faculty Senate of the University of Washington, that no  
210 faculty member, teaching assistant, research assistant, department chair, dean, or other administrative  
211 officer should vote, make recommendations, or in any other way participate in the decision of any matter

212 which may directly affect the employment, promotion, academic status or evaluation of a student with  
213 whom he or she has or has had a familial, sexual, or romantic relationship.

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216 **Section 24-24 23-46-H Right to Information**

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218 Upon request, the chancellor of a campus, the dean of a college or school, or the chair of a department  
219 shall provide a member of his or her faculty with information concerning salaries, teaching schedules,  
220 salary and operations budget requests, appropriations, allotments, disbursements, and similar data  
221 pertaining to his or her campus, college, school, or department.

222

223

224 **Section 24-25 24-50 Conflict of Interest Regarding Appointment, Employment, and Academic**  
225 **Decisions**

226

227 The procedures set forth in this chapter shall apply in all cases, except that no faculty member,  
228 department chair, dean, or other administrative officer shall vote, make recommendations, or in any other  
229 way participate in the decision of any matter which may directly affect the appointment, tenure, promotion  
230 or other status or interest of such person's parent, child, spouse, household member, sibling, or in-law.  
231 [See also Executive Order No. 32.]

232

233

234 **Section 24-26 25-74 Standard of Conduct**

235

236 A. Obligation to Comply with University Rules and Regulations

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238 The University is an institution having special public responsibility for providing instruction in higher  
239 education, for advancing knowledge through scholarship and research, and for providing related  
240 services to the community. As a center of learning, the University also has the obligation to maintain  
241 conditions which are conducive to freedom of inquiry and expression in the maximum degree  
242 compatible with the orderly conduct of its functions. For these purposes the University is governed by  
243 rules and regulations which safeguard its functions, and which, at the same time, protect the rights  
244 and freedoms of all members of the academic community. All members of the academic community,  
245 including members of the faculty, have an obligation to comply with the rules and regulations of the  
246 University and its schools, colleges, and departments.

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248 B. Allegations of Research Misconduct

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250 In cases concerning allegations of research misconduct against a member of the faculty, the  
251 procedures outlined in Executive Order No. 61 shall apply.

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254 C. Allegations of Unlawful Discrimination, Harassment or Sexual Harassment, or Retaliation

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256 In cases concerning allegations of unlawful discrimination, harassment or sexual harassment, or  
257 retaliation against a member of the faculty, where the dean has determined under Executive Order  
258 No. 31 that the allegations require an institutional investigation, the matter shall be referred to the  
259 University Complaint Investigation and Resolution Office (UCIRO).

260

261 D. Other Allegations

262

263 In cases where a member of the faculty is alleged to have violated another rule or regulation of the  
264 University, its schools, colleges, or departments, the following procedure shall apply:

265

266 1. The department chair or the dean in a non-departmentalized school or college shall inform the  
267 faculty member of the nature and specific content of the alleged violation and shall offer to

- 268 discuss the alleged violation with the faculty member and with the party raising the issue. The  
269 faculty member and the party raising the issue may each be accompanied by one person. The  
270 matter may be concluded at this point by the mutual consent of all parties.  
271
- 272 2. If he or she so wishes, the department chair, the dean, or the faculty member may initiate  
273 conciliatory proceedings at any time by contacting the University Ombud as provided in Chapter  
274 27.  
275
- 276 3. If a mutually agreeable resolution is not achieved under Subsections D.1 or D.2 of this section,  
277 and if the dean (after consultation in the case of a departmentalized school or college with the  
278 department chair and the faculty member) determines that the alleged violation is of sufficient  
279 seriousness to justify consideration of the filing of a formal statement of charges that might lead to  
280 dismissal, reduction of salary, or suspension for more than one quarter, then:  
281
- 282 a. The dean shall appoint a special investigating committee of three faculty members who are  
283 not directly involved in the matter being considered.  
284
- 285 b. The committee shall assist the dean in the informal and confidential gathering of information  
286 and documentation and shall advise the dean in its interpretation.  
287
- 288 c. If as a result of the foregoing investigation the dean concludes that further action is not  
289 merited, then the matter shall be dropped.  
290
- 291 d. A faculty member aggrieved as a result of these activities has potential recourse through the  
292 conciliatory proceedings of Chapter 27 and the adjudicative proceedings described in  
293 Chapter 28, Section 28-32, Subsection A.  
294
- 295 E. Dean's Written Report Filed with the Provost  
296
- 297 If, after engaging in the procedures specified in Subsection B or D.3 above, the dean concludes  
298 that further action is warranted, he or she shall deliver to the Provost a written record stating that  
299 reasonable cause exists to adjudicate charges of wrongdoing brought against the faculty member,  
300 with enough of the underlying facts to inform the Provost of the reasons for this conclusion. Upon  
301 filing of the written report with the Provost, the case shall be decided in the manner prescribed in  
302 Chapter 28.

303 **Part 24-30 Appointment Types and Qualifications**

304 **Section 24–31 24-34 Qualifications for Appointment at Specific Ranks and Titles**

305 **A. Qualifications for Appointment at Specific Ranks**

- 306
- 307
- 308
- 309 1. Appointment with the rank of assistant professor requires completion of professional training, in
- 310 many fields marked by the Ph.D., and a demonstration of teaching and research ability that
- 311 evidences promise of a successful career.
- 312
- 313 2. Appointment to the rank of associate professor requires a record of substantial success in both
- 314 teaching and research, except that in unusual cases an outstanding record in one of these
- 315 activities may be considered sufficient.
- 316
- 317 3. Appointment to the rank of professor requires outstanding, mature scholarship as evidenced by
- 318 accomplishments in teaching, and in research as evaluated in terms of national or international
- 319 recognition.

320 **B. Qualifications for Appointments with Specific Titles**

- 321
- 322 1. Lecturer and artist in residence are instructional titles that may be conferred on persons who have
- 323 special instructional roles. Appointments may be renewed pursuant to Section 24–43.
- 324
- 325 2. Senior lecturer and senior artist in residence are instructional titles that may be conferred on
- 326 persons who have special instructional roles and who have extensive training, competence, and
- 327 experience in their discipline. Appointments may be renewed pursuant to Section 24–43.
- 328
- 329 3. Principal lecturer is an instructional title that may be conferred on persons whose excellence in
- 330 instruction is recognized through appropriate awards, distinctions, or major contributions to their
- 331 field. Appointments may be renewed pursuant to Section 24–43.
- 332
- 333 4. Appointment to one of the ranks in Subsection A with a research title requires qualifications
- 334 corresponding to those prescribed for that rank, with primary emphasis upon research. Tenure is
- 335 not acquired through service in research appointments.
- 336

337 Research professor and research associate professor appointments are term appointments for a

338 period not to exceed five years. The question of their renewal shall be considered by the voting

339 faculty who are superior in academic rank to the person being considered and are faculty of the

340 department (or undepartmentalized college or school) in which the appointments are held, except

341 that the voting faculty at rank of professor shall consider whether to recommend renewal or non-

342 renewal of the appointment of a research professor. Such consideration shall be conducted in

343 accord with the provisions of Section 24–43.

344

345 Research assistant professor appointments are for a term not to exceed three years with

346 renewals and extensions to a maximum of eight years (see Section 24–44, Subsection E.) The

347 question of their renewal shall be considered by the faculty who are superior in academic rank to

348 the person being considered and are faculty of the department (or undepartmentalized college or

349 school) in which the appointments are held. Such consideration shall be conducted in accord with

350 the provisions of Section 24–44.

351

352 Research associate appointments are for a term not to exceed three years, with renewals to a

353 maximum of six years. The question of their renewal shall be considered by the faculty who are

354 superior in academic rank to the person being considered and are faculty of the department (or

355 undepartmentalized college or school) in which the appointments are held. Such consideration

356 shall be conducted in accord with the provisions of Section 24–43.

357

- 358 Research faculty titles and the qualifications for them are described in Section 24–32.  
359
- 360 5. Appointment with the title of *professor of practice* is made to a person who is a distinguished  
361 practitioner or distinguished academician, and who has had a major impact on a field important to  
362 the University's teaching, research, and/or service mission.  
363
- 364 Professor of practice appointments are term appointments for a period not to exceed five years.  
365 The question of their renewal shall be considered by the voting faculty who are superior in  
366 academic rank and are faculty of the department (or undepartmentalized college or school) in  
367 which the appointments are held. Such consideration shall be conducted in accord with the  
368 provisions of Section 24-43. This title is available to address a unique appointment need and is  
369 intended to be sparingly used. Tenure is not acquired through service in this title.  
370
- 371 6. Appointment with the title of instructor is made to a person who has completed professional  
372 training, in many fields marked by the Ph.D., and is fulfilling a temporary, clinical, or affiliate  
373 instructional need, or is in a temporary transition period between post-doctoral training and  
374 mentoring and entry into the professorial ranks. These appointments are limited to acting, affiliate,  
375 or clinical.  
376
- 377 7. An affiliate appointment requires qualifications comparable to those required for appointment to  
378 the corresponding rank or title. It recognizes the professional contribution of an individual whose  
379 principal employment responsibilities lie outside the colleges or schools of the University. Affiliate  
380 appointments are annual; the question of their renewal shall be considered each year by the  
381 faculty of the department (or undepartmentalized college or school) in which they are held.  
382
- 383 8. An adjunct appointment is made only to a faculty member (including one in a research  
384 professorial rank) already holding a primary appointment in another department. This  
385 appointment recognizes the contributions of a member of the faculty to a secondary department.  
386 Adjunct appointments do not confer governance or voting privileges or eligibility for tenure in the  
387 secondary department. These appointments are annual; the question of their renewal shall be  
388 considered each year by the faculty of the secondary department.  
389
- 390 9. A joint appointment recognizes a faculty member's long-term commitment to, and participation in,  
391 two or more departments. A joint appointment may be discontinued only with the concurrence of  
392 the faculty member and the appointing departments. One department shall be designated the  
393 primary department and the others secondary, and this designation can be changed only with the  
394 concurrence of the faculty member and the appointing departments. Personnel determinations  
395 (salaries, promotions, leave, etc.) originate with the primary department, but may be proposed by  
396 the secondary department(s), and all actions must have the concurrence of the secondary  
397 department(s). A faculty member who has the privilege of participation in governance and voting  
398 in the primary department may arrange with the secondary department(s) either to participate or  
399 not to participate in governance and voting in the secondary department(s). This agreement must  
400 be in writing and will be used for determining the quorum for faculty votes. The agreement can be  
401 revised with the concurrence of the faculty member and the department involved.  
402
- 403 10. A clinical appointment in the appropriate rank or title is usually made to a person who holds a  
404 primary appointment with an outside agency or non-academic unit of the University, or who is in  
405 private practice. Clinical faculty make substantial contributions to University programs through  
406 their expertise, interest, and motivation to work with the faculty in preparing and assisting with the  
407 instruction of students in practicum settings. Clinical appointments are annual; the question of  
408 their renewal shall be considered each year by the faculty of the department (or  
409 undepartmentalized college or school) in which they are held.  
410
- 411 11. Appointment with the title of teaching associate is made to a non-student with credentials more  
412 limited than those required of an instructor. Teaching associate appointments are annual, or

413 shorter; the question of their renewal shall be considered each year by the faculty of the  
414 department (or undepartmentalized college or school) in which they are held.

- 415
- 416 12. The emeritus appointment is recommended by departmental action for a regular, WOT, research  
417 or clinical faculty member who has retired under the UW Retirement Plan or is receiving benefits  
418 as if he or she retired under another state of Washington retirement plan and whose scholarly,  
419 teaching, or service record has been meritorious. Such a recommendation requires approval by  
420 the college dean and the President of the University. The normal criteria for appointment with the  
421 emeritus title are at least ten years of prior service as a member of the faculty and achievement of  
422 the rank of professor or associate professor. Under certain circumstances the President may  
423 grant emeritus status to an administrator at the level of dean or vice president, or at other levels if  
424 deemed appropriate.
- 425
- 426 13. The acting title denotes a temporary appointment for properly qualified persons in the instructor  
427 title or at the professorial ranks. It commonly is used for persons who are on the faculty for a year  
428 or less or for persons who have not yet completed the requirements for a regular appointment. In  
429 the latter case, the acting title is dropped when the requirements are completed. The total service  
430 of a faculty member with an acting appointment may not exceed four years in any single rank or  
431 title, or six years in any combination of ranks or titles. A faculty member whose appointment as  
432 assistant professor has not been renewed may not be given an acting appointment.
- 433
- 434 14. Appointment to one of the ranks in Subsection A with a visiting title indicates that the appointee  
435 holds a professorial position at another institution of higher learning and is temporarily employed  
436 by the University. An employee who does not hold a professorial position elsewhere, but who is  
437 otherwise qualified, may be designated as a visiting lecturer.
- 438
- 439 15. The visiting scholar title is an honorary title awarded to persons who hold professorial (including  
440 research titles) positions at other institutions and who are visiting the University but who are not  
441 employed by the University during their stay. The purpose of this title is recognition of the visitor's  
442 presence at the University, and to make University facilities and privileges (library, etc.) available.  
443

#### 444 Section 24–32–24-35 Research Personnel Appointments

##### 445 A. Research Titles

446 Research titles designate appointments for faculty whose primary responsibility is research. The  
447 research titles are:

- 448 • Research professor
- 449 • Research associate professor
- 450 • Research assistant professor
- 451 • Research associate

##### 452 B. Research Professor, Research Associate Professor, and Research Assistant Professor

453 Research professors, research associate professors, and research assistant professors are eligible  
454 for appointment to the graduate faculty, are expected to take active roles in generating research  
455 funding, and are eligible to act as principal investigators for grants and contracts. Research faculty  
456 may participate in the regular instructional program but are not required to do so, except insofar as  
457 required by their funding source.

##### 458 C. Research Associate

459 Research associate is considered a junior rank equivalent to instructor. This junior faculty  
460 appointment, which requires the same qualifications as those of an instructor, normally serves to  
461

469 advance the competence of a person who has recently completed higher professional training, in  
470 most fields marked by a doctoral degree. Appointees will work under the direction of principal  
471 investigators for the benefit of the research programs, the department's educational program, and  
472 their own professional growth. Research associates may not be principal investigators on research  
473 grants or contracts.

474  
475

476 **Section 24–33 24-40 Faculty Without Tenure By Reason of Funding (WOT)**

477  
478

479 A. Professor or Associate Professor (WOT)

480  
481

482 A professor or associate professor without tenure by reason of funding (WOT) is qualified for tenure  
483 by virtue of rank. Such a faculty member holds his or her appointment on a continuing basis. The  
484 term of appointment of an assistant professor WOT is governed by Section 24–44, Subsections A  
485 and D.

486  
487

488 B. WOT Faculty Rights, Responsibilities, and Obligations

489  
490

491 Faculty appointed WOT do not hold tenure because all or part of his or her annual University–  
492 administered salary is derived from sources other than regularly appropriated state funds. Except for  
493 this distinction, WOT faculty members have the same rights, responsibilities, and obligations as  
494 tenure-track and tenured faculty members at those ranks. The description of their duties and  
495 qualifications for promotion and salary increases for reasons of merit are the same. Except for  
496 termination of funding as defined in Section 24–44, Subsection J, or for reasons of program  
497 elimination (see Section 24–83), such faculty members are not subject to removal, or discriminatory  
498 reduction in salary, except for cause (see Section 24-82.)

499  
500

501 C. WOT Faculty—Integration into Research, Instruction, and Service

502  
503

504 Faculty members WOT are expected to be integrated fully into the research, instructional, and service  
505 activities of their departments, schools, and colleges, warranting their status as voting members of  
506 the University. This expectation is the basis for their appointment being continuing and distinguishes  
507 such faculty from other non-tenured and term appointments (see Section 24–44.)

508  
509

510 D. WOT Faculty—Funding Support

511  
512

513 Faculty members WOT have their salaries supported from a variety of department, school, and  
514 college resources, including, but not limited to, state funds, grant and contract funds, departmental,  
515 clinical and service funds. As defined in Section 24–61, faculty member's WOT shall have a written  
516 understanding with the chair describing their duties to be performed to meet the department's  
517 missions. This understanding will specify the sources, distributions and levels of funds supporting  
518 their salaries for these purposes. Salary funding shall be related to the faculty member's involvement  
519 in these departmental activities. Classroom instructional duties shall be supported from  
520 departmentally administered funds.

521  
522

523 E. WOT Faculty—Identifying and Evaluating Alternative Salary Sources

524  
525

526 To maintain the integration of WOT faculty members in the ongoing activities of the appointing unit  
527 during a temporary lapse in funding sources, appointing departments, schools, or colleges shall  
528 develop a process to identify and evaluate the availability of alternative salary sources. This process  
529 shall be recorded with the dean's office of the appropriate unit and the dean's office shall forward the  
530 policy to the Secretary of the Faculty. Should alternative resources be made available, a new version  
531 of the understanding specified in Subsection D shall be required.

522 **Section 24–34 24-36 Qualifications for Extension Appointments**

523

524 Persons giving instruction in extension classes offered for academic credit shall have scholarly and  
525 professional qualifications equivalent to those required for the teaching of regular University classes.

526

527

528 **Section 24–35 Tiers and Tier Advancement**

529

530 A. Tiers Generally

531

532 Tiers are levels within ranks and titles that reflect continuing achievement in scholarship and  
533 research, teaching, and service, commensurate with the expectations for faculty members with a  
534 given rank and title in the appointing unit, as more fully described below.

535

536 B. Professorial Tiers

537

538 Within the professorial ranks the following tiers are established:

- 539 • Assistant Professor 1,2
- 540 • Associate Professor 1,2,3
- 541 • Professor 1,2,3,4,5,6,7,8,9

542

543 C. Lecturer Tiers

544

545 Within the Lecturer titles the following tiers are established:

- 546 • Full-time Lecturer 1,2
- 547 • Full-time Senior Lecturer 1,2,3
- 548 • Principal Lecturer 1,2,3,4,5,6

549

550 D. Artist in Residence Tiers

551

552 Within the Artist in Residence titles the following tiers are established:

- 553 • Artist in Residence 1,2
- 554 • Senior Artist in Residence 1,2,3

555

556 E. Eligibility for Tier Advancement

557

558 To be eligible for tier advancements, a faculty member must be appointed in the tenure, without  
559 tenure by reason of funding, or research professorial tracks, or appointed to a rank or title listed in  
560 Subsections B, C, or D above that is eligible for multi-year appointments (whether or not the  
561 individual's current appointment is multi-year).

562

563 F. Initial Appointment Tier

564

565 An initial appointment for a tier-eligible faculty member is ordinarily to Tier 1 within the given rank or  
566 title. A promotion for a tier-eligible faculty member is to Tier 1 within the given rank or title. However,  
567 an individual with significant prior experience who is initially appointed to a rank of Associate  
568 Professor, Senior Lecturer, Senior Artist in Residence, or higher should be assigned an initial tier  
569 that is commensurate with his or her career stage and salary compared to market conditions and  
570 to the other members of the academic appointing unit at the same rank or title. The initial tier shall  
571 be assigned by the chair (or, in an undepartmentalized college, the dean), subject to approval by  
572 the dean in consultation with the elected faculty council.

573

574 G. Advancement of a Tier-Eligible Assistant Professor

575

576 A tier-eligible Assistant Professor who is reappointed for a second three-year term (as described in

577 Section 24-44, Subsection A) shall be advanced to Tier 2, effective at the start of the second three-  
 578 year term.

580 H. Advancement of All Other Tier-Eligible Faculty

581  
 582 For all tier-eligible faculty members other than Assistant Professors, to receive an advancement from  
 583 one tier to a higher tier (with the exception of advancement to Professor Tiers 7 and higher,  
 584 described in subsection I below) depends on a finding that the individual faculty member's recent  
 585 record of performance reflects continued achievement in scholarship and research, teaching, and  
 586 service at a level that is commensurate with the high expectations of the university and of the faculty  
 587 member's academic appointing unit for a faculty member at a similar stage of his or her university  
 588 career. The relative weights of these criteria for each individual faculty member may be adjusted  
 589 from time to time as described in Section 24-22. A tier advancement should be awarded when a  
 590 faculty member's accomplishments since the most recent previous appointment, promotion, or tier  
 591 advancement are commensurate with that of a typical UW faculty member in the field over the course  
 592 of about four years. Because this is a performance-based system, the rate of tier advancement will  
 593 differ from one individual to the next, with some being advanced more frequently than the average  
 594 and some less, when compared with the achievement of the appropriate comparators over the course  
 595 of about four years. For the same reason, individuals may experience different frequencies of tier  
 596 advancement at different times during their career.

598 I. Advancement to Professor Tier 7 or Higher

599  
 600 Advancement to Professor Tier 7 is based on an evaluation of the faculty member's cumulative  
 601 record of performance, and depends on evidence of exceptional distinction in scholarship,  
 602 teaching, and service as attested by the judgment of the individual's departmental colleagues at  
 603 the rank of Professor and by external letters of review. Advancement to Professor Tier 8 or higher  
 604 depends on evidence of continuing exceptional distinction, as attested by the judgment of the  
 605 individual's departmental colleagues at the rank of Professor. (External letters of review are not  
 606 required for tiers higher than 7.) A Professor who has advanced to Tier 7 or higher shall be  
 607 entitled to the designation "Eminent Professor."

609 J. Tier Advancement—Unusual Circumstances

610  
 611 In unusual circumstances, a department (or undepartmentalized college or school) may  
 612 recommend that an individual be advanced to a tier higher than those listed in subsections B, C,  
 613 and D above. Such an advancement requires explicit permission of the Provost.

615 K. Administrator Exemption from the Tier System

616  
 617 A faculty member serving in an administrative position, including chairs and deans, with  
 618 responsibilities that include authority over non-administrative faculty members' salary adjustments,  
 619 tier advancements, promotions or reappointments shall be exempt from the tier system. For  
 620 compelling reasons, a faculty member serving in an administrative position that does not include  
 621 authority over non-administrative faculty members' salary adjustments, tier advancements,  
 622 promotions, or reappointments may request from the dean and Provost an exemption from the tier  
 623 system; and one serving in an administrative position that does include such authority may request  
 624 from the dean and Provost permission to remain in the tier system. When the faculty member's  
 625 administrator exemption ends the faculty member shall be assigned a tier that is commensurate  
 626 with his or her career stage and salary compared to market conditions and to the other members  
 627 of the academic appointing unit at the same rank. The tier shall be assigned by the Provost, in  
 628 consultation with the faculty member's chair, dean or chancellor, and elected faculty council.

630 L. College, School, or Campus Exemption from the Tier System

631  
 632 Any college, school, or campus may choose to exempt its faculty from the tier system, or to reverse a

**Commented [NLB3]:**

The original intention was to provide a way for someone to request an administrator exemption if they are not exempted by default, or to request that an administrator exemption should not be applied if they would have been exempted by default. The original language was not clear on intent and the president's suggested changes limited the ability to opt out of an administrative exemption. This change also reflects the president's request to have the provost involved in all such decisions (not just the dean).

**Commented [JL4]:**

This is the "opt-out" provision for tiers. The procedure to opt-out of the tier system. By default, faculty throughout the University who are defined as "tier eligible" will be in the tier system. At any time after this legislation has passed, a school, college, or campus may opt out by a majority vote of all the affected faculty. Once opted out, it is also possible to opt back in by the same procedure. As written, opting out (or back in) can't happen at the department level – school, college, or campus is the smallest unit of granularity. For the purposes of the code, faculty are considered as non-tier-eligible if their school, campus, or college has opted out of the tier system.

633 previous decision to exempt its faculty from the tier system. This is done using the following  
634 procedure.

- 635
- 636 1. The dean or chancellor, in consultation with the elected faculty council, develops a proposal for  
637 tier exemption, or a proposal to reverse a previous tier exemption, together with a detailed  
638 justification. The proposal shall include a transition plan to minimize inequities that might  
639 otherwise result from the change.  
640
  - 641 2. The proposal and its justification shall then be made available to the faculty of the school,  
642 college, or campus for comment for a period no less than 30 days, after which the voting faculty  
643 of the school, college, or campus shall vote to approve or deny the proposed exemption  
644 according to the procedures described in Chapter 23, Section 23-46. All voting must be  
645 completed at least three months prior to the proposed effective date of the change.  
646
  - 647 3. If the result of the faculty vote is to approve the proposal, it is sent to the provost and the  
648 Senate Committee on Planning and Budgeting, together with the justification and the result of  
649 the faculty vote.  
650
  - 651 4. After consulting with the SCPB, and dean or chancellor when appropriate, the provost may,  
652 within 45 days after receiving the proposal, veto the proposed change for reasons of financial  
653 or operational feasibility or equity, and shall provide in writing the explanation for the veto.  
654
  - 655 5. If the provost does not veto the proposed change, then all faculty members in the affected  
656 college, school, or campus will be considered non-tier-eligible.

**Part 24-40 Appointment Policies and Procedures**

**Section 24-41 24-51 Responsibility for Appointments**

A. Recommendation of Faculty Appointments

The President and the appropriate college or school faculty share responsibility for recommending faculty appointments to the Regents. Full and discriminating consideration by that faculty of the scholarly and professional character and qualifications of a proposed appointee is essential in an effective appointment procedure.

B. Assessment of Suitability of Prospective Appointees

The appropriate faculty, therefore, shall carefully judge the scholarly and professional character and qualifications of a prospective appointee, shall determine from all available evidence his or her suitability for employment, and shall provide the Regents, through the President, with the information needed for a wise decision.

**Section 24-42 24-52 Procedure for New Appointments**

A. Committee Role in Appointment Recommendations

Faculty recommendations of appointments are ordinarily rendered through committees, and the procedure depends upon the level of appointment.

1. For recommendation of a departmental appointment other than that of chair, the department members act as an advisory appointment committee. A department may delegate this responsibility to a departmental committee.
2. A committee responsible for recommending the appointment of a department chair should be an ad hoc committee appointed by the dean of the appropriate college, or if the President so desires, by the President.
3. A committee responsible for recommending the appointment of a dean should be an ad hoc committee appointed by the President.

B. Duty of Appointment Committee

The duty of an appointment committee is to search for suitable candidates, to study and determine their qualifications (Sections 24-22, 24-23, 24-31, 24-32 and 24-34), and to obtain and evaluate all data related to the problem of appointment. When, after such a study, the committee finds a candidate or candidates who appear to be qualified it shall transmit its information and recommendation to:

1. The department chair, if the appointment is to be a departmental one other than that of chair, or
2. The appropriate dean, if the appointment is to be one of a department chair, or
3. The President, if the appointment is to be one of a dean.

C. Administrator Role in Appointment Recommendations

In making new appointments administrative officers shall act in the manner prescribed below.

1. If the appointment is to be a departmental one other than that of chair, the chair shall submit all

713 available information concerning candidates suggested by the department, the chair, or the dean  
 714 to the voting members of the department faculty. The voting faculty of an academic unit may, by  
 715 majority vote, delegate authority to recommend the appointment of affiliate or clinical faculty,  
 716 research associates, or annual or quarterly part-time lecturers to an elected committee of its  
 717 voting faculty. In an undepartmentalized college or school, this delegation may be made to an  
 718 elected committee of its voting faculty. The delegation shall expire one calendar year after it is  
 719 made.

721 Recommendations in favor of appointment, based on a majority vote of the voting members of the  
 722 faculty or of the elected committee with delegated authority, shall be sent with pertinent  
 723 information to the appropriate dean. If the chair concurs in the department recommendation, the  
 724 dean shall make a decision concerning the appointment and, if it is favorable, shall transmit it  
 725 together with the vote of the department and the recommendation of the chair to the President. In  
 726 the unusual case where the chair does not concur in the department recommendation, he or she  
 727 may communicate objections to the dean and may also submit a separate recommendation to the  
 728 dean from among the candidates who have been considered by the department. If the dean  
 729 concurs in the chair's recommendation, or has additional information which raises doubts  
 730 concerning the department's recommendation, or finds that the President has such information,  
 731 the dean shall refer the matter again to the department along with an explanation and comments.  
 732 After considering the evidence, the department may then either reaffirm its original  
 733 recommendation, or transmit a new one. After the department's final recommendation has been  
 734 sent to the dean, the dean shall make a decision concerning the appointment and, if an  
 735 appointment is to be recommended, shall transmit it together with the final recommendation of the  
 736 department and the recommendation of the chair to the President.

- 737 2. If the appointment is to be one of a department chair, the dean shall deal directly with the  
 738 appointment committee in making the decision. The department concerned shall be consulted in  
 739 making the appointment, but a formal vote is not required.
- 741 3. If the appointment is to be one of a dean, the President shall deal directly with the appointment  
 742 committee in making the decision.

#### 745 **Section 24–43 24-53 Procedure for Renewal of Appointments**

746  
 747 When it is time to decide upon renewal of a nontenure appointment to the faculty (Section 24–44 whether  
 748 tier-eligible or not, the procedure described below shall be followed.

#### 750 A. Faculty Recommendation

751  
 752 The voting members of the appropriate department (or undepartmentalized college or school) who  
 753 are superior in academic rank or title to the person under consideration shall decide whether to  
 754 recommend renewal or termination of the appointment. Research faculty shall be considered by  
 755 voting faculty who are superior in rank to the person under consideration, except that the voting  
 756 faculty at rank of professor shall consider whether to recommend renewal or non-renewal of the  
 757 appointment of a research professor. Faculty with instructional titles outlined in Section 24–31,  
 758 Subsection B shall be considered by voting faculty who hold a professorial rank or instructional title  
 759 superior to the person under consideration. The voting faculty of an academic unit may, by majority  
 760 vote, delegate authority to recommend the renewal of affiliate or clinical faculty, research associate,  
 761 or annual or quarterly part-time lecturer appointments to an elected committee of its voting faculty. In  
 762 an undepartmentalized college or school, this delegation may be made to an elected committee of its  
 763 voting faculty. The delegation:

- 765 1. Does not alter faculty rank requirements for considering appointment renewals, and
- 767 2. Shall expire one calendar year after it is made.

#### Commented [NLB5]:

The president's office requested that the final decision for renewal of appointments, actions on a collegial review, be made by the full faculty in the appointing unit rather than by a delegated committee (if there was one formed in the first place). The delegated committee can still do all the work, come up with the recommendation, and present a simple list to the full unit to be quickly voted on.

769 B. The Chair's Recommendation to the Dean

770  
771 If this recommendation is a departmental one, the chair shall transmit it to the dean. If the chair does  
772 not concur in the recommendation he or she may also submit a separate recommendation.  
773

774 C. The Dean's Decision

775  
776 The dean shall decide the matter within the time prescribed in Section 24-44 and inform the faculty  
777 member concerned of the decision.  
778

779 D. Written Statement of Reasons for Non-Renewal

780  
781 If a faculty member requests a written statement of the reasons for the non-renewal of his or her  
782 appointment, the dean shall supply such a written statement within 30 days.

783 **Section 24-44 24-41 Duration of Nontenure Appointments**784  
785 A. Assistant Professor

786  
787 The first appointment or the reappointment of an assistant professor is for a basic period of three  
788 years, subject to earlier dismissal for cause. Although neither appointment period shall extend beyond  
789 the academic year in which a decision on tenure is required, the year in which a negative tenure  
790 decision is made must be followed by a terminal year of appointment. If the assistant professor is  
791 reappointed, the period of reappointment must include a tenure decision. Assistant professors holding  
792 positions funded by other than state funds shall be treated in the same way except that the  
793 appointment may be to a position without tenure by reason of funding as provided in Subsection D.  
794 Procedures governing the reappointment of assistant professors are as follows:

- 795  
796 1. During the second year of the initial appointment, the dean of the assistant professor's college or  
797 school shall decide whether:  
798  
799 a. The appointment is to be renewed under the above provision for reappointment;  
800  
801 b. The appointment is not to be renewed beyond the initial three-year period, in which case the  
802 appointment will terminate at the end of the third year; or  
803  
804 c. The decision concerning the appointment is to be postponed to the following year.  
805  
806 2. Should the above decision result in a postponement, during the third year of the initial  
807 appointment the dean shall decide whether:  
808  
809 a. The appointment is to be renewed under the above provision for reappointment, or  
810  
811 b. The appointment is not to be renewed; if it is not, the basic appointment is extended to  
812 include a fourth and terminal year.  
813  
814 3. The dean shall inform the professor in writing within 30 days of any decision made pursuant to  
815 this section.

816  
817 B. Lecturer and Artist in Residence

- 818  
819 1. Appointment as a full-time lecturer or artist in residence shall be for a term not to exceed five  
820 years.  
821

- 822 The normal appointment period of a part-time lecturer or artist in residence shall be for one year  
823 or less with exceptions to be reviewed by the Provost.  
824
- 825 2. Appointment as a full-time senior lecturer, principal lecturer, or senior artist in residence shall be  
826 for a term not to exceed five years. The normal appointment period of senior and principal  
827 lecturers shall be for a minimum of three years with exceptions to be reviewed by the Provost.  
828
- 829 The normal appointment period of a part-time senior lecturer, principal lecturer, or senior artist in  
830 residence shall be for one year or less with exceptions to be reviewed by the Provost.  
831
- 832 3. Except as provided in Subsection B.4 below, at least six months (or three months in the case of  
833 an initial annual appointment) before the expiration date of an appointment of a full-time lecturer,  
834 artist in residence, senior lecturer, principal lecturer, or senior artist in residence, the dean shall  
835 determine, pursuant to Section 24-43, whether this appointment shall be renewed and shall  
836 inform the faculty member in writing of the decision.  
837
- 838 4. A renewal decision in accord with Subsection B.3 above is not required where an initial  
839 appointment of a full-time lecturer, artist in residence, senior artist in residence, senior lecturer, or  
840 principal lecturer is for one year or less and the appointment is identified at the time of  
841 appointment as not eligible for renewal.  
842
- 843 5. Part-time appointments as lecturer, artist in residence, senior lecturer, principal lecturer, and  
844 senior artist in residence are for the period stated in the letter of appointment. If such  
845 appointments are to be renewed the procedures in Section 24-43 shall be followed in a timely  
846 manner with knowledge of funding availability and staffing needs.  
847
- 848 C6. A full-time lecturer, artist in residence, or senior lecturer may, prior to expiration of an existing  
849 appointment, be considered for appointment as, or promotion to, a senior lecturer, senior artist in  
850 residence, or principal lecturer, respectively.  
851
- 852 D.C. Assistant Professors on Other than State-Appropriated Funds  
853
- 854 Notwithstanding the provisions of Subsection A, appointments of assistant professors who are  
855 supported by other than state-appropriated funds are subject to termination should the supporting  
856 agency fail to continue the funding for the appointment, provided that the assistant professor  
857 supported by other than state-appropriated funds is advised in writing prior to commencement of his  
858 or her appointment that such appointment is at all times subject to the continued availability of grant  
859 or contract funds.  
860
- 861 E.D. Less than 50% of Full-Time Status  
862
- 863 The first appointment or the reappointment of a faculty member to less than 50% of full-time status  
864 shall be made on an annual, or shorter, basis. A faculty member who is appointed to a position with  
865 less than 50% of full-time status shall not accumulate eligibility toward tenure.  
866
- 867 F.E. Research Assistant Professor  
868
- 869 The first appointment or the reappointment of a research assistant professor is for a basic period of  
870 three years, subject to earlier dismissal for cause. Research assistant professors may not be  
871 reappointed more than once, except that a research assistant professor who does not receive  
872 promotion in rank must receive a terminal year of appointment. Procedures governing the  
873 reappointment of research assistant professors are as follows:  
874
- 875 1. During the second year of the initial appointment, the dean of the research assistant professor's  
876 college or school shall decide whether:  
877

- 878 a. The appointment is to be renewed under the above provision for reappointment;  
 879  
 880 b. The appointment is not to be renewed beyond the initial three-year period, in which case the  
 881 appointment will cease at the end of the third year; or  
 882  
 883 c. The decision concerning the appointment is to be postponed to the following year.  
 884  
 885 2. Should the above decision result in a postponement, during the third year of the initial  
 886 appointment the dean shall decide whether:  
 887  
 888 a. The appointment is to be renewed under the above provision for reappointment or  
 889  
 890 b. The appointment is not to be renewed; if it is not renewed, the basic appointment is extended  
 891 to include a fourth and terminal year.  
 892  
 893 3. Not later than the end of the third year of a second appointment, the dean of the research  
 894 assistant professor's college or school shall decide whether:  
 895  
 896 a. The research assistant professor is to be appointed as research associate professor,  
 897 associate professor without tenure by reason of funding or associate professor with tenure;  
 898  
 899 b. The appointment is to cease at the end of the following year; or  
 900  
 901 c. The decision concerning the appointment is to be postponed to the following year. In cases b  
 902 and c the appointment is extended by one year.  
 903  
 904 4. Should the above decision result in a postponement, during the extension year of a second  
 905 appointment, the dean of the research assistant professor's college or school shall decide  
 906 whether:  
 907  
 908 a. The research assistant professor is to be appointed as research associate professor,  
 909 associate professor without tenure by reason of funding or associate professor with tenure, or  
 910  
 911 b. The appointment is to cease; in which case the basic appointment is extended by one year.  
 912  
 913 5. The dean shall inform the professor in writing within 30 days of any decision made pursuant to  
 914 this section.  
 915

916 G.F. Research Associate Professor, Research Professor or Professor of Practice  
 917

918 At least six months (or three months in the case of an initial annual appointment) before the expiration  
 919 date of an appointment of a Research Associate Professor, Research Professor, or Professor of  
 920 Practice, the dean shall determine, pursuant to Section 24-43, whether this appointment shall be  
 921 renewed and shall inform the faculty member in writing of the decision. A renewal decision is not  
 922 required where an initial appointment of a Research Associate Professor, Research Professor, or  
 923 Professor of Practice is for one year or less and the appointment is identified at the time of  
 924 appointment as not eligible for renewal.  
 925

926 H.G. Research Assistant Professor—Reasons for Removal  
 927

928 Notwithstanding the provisions of this subsection, research assistant professors are subject to  
 929 removal during the term of their appointment for cause (see Section 24-82), for termination of funding,  
 930 or for reasons of program elimination (see Section 24-83.)  
 931

932 I.H. Research Professor and Research Associate Professor—Reasons for Removal  
 933

934 Research professors and research associate professors are not subject to removal during the term of  
 935 their appointment except by removal for cause (see Section 24-82), for termination of funding as  
 936 defined in Subsection I, or for reasons of program elimination (see Section 24-83.)

937  
 938 J.I. Termination of Funding

939  
 940 Termination of funding is defined as failure, for a continuous period of more than 12 months, to obtain  
 941 funding sufficient to provide at least 50% of the faculty member's base annual salary. The University  
 942 is not obligated to provide replacement funding during lapses of a faculty member's external support.

943  
 944 K.J. Research Assistant Professor—Unusual Cases

945  
 946 In unusual cases, an individual may be appointed to the title of research assistant professor when  
 947 there is no known funding to support the appointment. The department and dean shall determine that  
 948 the individual will seek external funding to support his or her appointment. Such appointments shall  
 949 be made on an annual or shorter basis, and may be renewed annually upon evidence of research  
 950 grant or contract pursuit activity. Upon receipt of salary funding support, said appointments shall be  
 951 converted to initial three-year appointments in conformance with Subsection G.

952  
 953 L.K. Procedures for Renewal and Promotion

954  
 955 The procedures prescribed in Section 24-43 for renewal of appointments and in Section 24-55 for  
 956 Procedure for Promotion shall govern actions taken under this section.

957  
 958  
 959 **Section 24-45 Appointment of Part-Time Professors**

960  
 961 **A. Documentation of Part-Time Professorial Appointments**

962  
 963 The University may appoint faculty to professorial or research professorial ranks (see Section 24-31,  
 964 Subsections A.1 through A.3 and Subsection B.) on less than a full-time basis. The percentage of  
 965 appointment at the time of hire shall be documented by the department chair (or dean in an  
 966 undepartmentalized school or college) and clearly communicated in writing to the faculty member.

967  
 968 **B. Part-Time Assistant Professor—First Appointment Period**

969  
 970 The first appointment of a part-time assistant professor at 50% or greater of full-time shall be for a  
 971 basic period of three years, subject to earlier dismissal for cause. In Spring Quarter of the second  
 972 year of appointment, the dean of the assistant professor's college or school shall decide whether:

- 973  
 974 1. The appointment is to be renewed;
- 975  
 976 2. The appointment is not to be renewed beyond the three-year period, in which case the assistant  
 977 professor will be notified that the appointment ceases at the end of the third year; or
- 978  
 979 3. The decision concerning reappointment is postponed to the following year, in which case the  
 980 assistant professor will be notified that the three-year appointment is extended to include a fourth  
 981 year.

982  
 983 **C. Part-Time Assistant Professor—Reappointment Postponement**

984  
 985 Should the decision in Subsection B above result in a postponement, during Spring Quarter of the  
 986 third year the dean shall decide whether:

- 987  
 988 1. The appointment is to be renewed for a further period consistent with Subsection D below; or

989

**Commented [RGD6]:**

Note that although Section 24-45 has not been renumbered in this proposed revision, it appears without the double underline to indicate movement from another location.

990 2. The appointment is not to be renewed, in which case the assistant professor shall be notified that  
991 the appointment ceases at the end of the fourth year.

992  
993 **D. Part-Time Assistant Professor—Second Appointment Period**  
994

995 Should the initial appointment of a part-time assistant professor be renewed pursuant to Subsection  
996 B or C above, the following renewal periods pertain to the second appointment:

- 997  
998 1. For part-time assistant professors who hold appointments of 90% time and above, the second  
999 appointment period shall be for three years.  
1000  
1001 2. For part-time assistant professors who hold appointments between 70% and 89%, the second  
1002 appointment shall be for four years.  
1003  
1004 3. For part-time assistant professors who hold appointments between 60% and 69%, the second  
1005 appointment shall be for five years.  
1006  
1007 4. For part-time assistant professors who hold appointments between 50% and 59%, the second  
1008 appointment shall be for six years.  
1009

1010 In all cases, a mandatory review for promotion and tenure (or in the case of WOT faculty, for  
1011 promotion and continuous appointment) must occur no later than the end of the last year of  
1012 appointment as specified in Subsections D.1 through D.4 above.  
1013

1014 **E. Change in Part-Time Appointment Percentage**  
1015

1016 At any time during the appointment, the faculty member may change his or her percentage of  
1017 appointment with the written agreement of the dean. In the event of a change, the time for mandatory  
1018 review shall be stated in the agreement consistent with Subsection D above.

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**Part 24-50 Promotion and Tenure**

**Section 24-51 25-31 Definition of Tenure**

Tenure is the right of a faculty member to hold his or her position without discriminatory reduction of salary, and not to suffer loss of such position, or discriminatory reduction of salary, except for the reasons and in the manner provided in the Faculty Code.

**Section 24-52 25-32 Criteria for Tenure**

A. Tenured Appointment

Unless he or she is disqualified under any other provision of this section, a full-time member of the faculty has tenure if:

1. He or she is a professor or associate professor; or
2. He or she has held full-time rank as assistant professor in the University for seven or more years and has not had his or her term of appointment extended by the Provost or received notice terminating his or her appointment.

B. Recommendation for Tenure Concurrent with Promotion to Associate Professor

Generally, recommendation for tenure (Section 24-54) is made concurrently with recommendation for promotion to the rank of associate professor (except in the circumstances listed in the subsequent paragraphs of this section.)

C. Appointments that Do Not Acquire Tenure

A faculty member does not acquire tenure under:

1. An acting appointment, or
2. A visiting appointment, or
3. Any appointment as lecturer, artist in residence, senior lecturer, senior artist in residence, principal lecturer, or
4. An appointment as teaching associate, or
5. An appointment as professor of practice, or
6. Any appointment specified to be without tenure, or
7. An adjunct appointment, or
8. A research appointment, or
9. A clinical appointment, or
10. An affiliate appointment, or
11. Any other appointment for which the University does not provide the salary from its regularly appropriated funds, unless the President notifies the appointee in writing that tenure may be acquired under such appointment.

- 1075  
1076 D. Appointments to Associate Professor or Professor "Without Tenure"  
1077  
1078 Appointments to the rank of associate professor or professor "without tenure," as specified in  
1079 Subsection C.6 above, are limited to not more than two consecutive appointments, each of three  
1080 years' duration. The first appointment is for a basic period of three years, subject to earlier dismissal  
1081 for cause. During the second year of the initial appointment, the appointment will be considered for  
1082 renewal consistent with the provisions of Section 24-44, Subsection A for assistant professors. If the  
1083 associate professor or professor is reappointed, the three-year period of reappointment must include  
1084 a tenure decision and terminal year in the event that tenure is not granted. To meet this expectation,  
1085 the tenure review must be conducted no later than the second year of the second three-year  
1086 appointment; during this second term of appointment, postponement of the tenure decision is not an  
1087 option. In the case where tenure is not granted in the mandatory fifth year, the sixth year will be the  
1088 terminal year of appointment. The part-time renewal periods provided for assistant professors in  
1089 Section 24-45, Subsection D do not apply to associate professors and professors without tenure.  
1090  
1091 Appointments to the rank of associate professor or professor "without tenure by reason of funding,"  
1092 as specified in Subsection C.11 above, are continuing appointments governed by Section 24-33.  
1093  
1094 E. Retaining Tenure When Resigning a Portion of Appointment  
1095  
1096 A faculty member with tenure may resign a portion of his or her appointment with the agreement of  
1097 his or her department chair, dean, and the President, while retaining tenure in his or her part-time  
1098 appointment.  
1099  
1100 F. Part-Time Assistant Professor—Eligibility for Tenure  
1101  
1102 A part-time assistant professor appointed pursuant to Section 24-45 accumulates eligibility for tenure  
1103 under Subsection A of this section.  
1104  
1105 G. Leaves of Absence  
1106  
1107 Time spent on leaves of absence from the University does not count in the accumulation of time  
1108 toward tenure.

#### Section 24-53 25-33 Tenure of Faculty Members in Administrative Positions

- 1109  
1110 The tenure of a faculty member who holds an administrative position, such as that of dean or department  
1111 chair, extends only to the faculty position which she or he holds conjointly with such administrative  
1112 position.  
1113  
1114

#### Section 24-54 25-41 Granting of Tenure: Policy and Procedure

- 1115  
1116  
1117 [For "Documentation of Qualifications and Recommendations for Promotion, Tenure, and Merit  
1118 Increases," see Executive Order No. 45].  
1119  
1120 A. Careful Consideration of Qualifications  
1121  
1122 Tenure should be granted to faculty members of such scholarly and professional character and  
1123 qualifications that the University, so far as its resources permit, can justifiably undertake to employ  
1124 them for the rest of their academic careers. Such a policy requires that the granting of tenure be  
1125 considered carefully. It should be a specific act, even more significant than promotion in academic  
1126 rank, which is exercised only after careful consideration of the candidate's scholarly and professional  
1127 character and qualifications.

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B. Recommendation Process

Consistent with the timelines set in Section 24-52, Subsection A.2 for full-time assistant professors and Section 24-45 for part-time assistant professors, and Section 24-52, Subsection D for associate professors or professors "without tenure," a decision shall be made in the following manner:

A recommendation that the faculty member be granted or denied tenure shall be sent to the dean of the school or college. This recommendation shall be based upon a majority vote of the eligible professors and associate professors of the department, or of the school or college if it is not departmentalized. If the chair does not concur in the recommendation she or he may also submit his or her own recommendation.

The dean, advised as prescribed in Section 24-55, Subsection C shall then make his or her recommendation to the Provost, and if tenure is to be granted it shall be conferred by the President acting for the Board of Regents.

If the faculty member's tenure is granted, the President shall so notify him or her in writing. If tenure is denied, the dean shall notify the individual in writing that the appointment will terminate at the end of the succeeding academic year.

A faculty member whose tenure is denied may engage in the administrative and conciliatory proceedings described in Chapter 27, and may file a petition for review as provided in Section 24-87.

If a tenure decision is postponed for reconsideration, the assistant professor's dean shall cause him or her to be notified in writing that the appointment will terminate at the end of the second succeeding academic year unless reconsideration in the meantime shall have resulted in the granting of tenure.

C. Tenure Review Separate from Promotion

If it is desired to appoint to a position with tenure other faculty members referred to in Section 24-52, Subsection C, the procedures for recommendation and granting described in Subsection B above shall be followed, except that a denial of tenure shall not of itself lead to termination of appointment.

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**Section 24-55 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 faculty member eligible for promotion (whether tier eligible or not) shall receive a promotion review if recommended by a collegial performance review (Section 24-62), or at the request of the faculty member, or if the promotion decision is mandatory. The promotion review shall be conducted following the procedure below.

A. Consideration for Promotion

The voting members of the appropriate department (or undepartmentalized college or school) who are superior in academic rank or title to the person under consideration shall decide whether to recommend the promotion. 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 24-31, Subsection B shall be considered by voting members of the appropriate department or undepartmentalized college or school who hold an eligible professorial appointment or an

1182 instructional title superior to that of the candidate being considered. In this decision they shall take  
1183 into account the qualifications prescribed in Sections 24-21, 24-22, 24-23, 24-31, and 24-32 for the  
1184 various academic ranks and titles. Promotion shall be based upon the attainment of these  
1185 qualifications and not upon length of service. In arriving at recommendations for promotion, faculty,  
1186 chairs, and deans shall consider the whole record of candidates' qualifications described in Section  
1187 24-22.

1188  
1189 **B. Promotion Record**

1190  
1191 The record of the candidate being considered for promotion shall be assembled following the  
1192 guidelines of the candidate's college and unit. The candidate is responsible for assembling the  
1193 promotion record, which shall include a self-assessment of the candidate's qualifications for  
1194 promotion. External letters of review shall be kept confidential from the candidate.

1195  
1196 For departments (or college/school if undepartmentalized) where an initial report and/or  
1197 recommendation on the qualifications of the candidate for promotion is produced by a subcommittee  
1198 of the faculty senior in rank and title, the report shall be written. The department chair (or chair's  
1199 designee or the dean of an undepartmentalized school or college, or the dean's designee) shall  
1200 provide the candidate with a written summary of the committee's report and recommendation. For  
1201 purposes of confidentiality, specific attributions shall be omitted and vote counts may be omitted from  
1202 the candidate's summary. The candidate may respond in writing within seven calendar days. The  
1203 chair or dean shall forward the candidate's response, if any, together with the committee's report to  
1204 the voting faculty.

1205  
1206 The voting faculty of the candidate's department (or college/school if undepartmentalized) superior in  
1207 rank and title to the candidate shall then meet to discuss the candidate's record. A vote on the  
1208 promotion question shall occur following the discussion.

1209  
1210 The department chair (or the chair's designee or the dean of an undepartmentalized school or college  
1211 or the dean's designee) shall write a formal report of these proceedings for the candidate,  
1212 summarizing the discussion and recommendation. For purposes of confidentiality, specific attributions  
1213 shall be omitted and vote counts may be omitted from this report. The candidate may then respond in  
1214 writing to the department chair (or dean in an undepartmentalized school or college) within seven  
1215 calendar days.

1216 If the faculty recommendation is a departmental one, and is favorable, or if the promotion decision is  
1217 mandatory, or if the candidate has written a response to the departmental vote, the chair shall  
1218 transmit all documents produced in this promotion process to the appropriate dean, with his or her  
1219 independent analysis and recommendation. The chair may, at his or her discretion, share the chair's  
1220 recommendations with the candidate.

1221  
1222 **C. Advisory Group to the Dean**

1223  
1224 The dean shall be advised by a committee or council of the college or school. This advisory group,  
1225 elected by the faculty of the college or school, shall consider each case presented to it and submit its  
1226 recommendations with reasons therefor to the dean. If the recommendation of the committee or  
1227 council is not favorable, or if it conflicts with the faculty vote, then the council or committee  
1228 recommendation with reasons therefor shall be provided to the candidate. For purposes of  
1229 confidentiality, specific attributions shall be omitted and vote counts may be omitted from this report.  
1230 In a departmentalized school or college, when a candidate for promotion is under consideration, any  
1231 member of the committee or council who is also a member of the candidate's department may be  
1232 excused.

1233  
1234 **D. The Dean's Decision or Recommendation**

1235  
1236 After receiving the recommendation of this committee or council the dean shall decide the matter.

1237  
1238 Prior to the issuance of a decision or recommendation by the dean that is not favorable, the dean  
1239 shall provide the candidate with his or her initial recommendation and reasons therefor. In such  
1240 cases, the dean or the dean's designee shall then discuss the case with the candidate. The candidate  
1241 may then respond in writing to the dean within seven calendar days of the discussion.

1242  
1243 If the recommendation of the dean is favorable, or if the promotion decision is mandatory, the dean  
1244 shall transmit his or her recommendation and the candidate's response, if it exists, to the candidate  
1245 and to the Provost. For purposes of confidentiality, specific attributions shall be omitted and vote  
1246 counts may be omitted from the report to the candidate.

1247  
1248 If the promotion decision of the dean is not favorable and not mandatory, and the candidate has  
1249 written a response to the dean, the dean shall transmit his or her decision and the candidate's  
1250 response to the Provost for information purposes.

1251 E. Written Statement of Decision

1252  
1253 After the case is decided, the dean shall ensure that the candidate is informed in writing in a timely  
1254 way of the result of the case and, if the result is not favorable, the reasons therefor.  
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### Part 24-60 Evaluation of Faculty Members

#### **Section 24-55 Procedure for Salary Increases Based Upon Merit**

~~Faculty at the University of Washington shall be reviewed annually by their colleagues, according to the procedures detailed in this section, to evaluate their merit and to arrive at a recommendation for an appropriate merit salary increase. Such reviews shall consider the faculty member's cumulative record, including contributions to research/scholarship, teaching, and service, and their impact on the department, school/college, University, and appropriate regional, national, and international communities.~~

~~The evaluation of a faculty member's merit and salary shall be arrived at after review of the individual's performance in relation to that of their colleagues and by comparison of individuals' present salaries to those of their peers. In evaluating a faculty member's eligibility for merit-based salary increases (Section 24-70, Subsections B.1 and B.4; Section 24-71, Subsections A.1 and B.1) and for "market gap" salary increases (Section 24-71, Subsection B.2), the following procedure shall be followed.~~

~~A. In arriving at their recommendations for salary decisions the appropriate faculty, department (unit) chairs, and deans shall each consider the following:~~

- ~~1. The cumulative record of the candidate, taking into account the qualifications prescribed in Sections 24-32, 24-33, 24-34, and 24-35 for the various academic ranks and titles;~~
- ~~2. The candidate's current salary;~~
- ~~3. Documentation of the review conference required by Section 24-57, Subsection D; and~~
- ~~4. Any documents produced under Subsection H of this section.~~

~~Salary recommendations shall seek to minimize salary inequities. Salary compression and other inequities, including those resulting from variations in the level of merit funds available over time, may be considered in making merit salary recommendations.~~

~~B. The merit and salary of each faculty member below the rank and title of professor shall be considered by the voting members of the department, or undepartmentalized college or school, who are his or her superiors in academic rank and title, and they shall recommend any salary increase which they deem merited.~~

~~C. The chair of a department, or the dean of an undepartmentalized school/college, shall consider the merit and salary of each full professor in his or her unit. Before forwarding his or her recommendations the chair (or dean in an undepartmentalized school/college) shall seek the advice of the full professors according to a procedure approved by the voting members of the unit.~~

~~D. If the recommendation is a departmental one, the chair shall transmit it to the dean with any supporting data the dean may request. If the chair does not concur in the recommendations he or she may also submit a separate recommendation.~~

~~E. The dean shall review the department's recommendation and forward his or her recommendation regarding faculty merit and salary to the President.~~

~~F. The dean of each college/school shall review the record and salary of the chair of each department and shall recommend an appropriate salary increase to the President.~~

~~G. The President shall authorize the salary increases of the faculty, and of each dean.~~

~~H. At the option of the faculty member affected, and mandatorily in the event of two consecutive annual ratings of no merit (as a result of reviews under this section), the chair of the faculty member's department (or dean of an undepartmentalized school or college) shall, after consultation with the faculty member, appoint an ad hoc committee of department (or school/college) faculty superior (or, in the case of full professors, equal) in rank or title to the faculty member. This committee shall meet~~

1312 at its earliest convenience with the faculty member and review more fully the record and merit of that  
1313 faculty member.

1314 The committee shall, upon completion of its review, report in writing the results to the faculty member  
1315 and to his or her department chair (or dean in an undepartmentalized school/college) and the  
1316 committee shall advise them what actions, if any, should be undertaken to enhance the contributions  
1317 and improve the merit ranking of this colleague, or to rectify existing misjudgments of his or her merit  
1318 and make adjustments to correct any salary inequity. The faculty member may respond in writing to  
1319 this report and advice within 21 calendar days to the department chair (or dean) and committee  
1320 (unless upon the faculty member's request and for good cause the response period is extended by  
1321 the chair or dean). The committee's report and advice, the faculty member's written response (if any),  
1322 the response by the chair, and any agreement reached by the faculty member and the chair shall be  
1323 incorporated into a written report.  
1324

1325  
1326 **Section 24-61 24-57 Procedural Safeguards for Promotion, Tenure, Tier Advancement and**  
1327 **Collegial Performance Review Merit-Based, and Tenure Consideration**

1328 All procedures regarding promotion, merit-based salary, and tenure considerations outlined in the  
1329 relevant sections of the *Faculty Code* must be followed. This section describes procedures for gathering  
1330 information to be used in collegial performance reviews (Section 24-62), and in promotion, tenure and tier  
1331 advancement decisions, and for safeguarding the rights of faculty members and the welfare of the  
1332 university. Open communication among faculty, and between faculty and administration, must be  
1333 maintained in order to insure informed decision making, to protect the rights of the individual and to aid  
1334 the faculty in the development of their professional and scholarly careers.  
1335

1336 Each faculty member must be allowed to pursue those areas of inquiry which are of personal scholarly  
1337 interest; at the same time, however, each faculty member must be informed of the expectations a  
1338 department holds for him or her and of the manner in which his or her activities contribute to the current  
1339 and future goals of the department, school, college, and University. In order to enable the faculty member  
1340 to establish priorities in the overall effort of professional career development and to fulfill the University's  
1341 obligations of fair appraisal and continual monitoring of faculty development, the following procedural  
1342 safeguards-processes shall be adopted-implemented in each department, school, or college.  
1343

1344  
1345  
1346 A. Assessment of Teaching Effectiveness

1347 Each faculty member with teaching responsibilities shall have at least one course evaluated by  
1348 students in any academic year during which that member teaches one or more courses. To  
1349 implement the provision stipulated in Section 24-22, Subsection C, the standardized student  
1350 assessment of teaching procedure which the University makes available may be used for obtaining  
1351 student evaluation of teaching effectiveness, unless the college, school, or department has adopted  
1352 an alternate procedure for student evaluation, in which case the latter may be used. The teaching  
1353 effectiveness of each faculty member with teaching responsibilities also shall be evaluated by  
1354 colleagues using procedures adopted within the appropriate department, school, or college, and  
1355 collegial teaching evaluations shall be considered when any decision is made regarding renewal of  
1356 appointment, promotion, tenure, or tier advancement of a faculty member.  
1357

1358 The collegial evaluation of teaching effectiveness shall be conducted prior to recommending any  
1359 renewal of appointment or promotion of a faculty member. In addition, For faculty at the rank of  
1360 assistant professor, or associate professor or professor "without tenure" under Section 24-52,  
1361 Subsection D, or professor "without tenure" under the same subsection, or with the instructional title  
1362 of lecturer, the collegial teaching evaluation shall be conducted every year. For other faculty at the  
1363 rank of associate professor or professor or with the title of senior lecturer, principal lecturer, or  
1364 professor of practice, the collegial teaching evaluation shall be conducted at least every three-two  
1365 years for associate professors and senior lecturers, and at least every four years for professors and  
1366

Commented [RGD7]:  
The provisions of this section and sections referenced herein add substantial administrative responsibilities that will inevitably cause substantial increases in local-level administrative time and cost.

1367 principal lecturers. A written report of this evaluation shall be maintained by the appointing unit and  
 1368 shared with the faculty member.

1370 B. Yearly Activity Report

1371 Each department (or undepartmentalized college) shall adopt a suggested format by which each  
 1372 faculty member will have the opportunity to provide information on professional activities carried out  
 1373 during the prior year. These reports shall be prepared in writing by each faculty member and  
 1374 submitted to the chair (or dean) in a timely fashion each year, and shall be used as reference and as  
 1375 a source of information for consideration of satisfactory performance, promotion, merit salary, or  
 1376 tenure. These forms shall be used as evidence for recommendation of promotion, merit salary, or  
 1377 tenure, reappointment, or tier advancement. Such information may be updated by a faculty member  
 1378 at any time during the academic year.

1381 C. Regular Planning Conference with Faculty

1382 Each year the chair, or where appropriate the dean or his or her designee, shall  
 1383 confer individually with all full-time lecturers, assistant professors, and associate professors and  
 1384 professors "without tenure" appointed under Chapter 25, Section 25-32 Section 24-52, Subsection D.

1386 The chair must ensure that this conference occurs early enough that a collegial review can occur if a  
 1387 reappointment is required.

1389 The chair (or dean or his or her designee) shall confer individually with the other associate professors  
 1390 and senior lecturers at least every two years, and with the other professors, and principal lecturers,  
 1391 and professors of practice at least every three four years, the conference shall occur sooner than the  
 1392 required time if requested by the individual faculty member. The purpose of the regular conference is  
 1393 to help individual faculty members plan and document their career goals; and to assess when it is  
 1394 appropriate to initiate a collegial review of their performance. While the documentation of those goals  
 1395 will be part of the faculty member's record for subsequent determinations of merit collegial  
 1396 performance reviews, the regular planning conference should be distinct from the merit collegial  
 1397 performance review pursuant to Section 24-55 Section 24-62.

1400 At each such conference, the chair, dean, or his or her designee, and the faculty members shall  
 1401 discuss:

- 1402 1. The department's present needs and goals with respect to the department's mission statement  
 1403 and the faculty member's present teaching, scholarly and service responsibilities and  
 1404 accomplishments;
- 1405 2. Shared goals for the faculty member's teaching, scholarship and service in the forthcoming year  
 1406 (or years, as appropriate) in keeping with the department's needs and goals for the same period;  
 1407 and
- 1408 3. A shared strategy for achieving those goals; and
- 1409 4. The chair, dean, or designee's career advice and the possible timing of collegial performance  
 1410 reviews, based on the faculty member's recent performance and accomplishments, the  
 1411 department's needs and goals, and the faculty member's responsibilities.

1412 The chair, dean, or his or her designee and the faculty member shall discuss and identify any specific  
 1413 duties and responsibilities expected of, and resources available to, the faculty member during the  
 1414 coming year(s), taking into account the academic functions described in Section 24-32. The chair,  
 1415 dean or his or her designee should make specific suggestions, as necessary, to improve or aid the  
 1416 faculty member's work.

**Commented [JL8]:**

Changed this from the previous proposal, to remain consistent with existing code requirements for planning conferences. (We don't really want to require planning conferences with all postdocs, part-time lecturers, and clinical faculty.)

**Commented [JL9]:**

To avoid repeating the long phrase above, "or where appropriate the dean or the chair's or dean's designee"

1422

1423 D. Outcome of Planning Conference

1424

1425 After the conference, a collegial performance review pursuant to Section 24-62 shall be initiated if  
 1426 requested by the chair, dean, or his or her designee or the faculty member; or if it is time to decide  
 1427 upon renewal of a nontenure appointment; or if it has been five years since the last previous collegial  
 1428 performance review. A collegial review should occur about once every four years for most tier-eligible  
 1429 faculty not up for reappointment or a tenure decision (see Section 24-35, Subsection H)].

1430

1431 D.E. Documentation

1432

1433 The chair, dean, or his or her designee, shall, in a timely manner, document in writing, with a copy to  
 1434 the faculty member, that such conferences occurred, and shall list the subject matter discussed.

1435

1436 This conference document shall also articulate in sufficient detail the discussed commitments and  
 1437 responsibilities of the faculty member for the coming year(s) and how these commitments and  
 1438 responsibilities are consistent with institutional standards for promotion and tenure as defined in this  
 1439 chapter.

1440

1441 Should the faculty member not agree with the summary or statements in this conference document,  
 1442 he or she shall indicate so in writing. The failure of a faculty member to object in writing to the chair's  
 1443 conference document within ten days of receiving it (unless upon the faculty member's  
 1444 request and for good cause the period is extended by the chair or dean) shall constitute his or her  
 1445 official acceptance of its terms and conditions.

1446

1447 If the faculty member disagrees with the conference document, the chair (or dean) shall either  
 1448 withdraw it and issue a revised one to which both parties can agree, or reaffirm the accuracy of the  
 1449 original conference document.

1450

1451 In the event the faculty member disagrees with the resulting conference document, the chair of the  
 1452 faculty member's department (or dean of an undepartmentalized school or college) shall appoint an  
 1453 ad hoc committee comprised of three department (or school/college) faculty superior (or in the case  
 1454 of full professors, equal) in rank or title to the faculty member, or faculty members from the  
 1455 Conciliation Board, and selected in the following manner. The faculty member and the chair, or dean,  
 1456 shall each select one member of the ad hoc committee and those two members shall select the third  
 1457 member. At its earliest convenience, the ad hoc committee shall review fully the records relating to  
 1458 the conference, meet with the faculty member, and meet with the chair, dean, or his or her designee.

1459

1460 The chair, dean, or his or her designee, and the faculty member shall then meet with the ad hoc  
 1461 committee to discuss the issues, with the purpose of achieving a resolution. In the event resolution is  
 1462 not achieved, the committee shall, in a timely manner, report in writing the results of its review to the  
 1463 faculty member, to his or her department chair or dean, and to the designee, if any. The committee's  
 1464 report and advice, if any; the faculty member's written response, if any; the response by the chair,  
 1465 dean, or his or her designee, if any; and any agreement between the faculty member and chair, dean,  
 1466 or his or her designee shall be incorporated into a written report that shall be placed in the faculty  
 1467 member's personnel file and shall be considered during the subsequent collegial performance review.

1468

1469 A faculty member's record upon the stated duties and responsibilities in the conference document will  
 1470 be assessed in accordance with Section 24-55-62. Nothing in this section is intended to alter the  
 1471 institutional standards for promotion and tenure as defined in Chapter 24.

1472

1473 [The University Handbook included Board of Regents Governance, Regent Policy No. 8, and  
 1474 Executive Orders No. 29, No. 45, and No. 64 as footnotes to this section.]

1475

**Commented [JL10]:**

Trying to clarify the wording here to make clear that this sentence is advisory, and meant to establish expected frequency, not required frequency. Note that this does not establish the expected frequency of collegial reviews for associate & full professors in colleges that have opted out of tiers. In those colleges, the dean and/or chairs will probably have to establish requirements for this.

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**Section 24–62 Collegial Performance Review**

All faculty at the University of Washington (whether tier eligible or not) shall be reviewed annually by their colleagues, according to the procedures detailed in this section, to evaluate their merit performance and to arrive at a recommendations for an appropriate merit salary increase reappointment and the timing of promotions and tier advancements. Such reviews shall consider the faculty member's cumulative record, including contributions to research/scholarship, teaching, and service, and their impact on the department, school/college, University, and appropriate regional, national, and international communities. In all these, contributions that address diversity and equal opportunity may be included. Collegial performance reviews are initiated as described in Section 24-61, Subsection D.

The purpose of a collegial performance review is:

- To determine whether the performance of a faculty member is satisfactory or unsatisfactory;
- To consider a faculty member for a possible tier advancement;
- To consider reappointment of faculty members;
- To consider recommending a faculty member for a possible promotion in rank.
- To provide information for the distribution of variable adjustments as described in Section 24-72 I.

A collegial performance review shall be conducted following the procedure below.

A. Reviewers' Voting Status

Reviewers must be voting members of the department (or undepartmentalized college or school) of the individual being reviewed.

B. Reviewers' Academic Rank or Title

Reviewers must be superior in academic rank or title to the individual being reviewed, except that professors and principal lecturers shall be reviewed by members of equal or greater rank and title.

C. Optional Delegation to a Performance Review Committee

The voting faculty of a unit may, by majority vote, delegate the authority to carry out collegial performance reviews of all or some faculty to one or more committees of three or more faculty members. This delegation is subject to the following rules:

1. The vote must stipulate which ranks and titles the committee being formed will review.

The faculty vote must stipulate that the committee is empowered to carry out an initial review and make recommendations which are then voted upon by the eligible faculty of the unit as described in Section G below.

2. This delegation does not alter the faculty rank or title requirements for collegial performance evaluations described in Section B above.
3. The faculty shall vote whether to affirm or amend this delegation biennially.

D. Unit Guidelines

The unit shall develop guidelines for the collegial performance review. The guidelines shall specify responsibilities for assembly of the record, including a self-assessment.

**Commented [JL11]:**  
Deleted because this is redundant with the bulleted list below.

**Commented [NLB12]:**  
One of the possible outcomes of a collegial performance review is to recommend performance-based raises in a college, campus, or school that has opted out of the tier system. Performance-based raises will be distributed via variable adjustments.

**Commented [JL13]:**  
In a college, school, or campus that has opted out, all faculty are considered non-tier eligible. This text was updated to give more flexibility in defining which categories of faculty are included when delegating performance reviews to a committee. This flexibility will also exist for tier-eligible units.  
  
For example, a non-tier college may wish to form one committee to review tenure-track faculty, and another to review postdocs.

**Commented [JL14]:**  
Delete this item: Since the option to carry out complete reviews was removed by the president, this sentence no longer has any purpose.

1530 E. Performance Assessment

1531  
1532 In evaluating the quality of an individual's performance and in assessing whether that performance  
1533 is satisfactory, reviewers shall take into account the qualifications prescribed in Sections 24–22,  
1534 24–23, 24–31, and 24–32, and Executive Order 45 for the various academic ranks and titles.  
1535 Performance shall be measured upon the attainment of these qualifications and not upon length of  
1536 service and shall consider the whole record of the individual's qualifications described in Section  
1537 24–22, including:

**Commented [NLB15]:**

These lines make it clear that not only should the review make a determination of satisfactory/non-satisfactory, but it should also assess quality of performance. This will be important in schools, colleges, or campuses that have opted out of tiers and thus need a measure of performance to distribute variable adjustments.

1538  
1539 1. The most recent assessment of teaching effectiveness, as provided in Section 24–61,

1540 Subsection A;

1541

1542 2. The individual's most recent activity report, as described in Section 24-61, Subsection B;

1543

1544 3. Documentation of the planning conference, as provided in Section 24–61, Subsection D;

1545

1546 4. The individual's self-assessment.

1547

1548 F. Initial Committee Report

1549

1550 For departments (or college/school if undepartmentalized) where an initial report is produced by a  
1551 committee, the department chair (or chair's designee or the dean of an undepartmentalized school  
1552 or college, or the dean's designee), shall provide the individual being reviewed with a written  
1553 summary of the committee's report and recommendation. For purposes of confidentiality, specific  
1554 attributions shall be omitted and vote counts may be omitted from the summary given to the  
1555 individual being reviewed. The individual being reviewed may respond in writing within seven  
1556 calendar days. The head of the unit shall forward any such response, together with the committee's  
1557 report, to all qualified reviewers.

1558

1559 G. Consideration of Record and Possible Actions

1560

1561 The faculty members who are eligible to review the individual under consideration shall then  
1562 consider the individual's record and/or the recommendation of a review committee. Following the  
1563 consideration, there shall be a vote by all eligible voting faculty members of the department or  
1564 school/college on whether the individual's performance is satisfactory and on whether one or more  
1565 of the following actions should be taken.

1566

1567 1. The faculty member should be given one or more tier advancements based on the criteria of  
1568 this section;

1569

1570 2. The faculty member should be considered for a possible promotion in rank and title, following  
1571 the procedures of Section 24–55;

1572

1573 3. The faculty member should be reappointed, following the procedures of Section 24-43.

1574

1575 H. Written Summary

1576

1577 The department chair (or the chair's designee or the dean of an undepartmentalized school or  
1578 college or the dean's designee, or chair of the delegated committee) shall write a formal report of  
1579 these proceedings for the candidate, summarizing the discussion and recommendation. For  
1580 purposes of confidentiality, specific attributions shall be omitted and vote counts may be omitted  
1581 from this report. The candidate may then respond in writing to the department chair (or dean in an  
1582 undepartmentalized school or college) within seven calendar days.

1583

1584 I. Recommendation for Tier Advancement

1585

**Commented [NLB16]:**

The president's office requested that the final decision for renewal of appointments, actions on a collegial review, be made by the full faculty in the appointing unit rather than by a delegated committee (if there was one formed in the first place). The delegated committee can still do all the work, come up with the recommendation, and present a simple list to the full unit to be quickly voted on.

1586 If the recommendation is for tier advancement, the chair shall transmit it to the dean or chancellor  
 1587 with the candidate's response, if any, and any supporting data the dean or chancellor may request.  
 1588 If the chair does not concur in the recommendation for tier advancement, he or she may also  
 1589 submit a separate recommendation.  
 1590

1591 J. Final Decision on Tier Advancement  
 1592

1593 Final decisions on tier advancement that are supported by a favorable vote of the faculty shall be  
 1594 made by the dean, after an advisory review by the elected faculty committee or council. The dean,  
 1595 in making a decision, can consider the individual candidate's performance and record of tier  
 1596 advancements. Also, the dean may limit the number of early tier advancements (tier advancements  
 1597 for faculty other than assistant professors that occur sooner than four years since the last  
 1598 advancement) on the basis of available financial resources. After the case is decided, the dean  
 1599 shall ensure that the candidate is informed in writing in a timely way of the result of the case and, if  
 1600 the result is not favorable, the reasons therefor.  
 1601

1602 K. Administrative Position Performance Review  
 1603

1604 Notwithstanding the procedures described in this section, faculty members serving part-time or full-  
 1605 time in administrative positions shall have their administrative performance evaluated by their  
 1606 administrative supervisors.  
 1607

1608 **Section 24-63 24-55.H. Consequences of Unsatisfactory Performance**  
 1609

1610 In the event of a finding of unsatisfactory performance, the individual shall not be eligible for market  
 1611 adjustments, variable adjustments, or retention increases under Section 24-72, Subsections H, I, or K.  
 1612

1613 A. Planning Conference  
 1614

1615 The individual shall have a planning conference with his or her chair (or dean in an  
 1616 undepartmentalized school or college) every year until the finding has been reversed; and the  
 1617 individual shall receive a collegial performance review every year until the finding has been reversed.  
 1618

1619 B. Committee Formed  
 1620

1621 At the option of the faculty member affected, and mandatorily in the event of two consecutive annual  
 1622 ratings of no merit determinations of unsatisfactory performance (as a result of reviews under this  
 1623 section Section 24-62), the chair of the faculty member's department (or dean of an  
 1624 undepartmentalized school or college) shall, after consultation with providing the faculty member an  
 1625 opportunity to provide input, appoint an ad hoc committee of at least two department (or  
 1626 school/college) faculty superior (or, in the case of full professors, equal) in rank or title to the faculty  
 1627 member.  
 1628

1629 C. Committee Review and Evaluation  
 1630

1631 This committee shall meet at its earliest convenience with the faculty member and review more fully  
 1632 and evaluate the record and merit of performance concerns relating to that faculty member.  
 1633

1634 D. Written Report from Committee  
 1635

1636 The committee shall, upon completion of its review, report in writing the results to the faculty member  
 1637 and to his or her department chair (or dean in an undepartmentalized school/or college) and the  
 1638 committee shall advise them what actions, if any, should be undertaken to enhance;  
 1639

**Commented [NLB17]:**

The president's office had requested that deans be able to deny any tier advancement for financial reasons. It has been reworded to limit it to early tier advancements. We fully expect deans to request a schedule of upcoming tier advancements to plan their budgets sufficiently in advance to accommodate the inevitable statistical variations.

- 1640  
1641 1. Enhance the contributions and improve the merit ranking collegial performance evaluation of this  
1642 colleague, or to rectify  
1643  
1644 2. Rectify existing misjudgments of his or her merit performance and make adjustments to correct  
1645 any associated salary inequity decision.  
1646  
1647 E. Written Faculty Member Response  
1648  
1649 The faculty member may respond in writing to this report and advice within 21 calendar days to the  
1650 department chair (or dean) and committee (unless upon the faculty member's request and for good  
1651 cause the response period is extended by the chair or dean).  
1652  
1653 F. Meeting with Faculty Member  
1654  
1655 Upon receipt of the committee's report and advice, the faculty member's written response (if any), the  
1656 response by the chair, and any agreement reached by (or dean in an undepartmentalized school or  
1657 college) shall meet with the faculty member and, Where the committee report reaffirms the  
1658 unsatisfactory performance of the faculty member, this meeting shall serve to inform the faculty  
1659 member of standard conduct violations, including but not limited to incompetence or neglect of duty  
1660 as appropriate, and fulfill the requirements of Sections 24-26, Subsection B. If a mutually agreed  
1661 upon plan to address the unsatisfactory performance cannot be finalized, the chair shall be  
1662 incorporated into a written report refer the matter to the dean for review.  
1663  
1664 G. Dean's Decision  
1665  
1666 If the dean determines that the performance concerns are of sufficient seriousness to justify -  
1667 consideration of the filing of a formal statement of charges, the provisions of Section 24-26  
1668 Subsection D shall next be followed.

1669 **Part 24-70 Faculty Salary Policy and Procedures**

1670

1671 **Section 24-71 24-70 Faculty Salary System: Policy and Principles**

1672

1673 A. Purpose

1674

1675 Faculty at the University of Washington shall be salaried on a merit-based system that reflects the  
1676 University's standing among its peer institutions. Under this system, all faculty deemed meritorious  
1677 shall be regularly rewarded for their contributions to their department, school/college, and university.  
1678 Resources permitting, the University shall provide its meritorious faculty with salaries commensurate  
1679 with those of their peers elsewhere.

1680

1681 The fundamental purpose of the University of Washington Faculty Salary Policy is to allow the  
1682 University to recruit, retain, motivate, and reward the best faculty. To accomplish these objectives, the  
1683 faculty must have confidence that their continuing and productive contributions to the goals of their  
1684 units and to the University's missions of teaching, research, and service will be rewarded throughout  
1685 their careers. To compete for the best faculty, the University must be competitive with its peers. To  
1686 retain the best faculty requires a similarly competitive approach. Therefore, the University places as  
1687 one of its highest priorities rewarding faculty who perform to the highest standards and who continue  
1688 to do so throughout their appointments at the University. This policy is designed to provide for a  
1689 predictable salary progression for faculty members whose performance continues to reflect  
1690 achievement in scholarship and research, teaching, and/or service, commensurate with the  
1691 expectation for faculty members with a given rank and title in their appointing unit, as fully described  
1692 below.

1693

1694 Salary funds must be used to attract, retain, and reward faculty, while recognizing that disciplinary  
1695 variations exist in the academic marketplace. Accordingly, the University's Salary Policy must allow  
1696 for differential allocations among units. This provides the necessary flexibility to address the market  
1697 gaps that develop between UW units and their recognized peers, acknowledges existing and future  
1698 differentials in unit performance and contribution, and also recognizes that differing funding sources  
1699 and reward structures exist among schools and colleges. The policy must ensure that equity  
1700 considerations and compression are also addressed as needed. The University's Salary Policy is  
1701 founded upon the principle that individual salary decisions must be based on performance reviews  
1702 conducted by faculty colleagues.

1703

1704 B. Salary Increases

1705

1706 Advancement in salary can be effected in several distinct, but not mutually exclusive, ways. Except as  
1707 otherwise provided in Section 24-72, a salary increase:

1708

1709 1. Shall attend promotion in rank (approved in accord with Section 24-55);

1710

1711 2. Shall attend each tier advancement (approved in accord with Section 24-62);

1712

1713 3. Shall be provided as part of a market adjustment (in accord with Section 24-72, Subsection H);

1714

1715 4. May be provided as part of a variable adjustment (in accord with Section 24-72, Subsection I);

1716

1717 5. Shall be provided to raise individuals' salaries to the minimum salary for each faculty rank (in  
1718 accord with Section 24-72, Subsection J);

1719

1720 6. May be offered in response to a potential or actual external offer of appointment (upon review in  
1721 accord with Section 24-72, Subsection K);

1722

1723 7. May be offered at any time (in accord with Section 24-72, Subsection F) to a faculty member with  
1724 an administrator exemption (as described in Section 24-35, Subsection K);

1725  
1726 8. Shall be considered at the time of reappointment, and may be offered at other times, for non-tier-  
1727 eligible faculty members.

1729  
1730 **Section 24-72 24-71 Procedures for Allocating Salary Increases**

1731  
1732 A. Default Formulas

1733  
1734 The President shall establish by executive order default formulas for the determination of salary  
1735 increases to accompany promotions in rank and title; salary increases to accompany tier  
1736 advancements; and market adjustments. These formulas shall remain in effect for all units in the  
1737 university unless modified as described in Subsection B or C below.

1738  
1739 B. Alternate Formulas

1740  
1741 Any college, school, or campus may develop alternate formulas for the determination of salary  
1742 increases to accompany tier advancements, and market adjustments. This is done using the following  
1743 procedure.

1744  
1745 1. The dean or chancellor, in consultation with the elected faculty council, develops recommended  
1746 formulas for market adjustments and tier advancement salary increases in the college. These  
1747 formulas may be the same for all academic appointing units in the college, or they may differ by  
1748 academic appointing unit. The consultation should include detailed consideration of salaries in  
1749 each affected unit of the college, school, or campus, as well as information about salaries in  
1750 appropriate units at peer institutions. The recommendation shall specify to which units the  
1751 formulas apply, when the formulas are to take effect, whether the formulas are to have an  
1752 expiration date, and if so when. For any formula that has an expiration date, the formula will  
1753 revert to the university default in effect at the time of expiration. If the formula does not apply to  
1754 all units in the school, college, or campus, then the affected unit(s) shall vote and that vote shall  
1755 be made known to the whole college as part of the material made available in Subsection B.2  
1756 below.

1757  
1758 2. The proposed formulas and the financial justification shall then be made available to the faculty of  
1759 the school, college, or campus for comment for a period no less than 30 days, after which the  
1760 voting faculty of the school, college, or campus shall vote to approve or deny the proposed  
1761 change according to the procedures described in Chapter 23, Section 23-46. All voting must be  
1762 completed at least three months prior to the proposed effective date of the change.

1763  
1764 3. If the result of the faculty vote is to approve the proposed formulas, the proposal is sent to the  
1765 provost and the Senate Committee on Planning and Budgeting, together with the justifying  
1766 financial data and the result of the faculty vote.

1767  
1768 4. After consulting with the SCPB, and dean or chancellor when appropriate, the provost may, within  
1769 45 days after receiving the proposed formulas, veto the proposed change for reasons of financial  
1770 or operational feasibility or equity, and shall provide in writing the explanation for the veto.

1771  
1772 C. Severe Financial Stress

1773  
1774 1. If at any time, distributing salary increases according to the formulas established in accordance  
1775 with Subsection A or B would, in the judgment of the President, impose severe financial stress on  
1776 the university, a school, college, campus, or academic appointing unit, and notwithstanding any  
1777 other provision of the Faculty Code, the President may change one or more of the formulas  
1778 temporarily to as low as zero, or may temporarily delay tier advancement increases or rank

**Commented [NLB18]:**  
The president's office has changed the subsection heading from "Financial Hardship" to "Financial Stress," because the former might have legal ramifications that are too restrictive for the present purposes (for example, if a declaration of financial hardship is required to deny or reduce raises to faculty, in a situation that fell just short of financial hardship, the university might be forced to lay off professional or classified staff before modifying faculty raises). We agreed that this wording adequately expresses the purpose of the subsection.  
  
The president's office extended somewhat the scope of changes that could be made in time of financial stress.

1779 promotion increases, or may extend a previously established change or delay, by following the  
 1780 procedure below.  
 1781  
 1782 a. The Provost presents a recommendation for a change in formula, or for a delay in tier  
 1783 advancement increases or rank promotion increases for a specified time, to the Senate  
 1784 Committee on Planning and Budgeting, together with as much budgetary data as then  
 1785 available to support the recommendation. The recommendation shall specify when the  
 1786 change or delay is to take effect and for how long.  
 1787  
 1788 b. Within fifteen days the SCPB conducts an advisory vote to endorse, reject, or modify the  
 1789 Provost's recommendation.  
 1790  
 1791 c. The Provost's recommendation and the result of the SCPB's advisory vote are then promptly  
 1792 made available to the affected faculty for comment by the Secretary of the Faculty for a  
 1793 period no more than 30 days.  
 1794  
 1795 d. The President then decides whether and how much to modify the salary formulas, or whether  
 1796 and how long to delay tier advancement increases or rank promotion increases, and reports  
 1797 the decision and its justification to the Faculty Senate.  
 1798  
 1799 2. If tier advancement increases and/or rank promotion increases are delayed, units may proceed to  
 1800 award tier advancements and rank promotions as usual, but any accompanying salary increases  
 1801 shall not be awarded until the delay period expires. At that time, faculty members who received  
 1802 tier advancements or rank promotions during the delay period shall receive non-retroactive salary  
 1803 increases according to the formulas put in effect for the period following the delay period.  
 1804  
 1805 **D. Promotion Raises**  
 1806  
 1807 Each faculty member who receives a promotion in rank shall receive a salary increase, to be effective  
 1808 on the same date as the promotion, in an amount determined by the formula in effect on the date the  
 1809 promotion takes effect, except as otherwise provided in Subsections A–C above.  
 1810  
 1811 **E. Tier Advancement Raises**  
 1812  
 1813 Each tier-eligible faculty member who receives a tier advancement shall receive a salary increase, to  
 1814 be effective on the same date as the tier advancement, in an amount determined by the formula in  
 1815 effect on the date the advancement takes effect, except as otherwise provided in Subsections A–C  
 1816 above.  
 1817  
 1818 **F. Salary Adjustments for Faculty with Administrator Exemptions**  
 1819  
 1820 Salary adjustments may be offered at any time to a faculty member with an administrator exemption  
 1821 as described in Section 24-35, Subsection K.  
 1822  
 1823 **G. Non-Tier Faculty Salary Adjustments**  
 1824  
 1825 Non-tier eligible faculty members shall be considered for a salary adjustment at the time of  
 1826 reappointment. In addition they may be considered for a salary adjustment at other times.  
 1827  
 1828 **H. Market Adjustments**  
 1829  
 1830 1. A market adjustment is a salary increase to mitigate the effects of general economic and price  
 1831 escalations in the region. A market adjustment formula, reflecting these escalations, shall be  
 1832 established by the President.  
 1833  
 1834 2. Except as provided in Subsection C above, each year every faculty member (whether tier eligible

**Commented [NLB19]:**  
 The president's office wanted 10 days review by the SCPB. The time should be sufficient to allow 2 regular meetings of the SCPB for such an important discussion (plus likely a number of extraordinary meetings), so we are proposing to change the time frame to 15 days. The faculty as a whole still has 30 days to review this (paragraph c.).

**Commented [NLB20]:**  
 The president's office requested that the wording be clarified to say clearly that the delayed tier raises after a period of financial stress would be given at the rate in effect after the delay. This was always the intention of the working group and FCFA, and we recommend accepting this change of wording.

1835 or not) who has been deemed to be performing satisfactorily in their last collegial performance  
 1836 review shall receive a market adjustment determined by the market adjustment formula.  
 1837  
 1838 3. If, in any given year, the market adjustment formula would produce a market adjustment that is  
 1839 zero or negative, no market adjustment shall be given.

1840 I. Variable Adjustments

1841  
 1842  
 1843 1. Variable adjustments are salary increases that can be used for a variety of purposes. Typical  
 1844 uses for variable adjustments include, but are not limited to, the following:  
 1845  
 1846 a. To address salary compression or inversion within a unit;  
 1847  
 1848 b. To address a "salary gap" between a unit and its academic peers inside or outside the  
 1849 university;  
 1850  
 1851 c. To correct inappropriate salary differences among individual faculty members whose  
 1852 accomplishments and career stages are comparable;  
 1853  
 1854 d. To provide an additional increase to all satisfactorily performing faculty at a time when the  
 1855 market adjustment is not sufficient to keep pace with average salary advances at peer  
 1856 institutions.

1857 e. To reward performance.

1858 2. In any given year, a variable adjustment may be initiated in the following ways:

1859  
 1860  
 1861 a. The provost, after consulting with the Senate Committee on Planning and Budgeting, may  
 1862 require one or more colleges, schools, or campuses to allocate certain funds for variable  
 1863 adjustments, and may specify such requirements, conditions, and limitations on their  
 1864 distribution as he or she deems appropriate.  
 1865  
 1866 b. A dean or chancellor, after consulting with the elected faculty council and department chairs,  
 1867 may propose the allocation of certain funds for variable adjustments in a college, school, or  
 1868 campus and may specify such requirements, conditions, and limitations on their distribution  
 1869 as he or she deems appropriate. The consultation with the elected faculty council shall  
 1870 include making available to the council detailed information about salaries in each unit of the  
 1871 college, or school, as well as information about salaries in appropriate units at peer  
 1872 institutions as available.

1873 3. The Provost, after consulting with the Senate Committee on Planning and Budgeting, may  
 1874 authorize or deny the variable adjustment allocation proposed by a dean or chancellor or may  
 1875 modify it or make it subject to such requirements, conditions, and limitations as he or she deems  
 1876 appropriate.

1877 4. Variable adjustment funds need not be distributed as equal percentages to all units, or to all  
 1878 individuals within a unit.

1879 5. If variable adjustments are authorized in a department or an undepartmentalized school or  
 1880 college, the voting faculty members of the unit shall vote on the procedure and principles to be  
 1881 applied in recommending distribution of the funds consistent with the requirements, conditions,  
 1882 and limitations described in paragraphs 2 and 3 above.

1883 6. A new collegial performance review is not required for the awarding of a variable adjustment.  
 1884 However, a faculty member whose performance was found to be unsatisfactory in his or her last  
 1885  
 1886  
 1887  
 1888  
 1889

**Commented [NLB21]:**  
Extends the uses of variable raises for performance and other purposes the faculty and university might come up later, with limits described below.

**Commented [NLB22]:**  
Modified to make it clear the code allows variable adjustments to be initiated by the provost or dean or chancellor. In all cases the final distribution must be approved by the provost, no matter who initiates the process.

**Commented [JL23]:**  
Comment: If a college proposes the same plan year after year, we expect that this provost/SCPB review can be cursory.

**Commented [RGD24]:**  
Like all salary decisions, review and approval by the dean and provost are required and this section reflects a realistic expression of their authority.

**Commented [JL25R24]:**  
Accept this change. But move some of the wording to part 9 below.

1890 collegial performance review is not eligible for a variable adjustment.  
 1891  
 1892 7. If the rules for allocation of a variable adjustment allow for differential allocations to individuals,  
 1893 then in arriving at their recommendations for allocation to individuals, the appropriate faculty,  
 1894 department (unit) chairs, deans, and chancellors shall each consider the following:  
 1895  
 1896 a. the candidate's cumulative record;  
 1897  
 1898 b. the candidate's current salary  
 1899  
 1900 c. the written summary of the most recent collegial performance review.  
 1901  
 1902 d. any relevant documentation produced since that review, such as annual reports, planning  
 1903 conference documentation, and teaching evaluations;  
 1904  
 1905 e. any documents produced under Section 24-63.  
 1906  
 1907 Differential allocation of variable adjustments to individuals shall seek to minimize salary  
 1908 inequities. Salary compression and other inequities, including those resulting from variations in  
 1909 the level of funds available over time, may be considered in making variable adjustment  
 1910 recommendations.  
 1911  
 1912 8. If the rules for allocation of a variable adjustment allow for differential allocations to individuals, a  
 1913 recommendation for the variable adjustment for each individual shall be arrived at as follows:  
 1914  
 1915 a. The variable adjustment for each faculty member below the rank and title of professor shall  
 1916 be recommended by the voting members of the department, or undepartmentalized college  
 1917 or school, who are his or her superiors in academic rank and title.  
 1918  
 1919 b. The variable adjustment for each full professor shall be recommended by the chair of a  
 1920 department, or the dean of an undepartmentalized school/college. Before forwarding his or  
 1921 her recommendations the chair (or dean in an undepartmentalized school/college) shall seek  
 1922 the advice of the full professors according to the procedure adopted in paragraph 5 above.  
 1923  
 1924 9. The distribution recommendation will be forwarded to the dean for review who, if he or she  
 1925 approves, will then forward the recommendation to the Provost for final approval.

**Commented [JL26]:**  
 Comment: Note that a department chair can require a performance review at any time, and might wish to do so annually if variable adjustments are routinely based on performance.

**Commented [JL27]:**  
 Sections 7 and 8 are adapted from the current code language describing merit salary increases. These paragraphs make sure that when "performance" is a factor in distributing variable adjustments, a fair consideration of the faculty member's full record is performed. These paragraphs are adopted with only minor modifications from the current code language describing merit raises.

1926  
 1927  
 1928 J. Minimum Salaries

1929  
 1930 Every two years, the Provost shall, after consultation with the Senate Committee on Planning and  
 1931 Budgeting, determine the minimum salary for each faculty rank. This determination shall take account  
 1932 of the recent salaries of beginning assistant professors at the University of Washington, and shall  
 1933 endeavor to reflect in the floors for other ranks the general expectation of salary advancement for  
 1934 faculty.

**Commented [NLB28]:**  
 The final distribution of variable adjustments must be signed off on by the dean and provost.

**Commented [JL29]:**  
 Accepted president's changes, but moved this sentence down here.

1935  
 1936 K. Retention Increases

1937  
 1938 ~~To~~ A department chair (or dean in an undepartmentalized college) may at any time propose a salary  
 1939 increase to retain a current faculty member, based on subject to the recommendation approval of the  
 1940 dean and Provost. Prior to preparing a response, the dean shall first consult with the unit's chair. The  
 1941 voting faculty of each academic unit shall be provided the opportunity to cast an advisory vote on the  
 1942 recommend an appropriate response; alternatively, the voting faculty may establish, consistent with  
 1943 the procedures of Chapter 23, Section 23-45, a different policy regarding the level of consultation  
 1944 they deem necessary before a competitive salary offer may be made. This policy shall be recorded  
 1945 with the dean's office of the appropriate unit and a copy forwarded to the Secretary of the Faculty.

1946 The faculty shall vote whether to affirm or amend this policy biennially. Any retention salary increase  
1947 for a tier-eligible faculty member should ordinarily be accompanied by one or more tier advancements  
1948 commensurate with the tier raise formula then in effect.

**Commented [NLB30]:**  
This clarifies that the expectation that a tier advancement will accompany a retention raise applies only to tier-eligible faculty; it won't apply in colleges that have opted out of the tier system.

1949 **Section 24-73 Transition to the New Salary Policy**

1950

1951 New temporary section.

1952

1953 A. Transition Timeline

1954

1955 Once the new faculty salary policy has been approved by the faculty and signed by the President, the  
1956 President shall establish a Transition Period, to start no later than the beginning of Autumn Quarter of  
1957 the third academic year after the academic year during which the President signs the enabling  
1958 legislation. This timeline may be extended for up to one year by the President after consultation with  
1959 the SCPB. In this section, the following terms are used:

**Commented [NLB31]:**  
**Note:** This language was converted back to the previous text at the request of the president's office.

1960

1961 1. The Pre-Transition Period is the period from the time the new salary policy is signed by the  
1962 President until the start of the Transition Period.

1963

1964 2. The Transition Period begins on a date determined by the president, and ends at the start of the  
1965 next Autumn Quarter after that.

1966

1967 3. The Implementation Date of the new salary policy is the beginning of the next Autumn Quarter  
1968 following the start of the Transition Period; and the Implementation Year is the academic year  
1969 starting on the Implementation Date.

1970

1971 B. Salaries During Transition

1972

1973 The university's faculty salary policy shall be governed as follows:

1974

1975 1. During the Pre-Transition Period, faculty salaries shall be governed by the Pre-Transition Salary  
1976 Policy, described in Sections 24-74 through 24-76 below. During the Pre-Transition Period, there  
1977 shall be no Market Adjustments, no Tier Advancements or Tier Raises, and no Variable  
1978 Adjustments.

1979

1980 2. During the Transition Period, faculty salaries shall be governed by the Transition Salary Policy,  
1981 described in Section 24-77 below.

1982

1983 3. Starting from the Implementation Date of the new salary policy, Sections 24-73 through 24-77  
1984 shall be deleted from the Faculty Code and shall cease to be effective, and the salary policy shall  
1985 be governed by the remaining provisions of this chapter of the Faculty Code.

1986

1987

1988 **Section 24-74 24-55 Pre-Transition Procedure for Salary Increases Based Upon Merit**

1989

1990 Faculty at the University of Washington shall be reviewed annually by their colleagues, according to the  
1991 procedures detailed in this section, to evaluate their merit and to arrive at a recommendation for an  
1992 appropriate merit salary increase. Such reviews shall consider the faculty member's cumulative record,  
1993 including contributions to research/scholarship, teaching, and service, and their impact on the  
1994 department, school/college, University, and appropriate regional, national, and international communities.

1995

1996 The evaluation of a faculty member's merit and salary shall be arrived at after review of the individual's  
1997 performance in relation to that of their colleagues and by comparison of individuals' present salaries to  
1998 those of their peers. In evaluating a faculty member's eligibility for merit-based salary increases Section

1999 24--75, Subsections B.1 and B.4; Section 24-76, Subsections A.1 and B.1 and for "market gap" salary  
2000 increases Section 24-74, 76, Subsection B.2, the following procedure shall be followed.

2001  
2002  
2003  
2004  
2005  
2006

A. Considerations for Merit Salary Increases

In arriving at their recommendations for salary decisions the appropriate faculty, department (unit) chairs, and deans shall each consider the following:

1. The cumulative record of the candidate, taking into account the qualifications prescribed in Sections 24-22, 24-23, 24-31, and 24-32 for the various academic ranks and titles;
2. The candidate's current salary;
3. Documentation of the review conference required by Section 24-61, Subsection E; and
4. Any documents produced under Subsection H of this section.

Salary recommendations shall seek to minimize salary inequities. Salary compression and other inequities, including those resulting from variations in the level of merit funds available over time, may be considered in making merit salary recommendations.

2017  
2018  
2019  
2020

B. Faculty Recommendation

The merit and salary of each faculty member below the rank and title of professor shall be considered by the voting members of the department, or undepartmentalized college or school, who are his or her superiors in academic rank and title, and they shall recommend any salary increase which they deem merited.

2025  
2026  
2027

C. Review of Full Professors

The chair of a department, or the dean of an undepartmentalized school/college, shall consider the merit and salary of each full professor in his or her unit. Before forwarding his or her recommendations the chair (or dean in an undepartmentalized school/college) shall seek the advice of the full professors according to a procedure approved by the voting members of the unit.

2032  
2033  
2034

D. Chair's Recommendation

If the recommendation is a departmental one, the chair shall transmit it to the dean with any supporting data the dean may request. If the chair does not concur in the recommendations he or she may also submit a separate recommendation.

2038  
2039  
2040

E. Dean's Recommendation for Faculty

The dean shall review the department's recommendation and forward his or her recommendation regarding faculty merit and salary to the President.

2042  
2043  
2044

F. Dean's Recommendation for Chairs

The dean of each college/school shall review the record and salary of the chair of each department and shall recommend an appropriate salary increase, if any, to the President.

2047  
2048  
2049  
2050

G. President's Authorization

The President shall authorize the salary increases of the faculty, and of each dean.

2051  
2052  
2053

2054 H. Committee Review of No Merit Rating

2055 At the option of the faculty member affected, and mandatorily in the event of two consecutive annual  
 2056 ratings of no merit (as a result of reviews under this section), the chair of the faculty member's  
 2057 department (or dean of an undepartmentalized school or college) shall, after consultation with the  
 2058 faculty member, appoint an ad hoc committee of department (or school/college) faculty superior (or,  
 2059 in the case of full professors, equal) in rank or title to the faculty member. This committee shall meet  
 2060 at its earliest convenience with the faculty member and review more fully the record and merit of that  
 2061 faculty member.

2062  
 2063 The committee shall, upon completion of its review, report in writing the results to the faculty member  
 2064 and to his or her department chair (or dean in an undepartmentalized school/college) and the  
 2065 committee shall advise them what actions, if any, should be undertaken to enhance the contributions  
 2066 and improve the merit ranking of this colleague, or to rectify existing misjudgments of his or her merit  
 2067 and make adjustments to correct any salary inequity. The faculty member may respond in writing to  
 2068 this report and advice within 21 calendar days to the department chair (or dean) and committee  
 2069 (unless upon the faculty member's request and for good cause the response period is extended by  
 2070 the chair or dean). The committee's report and advice, the faculty member's written response (if any),  
 2071 the response by the chair, and any agreement reached by the faculty member and the chair shall be  
 2072 incorporated into a written report.

2073  
2074  
2075 **Section 24-75 24-70 Pre-Transition Faculty Salary System: Policy and Principles**2076  
2077 A. Purpose

2078  
 2079 Faculty at the University of Washington shall be salaried on a merit-based system that reflects the  
 2080 University's standing among its peer institutions. Under this system, all faculty deemed meritorious  
 2081 shall be regularly rewarded for their contributions to their department, school/college, and university.  
 2082 Resources permitting, the University shall provide its meritorious faculty with salaries commensurate  
 2083 with those of their peers elsewhere.

2084  
2085 B. Salary Increases

2086  
 2087 Advancement in salary can be effected in several distinct, but not mutually exclusive, ways. A salary  
 2088 increase:

- 2089  
2090 1. Shall be granted to provide an initial minimum equal-percentage salary increase to all faculty  
 2091 following a successful merit review conducted in accord with procedures of Section 24-74;  
 2092
- 2093 2. Shall attend, in addition to awards under Subsection B.1 above, promotion in rank approved in  
 2094 accord with Section 24-55;
- 2095  
2096 3. Shall be awarded to raise individuals' salaries to the minimum salary for each faculty rank in  
 2097 accord with Section 24-76, Subsection A.3;
- 2098  
2099 4. May be awarded as an additional merit salary increase beyond that available under Subsection  
 2100 B.1 following review procedures of Section 24-74;  
 2101
- 2102 5. May be awarded as a result of unit-level adjustment in accord with Section 24-76, Subsection  
 2103 B.2;
- 2104  
2105 6. May be offered in response to a potential or actual external offer of appointment upon review in  
 2106 accord with Section 24-76, Subsection B.3; and  
 2107
- 2108 7. May be allocated as a University-wide increase in the faculty salary base that shall be distributed

2109 in equal dollar amounts or equal percentage salary increases to all meritorious faculty.

2110

2111 **Section 24-76 24-71 Pre-Transition Procedures for Allocating Salary Increases**

2112

2113 A. Provost's Consultation

2114

2115 The Provost shall consult with the Senate Committee on Planning and Budgeting and shall  
2116 subsequently recommend to the President the allocation of available funds for salary increases, for  
2117 distribution among all categories listed in Section 24-75, Subsection B. The President shall make the  
2118 final decision on these allocations and shall report the decision to the Faculty Senate.

2119

2120 1. This allocation shall each year make available funds to provide an initial minimum equal-  
2121 percentage salary increase to all faculty deemed meritorious under Section 24-74.

2122

2123 2. This allocation shall each year make available funds to provide salary increases to all faculty  
2124 awarded promotions approved in accord with Section 24-55.

2125

2126 3. Every two years, the Provost shall, after consultation with the Senate Committee on Planning and  
2127 Budgeting, determine the minimum salary for each faculty rank. This determination shall take  
2128 account of the recent salaries of beginning assistant professors at the University of Washington,  
2129 and shall endeavor to reflect in the floors for other ranks the general expectation of salary  
2130 advancement for faculty.

2131

2132 B. Provost Distributions and Authorizations

2133

2134 The Provost may distribute, in the course of a biennium, funds allocated by the President:

2135

2136 1. To provide additional merit salary increases beyond those awarded under Subsection A.1. This  
2137 allocation shall be distributed as equal-percentage increases to all units to fund merit increases  
2138 for faculty in accord with Section 24-74.

2139

2140 2. To address the market "gap" of an individual unit. Allocation of such funds to units shall follow  
2141 close consideration of individual units and consultation with the Senate Committee on Planning  
2142 and Budgeting. The Provost shall periodically gather updates on salary information from  
2143 appropriate sources, including unit heads, and shall make those findings available to the faculty.  
2144 The department chair (or dean in an undepartmentalized school/college) shall consult with the  
2145 unit's voting faculty who are senior (or, in the case of full professors, equal) in rank—or the unit's  
2146 designated faculty committee(s)—about the appropriate distribution of these funds; and

2147

2148 3. To retain a current faculty member, based on the recommendation of the dean. Prior to preparing  
2149 a response, the dean shall first consult with the unit's chair. The faculty of each academic unit  
2150 shall be provided the opportunity to cast an advisory vote on the appropriate response;  
2151 alternatively, the faculty may establish, consistent with the procedures of Chapter 23, Section 23-  
2152 45, a different policy regarding the level of consultation they deem necessary before a  
2153 competitive salary offer may be made. This policy shall be recorded with the dean's office of the  
2154 appropriate unit and a copy forwarded to the Secretary of the Faculty. The faculty shall vote  
2155 whether to affirm or amend this policy biennially.

2156

2157 C. Dean Distributions

2158

2159 The deans of the schools and colleges shall, after consultation with their elected faculty councils  
2160 Chapter 23, Section 23-45, allocate to the faculty of the constituent units of their school/college, all  
2161 funds made available to provide salary increases under Section 24-75, Subsection B. Distribution of  
2162 these awards to individual faculty shall be carried out following the requisite procedures of this  
2163 chapter.

2164 **Section 24-77 Transition Period Salary Policy**

2165

2166 New temporary section.

2167

2168 A. During the Transition Period:

2169

2170 1. There will be market adjustments for non-tier-eligible faculty, but not for tier-eligible faculty.

2171

2172 2. There will be no tier advancements.

2173

2174 3. Meritorious faculty may receive Transition Raises as described below.

2175

2176 4. Faculty members promoted to a new rank or title during the transition period will receive their promotion raise upon the effective date of the promotion.

2177

2178 5. Each faculty member shall submit a yearly activity report as described in Section 24-61, Subsection B.

2180

2181 6. A planning conference may be initiated as described in Section 24-61, Subsection C.

2182

2183 7. A collegial performance review following the procedures in described in Section 24-62 shall be initiated for any individual faculty member if requested by the chair, dean, or his or her designee or the faculty member, or if it is time to decide upon renewal of an appointment, with the caveat that tier advancements are not possible during the transition period.

2184

2185 8. If a collegial review is carried out during the Transition Period, then eligibility for a transition raise is determined by whether the review results in a finding of satisfactory or unsatisfactory performance.

2186

2187 9. An appointment renewal may proceed as described in Section 24-43.

2188

2189 10. A variable adjustment may be granted as described in Section 24-72, Subsection I.

2190

2191 11. A retention raise may be granted as described in Section 24-72, Subsection K.

2192

2193 12. And the minimum salary may be determined as described in Section 24-72, Subsection J.

2194

2195 B. Assignment of Initial Tiers

2196

2197 During the Transition Period, each tier-eligible faculty member shall be assigned an initial tier, which will become the person's tier as of the Implementation Date of the new salary policy. The following is designed to assign each individual to an initial tier that is, as far as practicable, commensurate with the individual's career stage, accomplishments, and current salary.

2198

2199 There will be no tier advancements during the Transition Period. The assignment of an initial tier, in itself, has no effect on any individual's salary.

2200

2201 For all tier-eligible continuing faculty members except Lecturers, Artists in Residence, and Assistant Professors, two integer values shall be calculated:

2202

2203 1. Career-based tier, determined by taking the number of years at current rank and title (including the Transition Period) and dividing by four, discarding any fractional remainder, and adding 1. If the faculty member is promoted during the transition period his or her career based tier shall be 1.

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2205

2206

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2216

**Commented [NLB32]:**  
The original said "no market adjustments." The market adjustment for tier eligible faculty was already factored into the transition raise; but this is not the case for non-tier tier-eligible faculty, so the latter should get market adjustments. This fixes that oversight in the code.

**Commented [NLB33]:**  
This change makes it clear that those who are in college, schools, or campuses that have already opted out of the tier system can receive market adjustments during the transition year.

**Commented [JL34]:**  
The clock should only go back to when the person first was awarded the current rank and title.

2217  
2218  
2219 2. Salary-based tier, determined by comparing the current salary of each current faculty member to  
2220 a salary schedule created for the individual's primary appointing unit, and choosing the tier at the  
2221 individual's current rank and title which has a corresponding salary closest to the individual's  
2222 actual salary.

2223 When computing the current salary for this purpose all raises awarded during the transition period  
2224 shall be included except transition raises described in Subsection D (below).

2225  
2226 The salary schedules to be used in calculating the salary-based tier will be created by the Office  
2227 of Planning and Budgeting in consultation with the Provost, SCPB, deans, and chairs.

2228  
2229 Once the career-based and salary-based tiers have been calculated, each individual's initial tier shall  
2230 be assigned as follows (subject to the exceptions noted below):

- 2231  
2232 3. If the two calculated tiers are equal, that becomes the individual's initial tier.  
2233  
2234 4. If the salary-based tier is higher than the career-based tier, the salary-based tier becomes the  
2235 individual's initial tier.  
2236  
2237 5. If the salary-based tier is lower than the career-based tier, the individual may choose any initial  
2238 tier no lower than the salary-based tier and no higher than the career-based tier.  
2239

2240 **Exception 1:** No Professor shall have an initial tier of 7 or higher. If either the salary-based tier  
2241 or career-based tier would be 7 or higher according to the above instructions, that calculated tier  
2242 will be replaced by Tier 6 for the purposes of this assignment.

2243  
2244 **Exception 2:** Except for Assistant Professors, no faculty member shall be required to begin at  
2245 the highest tier for their rank, or at Professor 6. Thus if an individual's salary-based tier is higher  
2246 than the appropriate tier in the following list, the individual shall have the option of choosing an  
2247 initial tier no lower than the tier in this list:

- 2248  
2249 • Associate Professor 2  
2250 • Professor 5  
2251 • Senior Lecturer 2  
2252 • Senior Artist in Residence 2  
2253 • Principal Lecturer 5  
2254

2255 For tier-eligible Lecturers and Artists in Residence: The initial tier shall be 1.

2256  
2257 For tier-eligible Assistant Professors, the initial tiers will be determined by whether they will be in  
2258 their first or second appointment during the Implementation Year of the new salary policy:

- 2259  
2260 • If the Implementation Year occurs during the initial three-year appointment or a terminal  
2261 fourth year, the initial tier shall be Assistant Professor 1.  
2262  
2263 • If the Implementation Year occurs during the second three-year appointment or a terminal  
2264 seventh year, the initial tier shall be Assistant Professor 2.  
2265  
2266 • In no event shall the assignment of a tier be construed as the conferral or denial of tenure or  
2267 promotion.

2268  
2269 C. Assignment of Next Mandatory Collegial Review  
2270

**Commented [NLB35]:**  
Rank and title are different aspects (many faculty have both). This makes it clear that when calculating the proper initial tier, both are taken into account. The president's office had suggested "rank or title," which is sufficient in most places in the code, but not here.

2271 All tier-eligible faculty members will be assigned a time for next mandatory collegial review.

2272

2273 For Assistant Professors the next mandatory collegial review year shall be determined based on the  
2274 dates of mandatory consideration for renewal or promotion.

2275

2276 For everyone other than tenured faculty and WOT faculty (as defined in Section 24-33) the next  
2277 mandatory collegial review year shall coincide with the next mandatory consideration for  
2278 reappointment or the 4th year after the transition year, whichever is first.

2279

2280 For tenured and WOT (as defined in Section 24-33) associate and full professors, the next mandatory  
2281 collegial review year shall be computed as follows: Starting one full year before the first Autumn  
2282 Quarter during which the individual's last appointment or promotion became effective (including any  
2283 appointment or promotion awarded during the transition period), determine the least multiple of four  
2284 years from that date that occurs on or after the implementation date. The individual's next mandatory  
2285 collegial review shall occur during the academic year starting at that time.

2286

#### 2287 D. Transition Raises

2288

2289 During the Transition Period, there will be no tier raises and no market adjustments for tier-eligible  
2290 faculty members. Instead, each tier-eligible faculty member who was declared meritorious in his or  
2291 her last merit evaluation (except for faculty who receive promotions or new appointments that would  
2292 take effect at the beginning of the implementation year), shall receive a transition raise to take effect  
2293 no later than the beginning of the implementation year, except as otherwise provided in Subsection E  
2294 below.

2295

2296 For a faculty member who is eligible for a transition raise, a new collegial review is not required in  
2297 order to receive a transition raise. However, a collegial performance review following the procedures  
2298 of Section 24-62 shall be initiated for any individual faculty member if requested by the chair, dean, or  
2299 his or her designee or the faculty member; or if it is time to decide upon renewal of an appointment.  
2300 Such a review may be used, for example, to determine satisfactory or unsatisfactory performance, or  
2301 to consider recommending a faculty member for a possible promotion in rank, or to provide evidence  
2302 for distribution of Variable Adjustments if they are available. If a collegial review is carried out during  
2303 the Transition Period, then eligibility for a transition raise is determined by whether the review results  
2304 in a finding of satisfactory or unsatisfactory performance.

2305

2306 For each individual eligible for a transition raise, the amount of the raise shall be determined by his or  
2307 her next mandatory review year.

2308

2309 Default Plan: For each unit that does not choose to use the Alternative Plan described below, the  
2310 transition raises shall be as follows:

2311

- 2312 • For those whose mandatory review year is the Implementation Year, the transition raise is 2%.
- 2313
- 2314 • For those whose mandatory review year is one year after the Implementation Year, the transition  
2315 raise is 4%.
- 2316
- 2317 • For those whose mandatory review year is two years after the Implementation Year, the  
2318 transition raise is 6%.
- 2319
- 2320 • For those whose mandatory review year is three years after the Implementation Year, the  
2321 transition raise is 8%.
- 2322

2323

2324 In each case, the percentage above is a percentage of the individual's salary if that salary is less  
2325 than or equal to the average UW full professor's salary during the Transition Period; otherwise it is  
a percentage of that average salary.

#### Commented [NLB36]:

Restrict the determination of next mandatory collegial review to tier-eligible faculty. Non-tier-eligible faculty members who are subject to renewal will have their next mandatory review when they are up to renewal. In colleges that have opted out of the tier system, units will set their own expectations for time of next collegial evaluation.

2326 Under the Default Plan, there will be Variable Adjustments only if allocated by the college, school,  
2327 or campus and approved by the provost, in accord with Section 24-72, Subsection I, of the Faculty  
2328 Code.

2329  
2330 Alternative Plan: By vote of a majority of its eligible voting faculty, a department or an  
2331 undepartmentalized college may choose to use the following Alternative Plan. Such a decision  
2332 must be reported to the dean.

- 2334 • For those whose mandatory review year is the Implementation Year, the transition raise is  
2335 1.5%.
- 2336
- 2337 • For those whose mandatory review year is one year after the Implementation Year, the  
2338 transition raise is 3%.
- 2339
- 2340 • For those whose mandatory review year is two years after the Implementation Year, the  
2341 transition raise is 4.5%.
- 2342
- 2343 • For those whose mandatory review year is three years after the Implementation Year, the  
2344 transition raise is 6%.
- 2345

2346 In each case, the percentage above is a percentage of the individual's salary if that salary is less  
2347 than or equal to the average UW full professor's salary during the Transition Period; otherwise it is  
2348 a percentage of that average salary.

2349  
2350 Under the Alternative Plan, 1.25% of the continuing faculty salary pool shall be available to the unit  
2351 for Variable Adjustments, in addition to any amount allocated for Variable Adjustments by the  
2352 college, school, or campus and approved by the provost. All Variable Adjustments shall be  
2353 distributed, in accord with Section 24-72, Subsection I, of the Faculty Code.

2354  
2355 E. Severe Financial Stress

2356  
2357 If distributing transition raises pursuant to Subsection D above would, in the judgment of the  
2358 President, impose severe financial stress on the University, school, college, campus, or academic  
2359 appointing unit, and notwithstanding any other provision of the Faculty Code, the President may  
2360 reduce the raises provided in either the Default Plan or Alternative Plan to as low as zero by following  
2361 the procedure below.

- 2362
- 2363 1. The Provost presents a recommendation for a change in the plans to the Senate Committee on  
2364 Planning and Budgeting, together with as much budgetary data as then available to support the  
2365 recommendation.
- 2366
- 2367 2. Within fifteen days the SCPB conducts an advisory vote to endorse, reject, or modify the  
2368 Provost's recommendation.
- 2369
- 2370 3. The Provost's recommendation and the result of the SCPB's advisory vote are then promptly  
2371 made available to the voting faculty for comment by the Secretary of the Faculty for a period no  
2372 more than 30 days.
- 2373
- 2374 4. The President then decides whether to change the Plans and reports the decision and his or her  
2375 justification to the Faculty Senate.

Commented [JL37]:  
Making this consistent with the other provisions pertaining to financial stress.

Commented [JL38]: ditto

**Part 24-80 Resignation, Separation, or Change of Appointment****Section 24-81 24-56 Procedure for Resignations**A. Written Notice of Resignation

A faculty member has a professional obligation to give a written notice of resignation at the earliest possible opportunity. Normally such resignations should be given at least three months prior to the termination date, or within 15 days of notification of terms of a reappointment, whichever occurs later, and should ordinarily become effective at the end of an academic year.

B. Resignation without Written Notice

If the faculty member resigns orally, then the dean shall attempt to obtain a written resignation. If this is not forthcoming sooner, no later than 15 days after the purported oral resignation the dean shall send by certified mail to the faculty member's last known home address, and at the same time send by delivery or campus mail to the faculty member's campus address, a letter stating his or her understanding that the faculty member has resigned. If, within 30 days after the dean mailed and sent this letter, the faculty member notifies the dean in writing that he or she denies a resignation took place, none shall be deemed to have occurred. Otherwise, the faculty member shall be deemed to have resigned.

**Section 24-82 25-51 Grounds for Removal of Persons with Tenure for Cause**

A faculty member having tenure under the provisions of this chapter may be removed for cause from his or her position or subjected to reduction of salary only for one or more of the following reasons:

- Incompetence.
- Neglect of duty.
- Physical or mental incapacity to perform academic duties.
- Unlawful discrimination or sexual harassment (see Executive Order No. 31).
- Scientific and scholarly misconduct, consisting of such acts as intentional misrepresentation of credentials, research misconduct (as defined in Executive Order No. 61), abuse of confidentiality, or deliberate violation of regulations applicable to research.
- Conviction of a felony.
- Intentional and malicious interference with the scientific, scholarly, and academic activities of others. To warrant a removal for cause or reduction of salary, conduct falling within these categories must in a substantial way adversely affect the faculty member's or the victim's academic, scholarly, or professional ability to carry out his or her University responsibilities.

**Section 24-83 25-52 Removal of Faculty for Reasons of Program Elimination**A. Program Elimination—Basis for Removal

The removal of tenured faculty, or the removal of non-tenured faculty prior to the end of a specified term of appointment, may be effected upon program elimination within the University. Such removals shall be termed "Removal for Reasons of Program Elimination."

- 2430  
2431 B. Program Elimination Procedures  
2432  
2433 Removal for reasons of program elimination may be effected only in conformance with procedures set  
2434 forth in Chapter 26, Procedures for Reorganization, Consolidation, and Elimination of Programs, and  
2435 the provisions of this section.  
2436
- 2437 C. Notification  
2438  
2439 1. Each faculty member proposed by the dean for removal for reasons of program elimination shall  
2440 be so notified in writing by the dean pursuant to Chapter 26, Section 26-41, Subsection C.2.h.  
2441  
2442 2. When the President's decision to eliminate a program becomes final pursuant to Chapter 26,  
2443 Section 26-41, Subsection C.7, and the subsequent decision is made as to which faculty  
2444 members notified under this subsection are to be removed, each faculty member to be removed  
2445 for reason of program elimination shall be notified in writing by the dean and the effective date of  
2446 such removal shall be stated. The dean shall deliver a copy of this notification  
2447 contemporaneously to the chair of the Adjudication Panel (Chapter 28). No faculty member shall  
2448 be removed for reason of program elimination prior to the end of the academic year following the  
2449 one in which a final decision is transmitted to the faculty member.  
2450
- 2451 D. Appeal  
2452  
2453 Each faculty member notified of removal for reason of program elimination may engage in the  
2454 administrative and conciliatory proceedings of Chapter 27. He or she may deliver an appeal to the  
2455 chair of the Adjudication Panel and to the Secretary of the Faculty as provided in Chapter 28, in  
2456 which case a Hearing Committee shall determine whether the faculty member was properly  
2457 identified as a member of the program eliminated; whether the procedures in this section were  
2458 followed; whether the decision to remove the faculty member was reasonable; and, if the faculty  
2459 member so alleges, whether he or she was unlawfully discriminated against because of race,  
2460 religion, color, sex, national origin, age, handicap, sexual orientation, or status as a disabled or  
2461 Vietnam era veteran.  
2462
- 2463 E. Placement in Another Unit  
2464  
2465 The University shall make every reasonable effort to place faculty members notified of removal for  
2466 reason of program elimination in other University employment for which they are qualified with  
2467 comparable terms of employment. Priority in such employment shall be given to the faculty member  
2468 in accordance with University and state employment procedures. In addition to the required  
2469 notification period, special assignments with pay may be provided to enable the faculty member to  
2470 prepare for changed employment responsibilities.  
2471
- 2472 F. Reinstatement  
2473  
2474 In the event that the academic program which has been eliminated is reinstated within a period of  
2475 five years, new positions shall not be filled through normal appointment search procedures until  
2476 removed faculty members qualified for the position have been offered reappointment on terms at  
2477 least comparable to terms which applied to the position previously held. Such removed faculty  
2478 members shall be given 30 calendar days to accept or decline an offer of reinstatement.  
2479
- 2480 **Section 24-84-25-53 Necessity for Hearings in Tenure Proceedings**  
2481  
2482 No faculty member having tenure as defined in this chapter shall be removed from his or her position or  
2483 subjected to discriminatory reduction of salary until she or he has been given opportunity for a full review  
2484

2485 and hearing as provided in Sections 24-26, 24-85, or Chapter 26, Section 26-31 as applicable to the  
 2486 case, and in Chapter 28.

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**Section 24-85 25-62 Proceedings for the Resolution of Differences**

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**Section 24-86 25-63 Dismissal of a Nontenured Faculty Member**

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**Section 24-87 25-64 Discriminatory Reduction in Pay or Improper Non-Reappointment**

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A. Procedures Available for Review and Resolution

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B. Burden of Proof

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The procedures set forth in Section 24-85 shall be followed. The burden of proof shall rest with the faculty member making the allegation.

*Submitted to Senate Executive Committee:  
 April 4, 2016*