

Minutes  
Faculty Senate Meeting  
Thursday, April 21, 2016, 2:30 p.m.  
Savery Hall, Room 260

1. Call to Order and Approval of Agenda.

Chair Beauchamp called the meeting to order at 2:30 p.m. The agenda was approved.

2. Faculty Senate Chair's Remarks – Professor Norm Beauchamp. **[Exhibit A]**

Chair Beauchamp opened with a quote, "You may encounter many defeats but you must not be defeated" by Maya Angelou. He expressed his appreciation for many individuals who contributed to the legislation on today's agenda.

3. Reports and Opportunity for Questions.

- a. Report of the Secretary of the Faculty. **[Exhibit B]**
- b. Report of the Chair of the Senate on Planning and Budgeting. **[Exhibit C]**
- c. Report of the Faculty Legislative Representative. **[Exhibit D]**

There were questions.

Storti asked Beauchamp about the process of selection of a Provost. The Senate passed a Class C resolution in 2011 and that has not been addressed by the current search process. Beauchamp responded that there was a presentation in the Senate Executive Committee (SEC) and there was no objection to this process at the SEC. Kate O'Neill, co-chair of the Provost Search committee, spoke to the wide ranging discussion the committee had with members from across all three campuses. The committee was aware of the Class C resolution, but thought that it was in the best interest of the university to appoint Interim Provost Baldasty as Provost. A search will begin in summer of 2017 for a new Provost in 2018. Storti thinks that this process has been exactly what we sought to avoid. A single candidate with no other options for the position. Aaron Katz brought up the appearance of the administration telling faculty to do one thing for faculty searches and then doing another for administrative searches. Brad Holt agreed that the leadership has not been following a principle decided upon by the Faculty Senate in 2011.

Aaron Katz asked when the deliberative process related to a faculty regent would be set. He also asked about setting of a legislative agenda with the Faculty Legislative Representative (FLR). Beauchamp called on current FLR Taricani to address the issue. In response, Taricani described current conversations with Washington State University and other regionals as well as discussion about possible sponsors. Related to the legislative agenda, she indicated a proposal for a joint meeting between SCPB and SEC to discuss the upcoming legislative priorities. Katz asked for more involvement of the Senate in these matters and asked Beauchamp to model how the Senate could be involved.

4. President's Remarks– Ana Mari Cauce.

In President Cauce's absence, Interim Provost Gerald Baldasty announced that Chair Beauchamp had won the David B. Thorud Leadership Award for 2016.

5. Requests for Information.

Summary of Executive Committee Actions and Upcoming Issues of February 22, 2016.

- a. Approve the [February 22, 2016, Senate Executive Committee minutes](#).
- b. Approve the [March 3, 2016, Faculty Senate minutes](#).
- c. Financial Fraud & Ethics Hotline, Richard Cordova, Executive Director, Internal Audit. **[Exhibit E]**
- d. Special Committee on Intellectual Property and Commercialization approve merge with Intellectual Property Management Advisory Committee. [Approved by SEC.] **[Exhibit F]**

Duane Storti asked when we will know the structure for merit reviews. Interim Provost Baldasty said they will go forward with allocations of 2% regular merit and another 2% additional merit.

6. Memorial Resolution.

**Be it resolved** that the minutes of this meeting record the sorrow of the entire faculty upon its loss by death of these friends and colleagues:

Senior Lecturer and Assistant Vice Chancellor for Academic Achievement Leslie, Ashbaugh of the University of Washington Bothell Interdisciplinary Arts and Sciences who died on March 29, 2016, after having served the university since 1998.

Professor Emeritus Edgar Borgatta of Sociology who died on February 20, 2016, after having served the university since 1981.

Lecturer David Parker Christie of Radiology who died on February 19, 2016, after having served the university since 1978.

Professor Daniel J. Dailey III of Electrical Engineering who died on March 28, 2016, after having served the university since 1988.

Professor Emeritus Jens Erik Jorgensen of Engineering who died on March 13, 2016, after having served the university since 1968.

Professor Emeritus Richard Taber of Environment & Forest Sciences who died on January 25, 2016, after having served the university since 1968.

Associate Professor Emeritus James Vasquez of Education who died on March 16, 2016, after having served the university since 1975.

Professor Emeritus John T. Wilson of Environmental Health who died on March 5, 2016, after having served the university since 1974.

The resolution was approved by a standing vote of the faculty.

7. Consent Agenda.

- a. Approve nominees for Faculty Councils and Committees. **[Exhibit G]**
- b. Confirm JoAnn Taricani, Professor, Music History, as 2016-17, Faculty Legislative Representative, and George Sandison, Professor, Radiation Oncology, as 2016-17, Deputy Faculty Legislative Representative, for terms beginning August 1, 2016 and ending July 31, 2017.

The consent agenda was approved.

8. Announcements.

There were no announcements.

9. Unfinished Business.

There was no unfinished business.

10. Invited Guest: Chadwick Allen, Associate Vice Provost for Faculty Advancement – Overview of Faculty Advancement. **[Exhibit H]**

Allen described his past experience and focus on increasing the diversity of faculty before speaking to his report in Exhibit H. He described current activities on developing online toolkit materials for search

committees with the goal of re-imagining hiring and retention as long term and connected processes. He also mentioned the Provost's fund to enhance diversity recruitment offers and how it has contributed to new hires this year. He pointed senators to a searchable site, HERC, for coordination of hiring across Washington. He also has a fund to assist with career advancement of faculty. He provided some examples of efforts his office is supporting. More information is available on his website. He was asked about efforts to promote advancement for lecturers, and to reinforce the Faculty Code requirement for annual reviews of faculty by chairs. The perception that Seattle is an unfriendly climate for diverse individuals was raised and Chad was asked for ideas to address this. He responded that units when they are recruiting faculty need to first focus on examining their climate. Beauchamp provided some examples used in his department to address a lack of gender and racial diversity in his field. Chapman urged putting more resources into diversity efforts. Baldasty commented on new permanent funds directed towards this effort in this past year. A student spoke to the need to get faculty involved in changing the culture.

#### 11. New Business.

##### a. Class C Resolution

Faculty Council on Multicultural Affairs & Faculty Council on Women in Academia. **[Exhibit I]**

Title: Resolution on Living Wages at University of Washington.

**Action:** Approve for distribution to faculty.

Michelle Shaffer, from FCMA/FCWA, spoke to the Class C resolution on living wage at UW. Minorities and women are overrepresented in, and bear the burden of, low wage jobs. She urged that the attention that has been focused on the faculty salary policy be extended to low wage staff as well. She introduced Salvador Castillo, a custodian at UW for 22 years. Salvador has seen a significant drop in the number of custodians, but an increase in the number of buildings. Students pay a high tuition, but the custodial department does not have enough funds to provide the best service for students. He also discussed the lack of adequate training to work in specialized areas such as health science labs and problems of harassment.

Discussion followed. Katz offered an amendment saying the university would comply with the cost of living increases in the Seattle city ordinance. Dominic Muhren supported the amendment as it is important to allow all employees to live in the City of Seattle. Chapman said that this is a moral issue and we have to work harder for the most vulnerable people and offered an amendment. The motion passed as amended.

##### b. Class A Legislation – Second Consideration. **[Exhibit J]**

Title: Proposed amendment to Section 22-43, Eligibility for Election to the Senate.

**Action:** Conduct final review of legislation to submit to the faculty for approval or rejection.

Chair Beauchamp discussed the process for approving legislation on second consideration. There were no changes suggested by the SEC based on reviews by the President or the Advisory Committee on Faculty Code and Regulations and the legislation was approved by the Senate Executive Committee at its last meeting.

There was no discussion. The legislation was approved to be sent to the faculty for vote.

##### c. Class A legislation – First Consideration. **[Exhibit K]**

Title: Proposed amendments to the Faculty Code regarding faculty salary policy.

**Action:** Conduct first review of legislation to submit to the faculty for approval or rejection.

A motion was made and seconded to go into recess for an informal discussion of the proposed legislation on the faculty salary policy. After discussion the motion failed.

Gordon Watts, Chair of the Faculty Council on Faculty Affairs, summarized the changes that had been made to the Class A legislation since it was voted down on second consideration at the March 3, 2016, Faculty Senate meeting.

Interim Provost Baldasty read a letter from President Cauce. **[Exhibit L]**

Marcia Killien, Secretary of the Faculty, presented data from a survey **[Exhibit M]** of Elected Faculty Council Chairs about how they believe faculty in their units perceive the proposed legislation.

A brief discussion followed. Gail Stygall asked how did the EFC Chairs arrived at their survey responses. Killien said we do not know the basis for the EFC responses; some sought input from their faculty and others may have just provided their own opinions of their faculty views. Aaron Katz suggested that the data seems manipulative. Janelle Taylor and Susan Astley urged sending the Class A for a faculty vote without further discussion. Several senators indicated they planned to submit amendments. However, the question was called and the motion passed.

The motion to approve the Class A legislation passed.

d. Class C Resolution. **[Exhibit N]**

Title: Resolution concerning an alternative salary policy proposal.

**Action:** Approve for distribution to faculty.

O'Neil spoke briefly to the reason for submitting the Class C resolution as an alternative approach to the faculty salary proposal. A motion was made to postpone the resolution to the next meeting. Motion passed.

12. Good of the Order.

There was no good of the order.

13. Adjournment.

The meeting adjourned at 5:12pm.

Prepared by:   
Marcia Killien  
Secretary of the Faculty

Approved by:   
Norm Beauchamp, Chair  
Faculty Senate

*We may encounter many defeats but we must not be defeated.*

*Maya Angelou*

Report of the Faculty Senate Chair  
Norm Beauchamp, Professor, Radiology

Dear friends,

I continue to be inspired by the commitment to volunteerism expressed by so many faculty. The dedicated efforts by all of our committees in enabling us to face our challenges head on. I could not be more optimistic about the future of the university; resultant from the willingness of the faculty to dedicate so much effort and the organizational commitment to shared governance.

Great effort continues to be focused on a salary policy that meets the diverse needs of our university. I had the privilege of sitting with Gordon Watts, Jack Lee and Paul Hopkins as they diligently worked to make the sought after revisions in the class a legislation for the salary policy. The level of effort and thinking was inspiring. I was also delighted to see how quickly the President's office provided their input. I could not hope for more partnering.

Importantly, a class c resolution that proposes an alternative approach to a salary policy is being introduced. Led by immediate past chair of the senate, Kate O'Neill, the stated goal is to provide a less complex approach to meeting the needs of the faculty.

I compliment Kate for acting on her concerns on behalf of the faculty. Whereas this will add complexity to our discussions, an alternate policy proposal will enable us to be even more thoughtful in our consideration of the class a legislation. Senator considerations should include:

- Is the Class A too complex or exactly what we need to meet the diverse goals and challenges across academic units?
- Would the Class C resolution, if put into code, be equivalently complex?
- What are the financial and faculty time costs of the approaches? Are the costs justified?
- Are the mechanisms for opting in vs opting out adequate to insure faculty voice in resource allocation?
- Consider how the Class C and the Class A resemble and differ from our current salary policy. Use this to frame likely effective and complexity and cost.

On behalf of the faculty we serve, I look forward to a rich discussion.

We will also consider a class c resolution on minimum wage. It calls out the need to respond to the imperative to provide a living wage. It is an imperative that a university committed to equity and meeting the needs of the underserved need to respond to. I celebrate the efforts of FCMA and FCWA and the deliberative thoughtful response we have seen from our President. The resolution joins the President in emphasizing the importance of actions taken by UW and identifies additional steps that will further our efforts.

I am proud of the continued focus of the faculty and administration on those with greatest need and in maintaining the commitment to access and excellence.

Report of the Secretary of the Faculty  
Marcia Killien, Professor, Family and Child Nursing

1. Vice Chair Election for 2016-17. I am pleased to announce that Thaïsa Way, Associate Professor in the College of Built Environments, has been elected as the Faculty Senate Vice Chair for the 2016-17 academic year. Professor Way will go on to serve as the Faculty Senate Chair for the 2017-18 year and the Chair of the Senate Committee on Planning and Budgeting for the 2018-19 year. Her term will begin August 1, 2016. Please join me in congratulating Professor Way.
2. Result of Class A Vote on Conflict of Interest. Class A legislation 137, conflict of interest, was sent to the faculty for a vote on March 4, 2016, and voting ended March 25, 2016. 85% of faculty who voted approved the legislation. The President approved the legislation on 3/30/16.
3. Interest in Serving on Faculty Councils. Nominations are being accepted for appointments to university faculty committees and councils for the academic year 2016-17. If you are interested in serving on a faculty council, or would like to nominate a colleague, please contact me at [secfac@uw.edu](mailto:secfac@uw.edu).

Report of the Chair of the Senate Committee on Planning and Budgeting  
Kate O'Neill, Professor, Law

*The Senate Committee on Planning and Budget meets weekly with the Provost, the Vice-Provost for Planning and Budget, and the head of the Board of Deans. SCPB is charged with consulting on all matters relating to the University budget and on a wide range of program and policy decisions.*

Since our last SCPB meeting, the state legislature passed a supplemental budget. OPB reports that “[t]he capital budget contained no changes for the University of Washington, but the operating budget included additional tuition reduction backfill, a few targeted investments, and new costs that the UW must bear.” The budget is here:

[http://opb.washington.edu/sites/default/files/opb/Policy/Supp\\_Budget\\_Compromise\\_2016.pdf](http://opb.washington.edu/sites/default/files/opb/Policy/Supp_Budget_Compromise_2016.pdf).

We will, of course, be working with OPB and the Interim Provost on the implications for the next year.

In addition, SCPB will be devoting spring quarter to planning and budget requests for the next biennium and beyond. The interim Provost has requested unit heads to submit requests for state operating funding as we move into consultations about the UW’s budget submission to the Office of Financial Management. We will be looking at those, with an eye on the next biennium, and on setting strategic priorities for funding for the next several biennia.

The SEC should be aware that SCPB is actively considering its role and agendas going forward. SCPB was constituted before implementation of ABB. As a result, many planning and budgeting decisions are made at the unit level. We think that SCPB needs to interact more effectively with units about long-term strategic goals, including interdisciplinary initiatives – and we have so advised OPB and the interim Provost. We also are trying to set agendas so that we spend less meeting time receiving information through presentations and spend more time engaged in discussions about key choices that various unit heads must make.

SCPB is monitoring the ongoing budget decisions concerning UW Transportation Services and, in particular, the rates for U-Pass and parking. Director Josh Kavanagh gave the Committee a thorough brief on a significant deficit facing Transportation Services, due in part to unplanned for Seattle parking taxes. Transportation Services is working with OPB and the Provost’s office on solutions. SCPB is aware that difficult choices must be made; we are monitoring the process and will report back.

On March 28, the SCPB voted unanimously to treat two RCEPs as “limited” and to forward them to the Provost. The College of Arts and Sciences proposed to eliminate the Evening Degree Program and the BFA program in Digital Arts and Experimental Media (DXArts). SCPB determined that potentially affected students and faculty, as well as the Elected Faculty Council, had been consulted. There is no effect on tenured or untenured faculty. Both programs faced declining enrollments; the involved faculty felt that the curricula were not ideal; and the programs were not financially sustainable. The BFA program has no remaining students; many of the courses will remain available to undergraduates, including the possibility of a minor in DXArts. The Evening Degree program has not been admitting new students for several years; it has fewer than 30 students. The program will support them for a reasonable period toward completion of their degrees. The college has determined that the Interdisciplinary Social Science degree program provides access to a quality curriculum for time- or place-bound students once served by the ED program.

Bruce Balick reported on behalf of the Learning Spaces Governance Committee that a significant change is coming in about two years in how classrooms are scheduled. There are a significant number of courses each year that cannot be accommodated. To increase students’ access to courses and to make more efficient use of our existing space in Seattle, the committee recommends implementation, after a two-year phase in, of a “forced distribution model that will result in sections being evenly spread out across a ten-hour instructional day (8:30 a.m. – 6:20 p.m. M-F),” block scheduling during prime hours (9:30 – 2:20); adoption of best practices to enable departments to identify conflicts and reduce them collaboratively; and schedule large classes annually and post course schedules three weeks before student registration opens. SCPB faculty recommended that the committee focus attention on providing course schedules to departments even earlier so that conflicts could be identified and resolved. It was

also suggested that a metric be developed to assess whether the scheduling system not only reduced the need for more classroom spaces, but resulted in improved student access to required courses in a major and to graduation times. The final report reflecting SCPB recommendations is at: <http://www.washington.edu/faculty/files/2014/07/classroom-space-final-report.pdf>.

We received a report on enrollment management, tuition and financial aid, from Associate Vice Provost Philip Ballinger, and Assistant Vice Provost Kay Lewis – and a copy of a report from the Enrollment Management Advisory Committee. The gist of the latter report is a recommendation to stabilize undergraduate enrollment on the Seattle campus. The report also recommends that the UW develop a metric that would allow correlation of enrollment numbers with degree production outcomes over time. Now that SCPB has the state budget, we will be revisiting the issue of what policies should govern allocation of financial aid. We will also be looking at enrollment management policy at UW Tacoma and UW Bothell later in spring.

Report of the Faculty Legislative Representative  
JoAnn Taricani, Associate Professor and Chair, Music History Program  
[olympia@uw.edu](mailto:olympia@uw.edu)

The special session and the 2016 legislative session ended late on Tuesday evening, March 29, 2016. At the end of this message are the overall numbers showing increases in state support within the current biennium, and in comparison to past biennia. We do need to thank President Cauce for her ongoing effective outreach to legislators and to thank the Director of State Relations, Genesee Adkins, for her relentless zeal in tracking and improving the constant stream of budget and policy issues.

The House and Senate have sent a supplemental operating budget to the Governor that increases the 2015-17 state operating budget by \$191 million, over 10% of which provides increases for higher education, particularly in the form of the tuition backfill that was our top priority for funding, and also in the form of increased funding for student financial aid. The most significant budget items are:

\$3.513 million in tuition "backfill" funding for the UW, to replace unaccounted-for 2015-17 lost tuition dollars of extra resident undergraduates who enrolled in Autumn 2015 ("lost" because those extra students have a tuition reduction, which the state had agreed to backfill). Aside from the dollar amount, it is an important statement of principle that the Legislature is funding the tuition reduction program that it pledged to fund in the 2015 session.

\$18 million has been shifted statewide to the State Need Grant to address some of the unmet need of eligible students; because the UW internally funds the unmet State Need Grant amount for eligible students, some of this funding will reduce the financial burden of the UW. I will follow up on how this is apportioned across institutions; that has not yet been determined.

\$6 million of new funding has been provided statewide for opportunity expansion program designed to directly increase the number of baccalaureate degrees produced in high demand fields; for details on this program, see <http://app.leg.wa.gov/rcw/default.aspx?cite=28B.145.060>

\$50,000 over the biennium is added to fully fund the Mental Health Task Force, convened at the UW, focusing on mental health and suicide prevention in higher education, created by statute in the 2015 session: <http://apps.leg.wa.gov/billinfo/summary.aspx?bill=1138&year=2015>

\$36,000 was added to provide full biennial funding for expanding patient access to health services through telemedicine and establishing a collaborative for the advancement of telemedicine, a policy enacted in 2015: <http://apps.leg.wa.gov/billinfo/summary.aspx?bill=6519&year=2015>

The Governor had vetoed 27 bills, and all of those vetoes were overridden by a two-thirds vote of both the House and Senate, so those bills have become law. Several address specific higher education issues, such as SB 6601, creating a new college savings program for future students; SB 6354, allowing reverse transfer of credits from a four-year to a two-year institution; SB6466/HB2825, dealing with services for students with disabilities.

The Legislature retained full funding for medical education in the WWAMI program in Spokane (the February Senate budget had proposed to reduce the WWAMI funding by \$1.2 million).

A new charge to the UW, other public universities, and various state agencies is an obligation to fund some of the central services of the Office of Financial Management. While this is new to higher education, other state agencies have been providing contributions to pay for these services in the past. The charge to the UW for the biennium will be \$2 million.

Numbers regarding the overall budget, showing the increases from the past biennium and over the original 2015-17 budget:

Previous biennial 2013-15 state budget, carryforward: \$518,962,000

Original biennial 2015-17 state budget, enacted July 2015: \$619,572,000  
\*(includes \$44,071,000 of tuition backfill)

Final supplemental budget, to be enacted April 2016: \$625,276,000  
\*(includes \$47,584,000 of tuition backfill)

Below is a list of the increases in the annual state appropriation over the past six years; the large increases in the past four years are the result of restoring the cuts made in the recession, while holding tuition steady or reducing tuition. So, these are not total UW budget increases, but the state appropriation increases, shifting the cost for resident undergraduates back to the state budget:

2016-17: --- \$332,343,000

2015-16: --- \$292,933,000

2014-15: --- \$246,471,000

2013-14: --- \$254,000,000

2012-13: --- \$209,000,000

2011-12: --- \$212,000,000



# FINANCIAL FRAUD & ETHICS HOTLINE



A 24-hour, anonymous resource for reporting possible violations of the State Ethics Act, financial fraud, theft or embezzlement of university resources.

## OVERVIEW

- Administered through an independent company, the Hotline is available 24/7, 365 days a year.
- Any member of the UW community can, and should report any known or suspected misconduct anonymously through the Hotline.
- Reports can be submitted online or via the toll-free phone line.
- It is not necessary to know the exact law or regulation, or be certain a violation has occurred, or

will occur. The best course of action is to file a report.

- All reports are referred to UW Internal Audit who will perform a complete and thorough investigation.

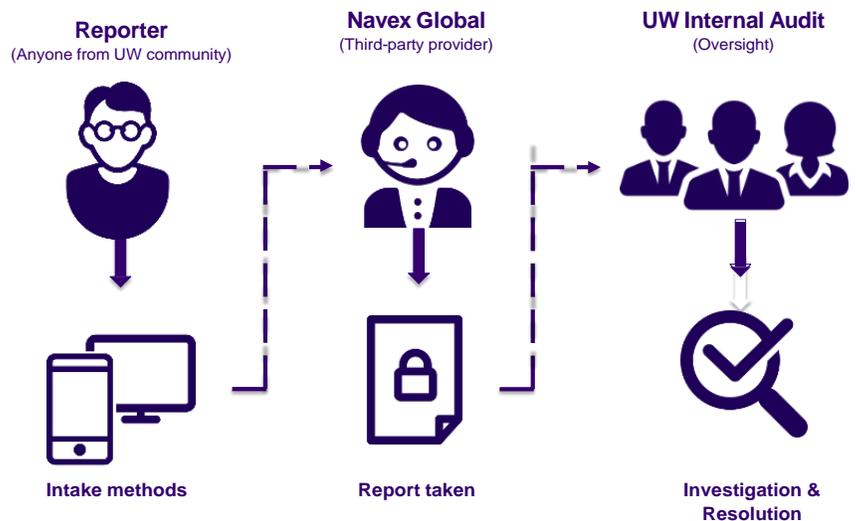
## CONTACT INFORMATION

### Hotline



UW Internal Audit  
206-543-4028  
iaudit@u.washington.edu  
www.f2.washington.edu/audit

## HOW DOES IT WORK?



## COMMON REPORTABLE OFFENSES

### Accounting or audit matters including:

- Embezzlement;
- Misappropriation of University funds or property;
- Authorizing or receiving compensation or reimbursement for goods not received, services not performed, or hours not worked;
- Misstatement of revenues, expenses or assets;
- Wrongful transactions;
- Falsification of contracts, reports or records;
- Mishandling of donor funds.

### Ethics and improper activities such as:

- Giving or receiving gifts, or supplemental compensation;
- Conflicts of interest;
- Personal interest in a public contract;
- Nepotism;
- Contract or supplier selection based on personal gain;
- Unauthorized use of university resources and technologies for personal gain.

To: The Senate Executive Committee

From: Kate O'Neill, Chair, Senate Committee on Planning and Budgeting  
Professor of Law

Date: March 30, 2016

Re: A Motion to constitute a new committee structure for reviewing revising, and reporting on UW Intellectual Property policies and management

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**Motion:** That the Senate Executive Committee take the following actions:

1. Terminate the Special Committee on Intellectual Property and Commercialization (SCIPC), effective on the date that the President terminates the Intellectual Property Management Advisory Committee (IPMAC);
2. Authorize formation of and participation of faculty members in a new advisory committee, to take effect when SCIPC and IPMAC are terminated. A suggested name is Advisory Committee on Intellectual Property Policy and Practice: ACIPPP! The new committee will have the following characteristics:
  - A. The committee will have dual reporting obligations to the SEC and to the President;
  - B. The SEC and the President may each appoint up to six voting members; the Graduate and Professional Students may appoint one voting member; the Provost may appoint an ex-officio member to advise on budget issues.
  - C. The SEC may appoint up to six faculty members. The Chair of the Senate will nominate faculty members based on their expertise or significant experience regarding intellectual property policy, management, or commercialization, including previous service on IPMAC or SCIPC, and their willingness to serve. The Chair and SEC shall make every effort to ensure that faculty appointees represent diverse disciplines with diverse interests and needs regarding IP policy, management, and commercialization. To the extent possible, faculty members should represent the following disciplines or units:
    - i. Health Sciences
    - ii. Engineering
    - iii. Social Sciences
    - iv. Humanities
    - v. Law
    - vi. Business
  - D. The President may appoint up to six members to represent administrative or academic units, such as:
    - i. The Office of Research;
    - ii. Educational Outreach;
    - iii. CoMotion;
    - iv. UW Libraries
    - v. Health Sciences/School of Medicine
  - E. The University of Washington Division of the Attorney General's Office will serve as the committee's legal counsel.
  - F. Except for the GPSS member, voting members' appointment terms will be three years and are renewable. GPSS may appoint a member for a term up to three years in length.
  - G. The President and the Chair of the Faculty Senate will consult and jointly appoint the chair of the committee. The chair's term will be one year and is renewable.

- H. The Senate leadership will work with the Provost to secure support staff for the committee, comparable to what has been provided to IPMAC.
3. Authorize the Chair, Vice Chair, and Chair of the Senate Committee on Planning and Budgeting to consult with the President, and with the current members of SCIPC and IPMAC, among others, on the elements of and deadlines for the charge to the new committee. We anticipate that the charge should be developed no later than June 15, 2016, and may include elements such as the following.
    - A. A recommendation, after consultation with the Open Access Task Force, regarding an "Open Access" policy for faculty research;
    - B. A recommendation of policies and practices designed to lower the cost of textbooks for UW students and other course materials;
    - C. A recommendation for policies and management of faculty, staff, student, and university intellectual property rights involved in on-line courses, on-line programs, and third-party on-line learning management systems;
    - D. A recommendation for policies and practices for managing intellectual property interests generated during collaborations between or among UW faculty members, staff, and students;
    - E. A recommendation for policies and practices for managing faculty, staff, student, and university intellectual property rights generated during or as a result of partnerships between the University and other entities, including private for-profit and non-profit entities and academic institutions;
    - F. A review of, and recommendations for, policies and practices governing mandatory licensing or assignment agreements required by the UW as a condition for granting permission for outside work by faculty, staff, or students;
    - G. A tri-campus assessment of ongoing or emerging needs, opportunities, or impediments to efficient and equitable management of intellectual property generated by UW faculty, staff, and students, and their external partners;
    - H. A comprehensive review of and proposed revisions, as necessary, to Executive Order 36 – deadline TBD.
    - I. Recommendations of a plan and method for educating faculty, staff, and students about their intellectual property rights, responsibilities, and opportunities on an ongoing basis.

**Rationale:**

I have consulted with the members of SCIPC, IPMAC, the faculty senate leadership, and the President's office concerning the desirability of establishing a joint faculty/administrative committee on intellectual property policy and management that has a refreshed charge and dual reporting obligations to the SEC and to the President. All have agreed that this is a good idea.

Novel intellectual property issues crop up regularly at the UW. Our basic IP policies, which were set forty to fifty years ago by EO 36, do not necessarily cover every issue, nor do our practices necessarily promote the UW's collective mission as effectively and transparently as we might hope. We are all aware of technological changes that affect both research and teaching methods and materials, many of which require faculty, staff and students to contract about and manage patents, copyrights, and trademarks in keeping with public law, university rules, and the requirements of external partners and funding sources. We are aware of increasing numbers of inter-disciplinary and collaborative research agendas. We are also aware of new funding and revenue-generating models, including partnerships with private and foreign entities, such as those involved with the Global Innovation Exchange.

Now is a good time to energize a renewed, joint, SEC and administrative focus on intellectual property rights and management. The goals of a joint effort should be to:

- Provide greater and faster public access to UW research through broader, easier open access depository and ultimately R1 depository consortia

- Join with other R1 universities in a long-term effort to reduce monopolistic publisher pricing effects on library collections cost
  - By encouraging open access policies for research and for teaching materials, and
  - By gradually reducing private publisher influence over peer review and P&T criteria
- Encourage use of lower cost teaching materials, if needed quality is available
- Encourage best practices for on-line teaching materials and programs
- Be a leader in open access policies; recognize the inroads the internet has made on traditional IP practices; acknowledge open access policies of public and major private, non-profit grantors
- Identify best business/licensing practices for private/public partnerships
- Encourage intra-UW research and teaching collaborations by providing transparent templates, adaptable to multi-disciplines
- Educate faculty about what can be done; increase transparency, and efficiency
- Recognize the implications of the shift from C4C to CoMotion
- Create policies and practices that support a culture of trust, fairness, and mutual advantage for the UW, faculty and graduate students, the business, non-profit and philanthropic communities
- Update policies to comply with changed laws in certain areas.

Why is a joint SEC/administration committee with a refreshed charge desirable now?

IPMAC has worked long and hard, first to advise prior Presidents on IP policy and commercialization, and more recently to conduct a thorough review of Executive Order 36 and to engage in university-wide dialogues about emerging issues and needs. However, no formal proposals have emerged from that body recently. Meanwhile changes that involve significant IP interests and issues continue apace. Other IP-related initiatives – such as the Open Access Task Force – were prompted by a Senate Resolution. ASUW and the state legislature are interested in lowering the costs of textbooks. C4C has been reconfigured as CoMotion with a significantly different mission and funding model. A significant new partnership – GIX – has been launched.

From a faculty perspective, it was problematic that IPMAC did not report to a faculty body. SCIPC was constituted several years ago in reaction to the perception that IP issues were not necessarily handled transparently or in a manner consistent with the UW's public mission or the faculty's best interests. Even though IPMAC's recent leadership has tried valiantly to operate openly, the effect of having two bodies reviewing IP policies and practices has not been particularly efficient. IPMAC feels it must consult SCIPC; SCIPC has not developed its own agenda so much as waited for IPMAC or the administration to propose changes. To be fair, the process has been slow, not through the fault of either committee, but simply because the issues are numerous and sometimes very complex.

A joint committee could at least be more efficient. A committee with dual reporting obligations makes it more likely that the SEC will learn of important administrative initiatives that involve IP and that the administration will hear of faculty interests and concerns earlier. Now, with a (relatively new) administration, this may also be a time when a freshly charged committee can address the many and novel IP issues with a collaborative spirit and renewed energy. It is an open issue whether the committee should begin by attempting comprehensive review and revision of UW IP policies or whether it might begin by addressing specific, contemporary issues and then build toward a comprehensive review and revision of EO 36, for example. It may also be the case that the new committee should focus less on traditional IP ownership and licensing of patents in the context of tech transfer, and more on developing and disseminating best practices that serve the UW's contemporary mission and strategies across the board.

In any event, my goal in recommending a joint committee is to commit both the faculty and the administration to managing inevitable, novel IP issues by creating a shared governance body that can hold institutional memory, develop relevant expertise, review existing policies and practices, and advise on emerging issues relatively quickly and transparently.

**Proposal**

- Create a fresh body – an advisory committee with dual reporting obligations to Senate and President. (Model is Advisory Committee on Intercollegiate Athletics).
- Reconstitute a smaller membership (than the sum of both SCIPC and IPMAC) based on relevant knowledge, experience and expertise; attend to disciplinary diversity; ensure help from law and business, as needed, but perhaps not lead with legal considerations; consider providing graduate student researchers and staff with voice.
- Use and disseminate, as appropriate, data and analysis already done by IPMAC, SCIPC, OR, and C4C to new committee.
- Charge deans and EFCs with gathering data on discipline-specific needs and reporting to advisory committee. (Information in.)
- Consider a fresh charge to the new committee.
- Consider charging committee to tackle particular issues rather than a global reform of IP policy across UW.
- Focus first on recommending best practices to accomplish goals rather than on allocation of IP ownership.
- Revision of EO 36 would be an outcome, not initial focus.
- Foster intellectual engagement about these issues – e.g. invite prominent speakers; encourage a symposium or two. (Information out.)
- Set firm deadlines for accomplishing certain tasks.
- Provost provides staff support.

**2015-2016 Appointments to University and Senate Committees****Faculty Council on Academic Standards (Meets Fridays at 1:30)**

- Mark Johnson, ROTC, as a member for a term effective immediately and ending September 16<sup>th</sup>, 2019.
- Roy Taylor, ASUW, as an ex-officio member with vote for a term beginning September 16<sup>th</sup>, 2015 and ending September 16<sup>th</sup>, 2016.

**Faculty Council on Benefits and Retirement (Meets Mondays at 2:30)**

- Anuv Vaghul, ASUW, as an ex-officio member with vote for a term beginning effective immediately and ending September 16<sup>th</sup>, 2016

**Faculty Council on University Facilities and Services (Meets Thursdays at 10:00)**

- Lucas Gordon, ASUW, as an ex-officio member with vote for a term beginning effective immediately and ending September 16<sup>th</sup>, 2016

**Faculty Council on Faculty Affairs (Meets Tuesdays at 11:00)**

- Sigifredo Mora, PSO, as an ex-officio member without vote for a term beginning effective immediately and ending September 16<sup>th</sup>, 2016

**Faculty Council on Multicultural Affairs (Meets Mondays at 12:30)**

- Adaurennaya Onyewuenyi, GPSS, as an ex-officio member with vote for a term beginning effective immediately and ending September 16<sup>th</sup>, 2016

**Faculty Council on Research (Meets Wednesdays at 9:00)**

- Roy Taylor, ASUW, as an ex-officio member without vote for a term beginning effective immediately and ending September 16<sup>th</sup>, 2016

**Faculty Council on Student Affairs (Meets Tuesdays at 1:30)**

- Zynia Chapman, ASUWB, as an ex-officio member with vote for a term beginning effective immediately and ending September 16<sup>th</sup>, 2016

**Faculty Council on Teaching and Learning (Meets Thursdays at 10:30)**

- Lucas Gordon, ASUW, as an ex-officio member with vote for a term beginning effective immediately and ending September 16<sup>th</sup>, 2016

**Faculty Council on University Libraries (Meets Wednesdays at 2:30)**

- Anuv Vaghul, ASUW, as an ex-officio member with vote for a term beginning effective immediately and ending September 16<sup>th</sup>, 2016



## Programs

### Best Practices for Faculty Searches

- Concise Handbook divided into six steps of the search process
- Expansive Toolkit of sample materials and additional resources

### Faculty Recruitment Initiative

Office of the Provost-allocated funds administered by the Office for Faculty Advancement

- Enrich recruitment offers made to junior and senior faculty
  - Research, teaching, mentoring, and/or service interests focus on expanding traditional disciplinary boundaries
- Support requests should be directed to Associate Vice Provost

### Greater Washington State Higher Education Recruitment Consortium (GWS HERC)

- Online job boards for jobseekers
- 16 regional member organizations (700 + national member organizations)
- Personalized dual-career job search engine
  - Jobs at institutions within a commutable distance

### Faculty Advancement Initiative

- Collaborations to advance the careers of faculty
- Collaborations to promote ongoing training in diversity/inclusion and faculty advancement for university leadership

### National Center for Faculty Development and Diversity (NCFDD)

- External mentoring resource for faculty, postdocs, and graduate students
- Access to online courses and moderated monthly writing challenges
  - E.g., grant writing, stress management, strategies for social media
- Webinar curriculum for thriving in academia
  - E.g., quarterly planning, daily writing practices, engaging in healthy conflict
- Faculty Success Program 12-week “boot camp”

### Contact Information

Chadwick Allen, Associate Vice Provost, [callen3@uw.edu](mailto:callen3@uw.edu)

Norma Rodriguez, Director, [normar@uw.edu](mailto:normar@uw.edu)

[www.washington.edu/diversity/avpfa](http://www.washington.edu/diversity/avpfa)

[www.gwsherc.org](http://www.gwsherc.org)

**Resolution on Living Wages at University of Washington,**

WHEREAS, students, staff, and faculty are mutually critical to the University of Washington's endeavors, success, and excellence; and

WHEREAS, it is written in our University of Washington Vision & Values statement, "As a public university we are deeply committed to serving all our citizens;" and

WHEREAS, "As an integral part of a large and diverse community, the University [of Washington] seeks broad representation of and encourages sustained participation in that community by its students, its faculty, and its staff" ([UW Regent Policy No. 5](#)); and

WHEREAS, the growing income and economic gap between rich and poor in the United States of America, Washington state, and the University of Washington undermines our stated mission of equity, access, inclusion, excellence, and discovery; and

WHEREAS, in many American communities, families working in low-wage jobs make insufficient income to live locally given the local cost of living; and

WHEREAS, in a number of high-cost communities, community organizers and citizens have successfully argued that the prevailing wage offered by the public sector and key businesses should reflect a wage rate required to meet minimum standards of living; and

WHEREAS, establishing a living wage, an approximate income needed to meet a family's basic needs, would enable the lowest paid workers at UW to achieve financial independence while maintaining housing and food security; and

WHEREAS, the City of Seattle has passed landmark legislation to raise minimum wage to \$15/hour; and

WHEREAS, the faculty recognizes the administration's efforts to address this legislation by raising minimum wage for staff and students, with the exception of University of Washington Tacoma students, to \$13 per hour January 1, 2016 and \$15 per hour beginning January 1, 2017.

BE IT RESOLVED, that the faculty calls on the University of Washington administration to follow the City of Seattle's minimum wage schedule for ALL workers on ALL campuses and make an official announcement of this intention immediately; and

BE IT FURTHER RESOLVED, that the University of Washington administration honor all workers at UW campuses and facilities by responding not only to relevant city and state minimum wage labor legislation, but go beyond the letter of law to address the spirit of the law by following established means (e.g. MIT Living Wage Calculator\*) to develop an ongoing salary policy guaranteeing living wages to all UW employees; and

BE IT FURTHER RESOLVED, that the University of Washington will ensure that the advisory committee on minimum wage:

1. comprise appropriate stakeholders including faculty, student, and staff representation from all campuses;
2. address in an ongoing manner wage compression and serious recruitment and retention challenges in this critical labor category; and
3. continue to educate and inform faculty on the value of both student and staff support and the need and costs of living wages.

\* <http://livingwage.mit.edu/counties/53033>

*Approved by:*  
Senate Executive Committee  
April 4, 2016

*Approved by:*  
Faculty Senate  
April 21, 2016

**Section 22-43 Eligibility for Election to the Senate**

- A. Voting members of the faculty are eligible for election to the Senate. A faculty member's eligibility under this section is determined by the status to be held at the beginning of the Senate term, should she or he be elected.
- B. A faculty member may be elected to an unlimited number of terms, except that a faculty member who has been elected to ~~two~~ three consecutive terms shall not be eligible for election to the next term.

**Rationale:** The goal of this proposal is to benefit from the institutional memory provided by senators who serve more than 2 consecutive two-year terms (4 consecutive years) while maintaining a reasonable influx of new members.

When the senate was restructured with 100 members eligible to serve two consecutive 2-year terms, we could count on having at least 25 new senators each year. Since then, the senate has grown to include more than 120 senators, so even in the extreme (and extremely unlikely) case where every senator serves 3 consecutive 2-year terms, we could benefit from the experience of some longer-serving senators while still ensuring the presence of at least 20 new senators every year.

*Submitted by:*

Duane Storti, Senator  
College of Engineering  
February 22, 2016

*Approved by:*

Senate Executive Committee  
February 22, 2016

*Approved by:*

Faculty Senate  
March 3, 2016

*Approved by:*

Senate Executive Committee  
April 4, 2016

*Approved by:*

Faculty Senate  
April 21, 2016

Class A Legislation proposing amendments to the Faculty Code regarding the faculty salary policy is under separate cover as Exhibit K.

I'm sorry I'm not there with you today, I'm in route to University of Delaware to be the keynote speaker at one of my mentor's retirement events; could not say no, and, like everybody else, had assumed faculty salary policy would have been out of senate. But, glad we're taking the time to think through with the time deserved.

I want to commend everyone for the continuing good work on the faculty salary policy. I know it seems like a long time, but we are talking about changing one of the most fundamental aspects of our working conditions and about making a change not just for the next few years, but for the foreseeable future. And, it won't be easy to alter for folks using tiers because key raises there happen over a cycle of several years; it's not easily started and stopped. Getting it right is what's important.

Though it seems long, we've had relatively little time to analyze the changes given the length of the first proposal and newness of the second. Even a word or two different can have a material effect. Assuming a reasonable level of support from faculty, I can support either proposal, with any caveats similar to those expressed before. I continue to think that there are two major changes that would make our salary policy better:

- 1) a clear path for merit based raises following a serious review post-promotion to Professor (or its equivalent for lecturers, the Principal lecturer status) and preferably starting after promotion to Associate Professor.
- 2) relatedly, a clear mechanism for merit based raises that do not require outside offers.

I trust that faculty, through the representative structures in their department, schools, or colleges will use such mechanisms appropriately to better reward meritorious continuing faculty, balancing the need for raises with that of hiring needs. I am pleased that both proposals will have both mechanisms.

In addition, I think it is crucial that our faculty salary policy have enough flexibility to allow schools/colleges to adapt the policy to work with their cultures and norms of their professions and their financial situations. Both policies offer flexibility in terms of the former, although getting there is more cumbersome in the first and adding in that flexibility is part of why the policy is so long creating lots of opportunities for misunderstanding and misinterpretation. (Having a policy manual to accompany the policy, which will be a top priority for me if it passes). I'm less convinced that's the case in terms of the latter. The analyses done were across the university and campuses and schools/colleges vary considerably in their financial streams. Both UW-Bothell and UW-Tacoma (not just Chancellors, but also faculty, are extremely concerned about how this will affect them, and I don't think those fears are unreasonable).

In this sense, I continue to have concerns about the first proposal, although I'm prepared to accept it, with appropriate executive orders if passed. As I already alluded to, the complexity and sheer verbosity of it makes it next to impossible for people to understand. I've needed lawyers to help me understand it. It also opens us up to adjudications and litigation due to possibility for different interpretations.

A series of customization options were created in the policy as a result of objections from various schools and colleges. Each time an objection was raised, a new "off-ramp" or customization option was introduced adding yet another paragraph, two, or three to an already long document - making it much harder for faculty to know what they are actually apt to get, at least at the moment they are voting. Worse yet, in a superficial read it appears that people will get tiers and that will be the main carrier of merit. Yet, based on what we are hearing, at least some, and possible many, colleges/schools will opt out.

I know that very careful mathematical analyses went into developing the policy and suggesting it will not be more costly. But, while I do think the past is the best predictor of the future – I also think we are at a "disruptive" moment in higher education and society at large, giving me less confidence that this is so. Perhaps I'm overly timid, but I'm certainly not planning my retirement based on the average rate of return average over the last 20 or 40 years. This is exacerbated by the fact that, because we have no income tax, our state budget has typically been more jagged (more ups and downs) than is the case in virtually any other state. This creates special challenges for tier system.

But, I repeat, I AM ready to support it if that's what faculty want, with the appropriate executive orders.

I do find the second option that faculty senate leadership has/is still, working on appealing. It is transparent and straightforward about the fact that there are optional pathways that schools/colleges can

choose, thus more directly empowering not just Deans, but school/college councils. Rather than totally breaking from past policies, it builds upon them, making the transition easier to understand and implement. It has the option of tiers in it, for those schools/ colleges that want to go that route, but doesn't make the presumption that will be the standard route. Indeed, I think it offers the best chance for a systematic tier system to be successful since it will most likely be instituted in schools/colleges/campuses with an enthusiastic Dean and faculty. Starting such a system in this kind of optimal environment allows us to test it out and perhaps work out any kinks before trying it in other places. I'm quite confident that if it works as well as some people believe, and I would be very pleased if it does, other school/colleges and campuses would WANT to move in that direction and there's nothing that would stop us from making it a university-wide policy, without the opt outs, at a later date. In my world, that's the way in which we implement new interventions and programs – we pilot test them, work out the kinks during the pilot, then move to more universal application.

Now it's all up to our faculty and you, its representatives. Once you vote in a new policy, I look forward to supporting it and to looking even more closely at details of an executive order. I also will work with Deans, Chairs, and faculty to get us to unite around the choice and work on customizations needed so that it optimally suits us all.

Ana Mari Cauce, President  
University of Washington

**SURVEY OF ELECTED FACULTY COUNCIL CHAIRS  
PROPOSED FACULTY SALARY POLICY (CLASS A)**

4/07/16

Dear EFC Chair,

At our lunch meeting earlier this week we had a very rich discussion about the perceptions of and support for the proposed new Faculty Salary Policy (FSP) that is scheduled for Senate vote this quarter. Not all units were represented, so we want to ask everyone to share their perceptions about how the policy is viewed in their units. Please take a moment to complete this survey so that we can more clearly represent your perceptions in discussions with the Senate.

Secretary of the Faculty

<i>The Faculty Senate is considering Class A legislation to change the Faculty Salary Policy (FSP). In your view,</i>	HIGH	MODERATE	LOW	DON'T KNOW
What is the level of understanding of faculty in your unit about the impact of the proposed policy, if passed, on them as individuals?	2	4	11	1
What is the level of understanding of faculty in your unit about the impact of the proposed policy, if passed, on your unit as a whole?	2	5	8	2
If the FSP passes, what are the chances your unit would "opt-out"?	9*	2	1	5
To what extent does the proposed FSP address the needs of the faculty in your unit?	0	6	10	1
To what extent does your dean support the proposed FSP?	1	0	12	4
	<b>COMPRESSION</b>	<b>EQUITY</b>	<b>RECRUITMENT</b>	<b>RETENTION</b>
In your unit, what are the top 2 priorities related to salary? (choose 2)	12	7	9	7

N=17 (100% response)

\*These 9 units represent 67% of the voting faculty.

<p>If the proposed FSP passes, what do you anticipate would be the likely impact on your unit? (n=13; no response = 2)</p>	<p>I think people would welcome one way of addressing the difficult of getting equitable raises. One of the drawbacks is that people don't have much of a sense of how much more work this will take the faculty as a whole to consider merit raises and who would be attending to that. Our (XXX) Committee would be the obvious one but they are always overloaded. Our unit is a unit that does so much service, outside and within the college, so one thing that worries me is the amount of work that faculty will have to do internally.</p>
	<p>Far more work required to conduct annual reviews without any accompanying benefit</p> <p>Increase workload, increase faculty loss to retention</p> <p>Zero - if raises are to be funded internally, the dean has said there would be no monies available to fund the FSP. This is the biggest waste of faculty senate time I could imagine.</p> <p>Increased workload, decreased funds for other priorities</p> <p>Since we will probably opt out, effect will be small</p> <p>Extra workload; not a sustainable practice given the current faculty rank demographics.</p> <p>I think the effect would end up being positive and modest. There's some chance that one or more departments would feel that they can't afford to implement it, which might mean that the entire school backs out. These discussions have NOT been had yet.</p> <p>Minimal impact; we will opt out</p> <p>Honestly, I am not sure. I think there might be massive confusion and then some anger when faculty realize there is no way to implement the policy. We do not have the funds to do so.</p> <p>Fewer faculty hires</p> <p>Moderate satisfaction offset by additional work to implement</p> <p>We would opt out. Minimal impact on actual salaries, probably a big impact on administrative load for Chairs.</p> <p>Not clear. It would depend among other things on how the FSP was implemented.</p> <p>Like all changes there would be a period of adjustment. Our college is very small and departments range from one that is about 50% of college to three that are tiny fractions of College. This means that impacts will be felt differently by each unit. Very small units perhaps being more disrupted than larger units where effects on individuals are smaller percentage of unit budget.</p>

<p>What additional feedback or comments do you have about the proposed FSP?</p>	<p>I appreciate the hard work of faculty senate and others creating system that attempts to respond to the enormous variety of faculty positions, needs and contexts. No system can ever be seen as fair by everyone but your efforts toward this end are much appreciated.</p>
	<p>Please make it an opt-in policy rather than opt out</p> <p>I applaud the faculty senate taking on this issue, but the issue needs to be solved by the President's office. This is an example of the wasted resources to develop a plan that can't be implemented in resource poor schools/units.</p> <p>The lengthy process of finalizing the proposed policy has increased confusion and disinterest; without additional funds to units, it's unclear how it could help overall.</p> <p>This has been going on so long and with so much discussions about possible changes that many appear to have lost interest. More interest is expected and informational meetings will need to be scheduled before a faculty vote.</p> <p>New changes need to be vetted in more detail with faculty input. There is a perception that this is getting rushed (even though it has been worked on for years) with significant "last-minute" changes that are trying to "save" the new policy.</p> <p>Needs to effectively address compression and equity</p> <p>I have scheduled an all-school faculty meeting to discuss the policies now on the table, to follow the next senate meeting.</p> <p>Too rigid; we prefer a more flexible policy to address merit and market issues</p> <p>The FSP is not a viable policy as it is too complex with too many options for variability. It is not a policy for the good of the whole. In fact, I am not sure who it truly serves. We need to start over! I am concerned that Senators do not understand the policy and that they will be voting on something they don't understand. Also, most of our Senators have scheduling conflicts due to teaching and, therefore, cannot be present at Senate meetings for the remainder of the quarter. Ethically, something needs to happen to stop this! Thanks for seeking our input.</p> <p>Developing and implementing the protocols for reviews will be a challenge.</p> <p>What would the impact of a union be on this?</p> <p>Would be helpful to have more analysis and less lobbying for one policy or another - the table sent around was helpful!</p> <p>As discussed at the meeting i think the opt-in variation could be a solid compromise.</p>

**Resolution concerning an alternative salary policy proposal.**

WHEREAS, throughout the long and dedicated efforts of the Salary Policy Task Force and the Faculty Council on Faculty Affairs to develop, negotiate, draft, and revise the elements of the proposed and newly amended faculty salary policy, a general consensus has persisted about the following goals:

The UW must:

- pay its faculty competitively upon hire and throughout a productive career;
- remove inequities in compensation for continuing, productive faculty;
- remedy compression for long-serving, productive faculty,
- motivate continuing productivity for mid- to senior- level faculty,
- limit the incentives for faculty to pursue retention raises and reward loyalty; and
- provide units with more salary policy flexibility, including at the departmental and individual level; and

WHEREAS, for over two years, it has proved difficult to achieve consensus among the faculty and administrators of UW's diverse schools, colleges, and campuses ("units"), about the specific elements of an effective and administrable new faculty salary policy that would achieve the goals above; and

WHEREAS, it has been difficult to draft a new policy that achieves the goals outlined in the attached rationale for all UW faculty in large part because the units have different faculty demographics, different funding models, and different competitive challenges in hiring and retention; and

WHEREAS, in order to garner support from the senators and faculty from these diverse units, the newly amended proposed Class A legislation for a new faculty salary policy permits every unit to adopt local formulas for market adjustment and flexible adjustment raises, and to opt out of tier advancement raises altogether; and

WHEREAS, this local flexibility permits any unit to opt out of the central feature of the new salary policy's design – tier advancement raises for long-serving, meritorious faculty; and

WHEREAS, this local flexibility also permits any unit to adjust the default formulas for market adjustment and flexible adjustment raises; and

WHEREAS, this local ability to adjust the default formula for market adjustment raises may reduce raise predictability for basic merit, and

WHEREAS, local flexibility means that UW faculty in different units may be subject to different timing and criteria for various kinds of merit-based raises, and to different expectations about career salary progressions; and

WHEREAS, the opportunity for local flexibility has the potential to add complexity and reduce transparency about the bases for merit-based raises, given the diversity of formulas and categories that may be adopted; and

WHEREAS, this local flexibility requires administrative procedures and associated costs at the unit level to opt out of the proposed default formulas and tier-advancement review processes, and central and unit administrative procedures and costs to monitor and implement the opt-outs; and

WHEREAS, the proposal makes extensive and complex amendments to the faculty code to transition to and implement the default processes and formulas, including especially the tier advancement processes and raises, while simultaneously requiring other code amendments to permit units to opt out of the default processes and formulas; and

WHEREAS, the proposal is likely to generate significant administrative costs to effect the transition and ongoing administrative costs to monitor implementation of the default policy as well as the opt outs; and

WHEREAS, it appears likely that many units will indeed choose to opt out of the default processes and formulas; and

WHEREAS, the potential of local flexibility in regards to raise formulas and types means that faculty are now asked to approve Class A legislation to approve a new faculty salary policy without having adequate information about how it would apply in their units; therefore

BE IT RESOLVED, that the consensus goals above should be achieved without the numerous, substantial changes to the faculty code proposed by the proposed Class A legislation, presented to the Senate Executive Committee on April 4, 2016, and the new administrative processes and costs associated with those changes; and

BE IT FURTHER RESOLVED, that the faculty senate leadership shall work with the UW administration to present proposed Class A legislation to the Senate Executive Committee for forwarding to the Faculty Senate in time for the SEC's first meeting in Autumn 2016; and

BE IT FURTHER RESOLVED that a duly constituted committee shall consider proposed Class A legislation to implement substantive elements of a faculty salary policy:

#### I. The key elements of an Alternative Salary Policy Proposal

1. **Coverage.** All persons with faculty appointments are covered. Inclusion of Librarians is an administrative option.

2. **Promotion Raises shall be 12%.**

#### 3. Annual Market Adjustment Raises for Meritorious Faculty

3.1. Market Adjustment Raises in any given year shall equal the CPI-U for the previous year, **or 2% of salary, whichever is more**, provided that the Market Adjustment Raises may not exceed 4% of salary. The Provost will determine the percentage each year after consultation with the SCPB.

[There will be an off-ramp, as in existing policy, if matching the rate of inflation for basic merit raises would cause severe financial distress and damage essential UW teaching, research, or administrative missions.]

3.2. The Market Adjustment percentage raise shall be uniform across all units.

[No change from the current salary policy].

3.3. All meritorious faculty shall be eligible for a Market Adjustment Raise. Each faculty member's eligibility for a Market Adjustment Raise shall be based on the most recent regular performance review.

[The processes and criteria for merit determinations are unchanged from the current salary policy.]

#### 4. Additional Merit Raises

4.1 The Provost shall determine the percentage raise for Additional Merit for the succeeding academic year after consultation with the SCPB. The percentage shall be determined based on the maximum amount of funds reasonably available to the University to provide, or make sustained and substantial progress toward providing, competitive salaries to all eligible faculty.

**[This is a change from the current code. I think it would be more appropriate to have this policy stated in an EO.]**

4.2. The percentage raise for Additional Merit shall be distributed uniformly to all units. After consultation with elected faculty councils, deans may distribute different percentage raises to individuals.

[The process for determining “Additional Merit” under the current code is not altered.]

- 4.3. To be eligible for any Additional Merit raise, a faculty member’s performance must have been deemed at least meritorious in the last regular performance review. In determining the degree of Additional Merit and the appropriate percentage raise for individual faculty, units should engage in a holistic review of the faculty member’s cumulative career performance relative to peers, including exemplary teaching or service, or both, in addition to scholarship. 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 outlined below.

[This is not changed from the existing criteria except to make more explicit that teaching and service and diversity goals and efforts count.]

- 4.4. In determining the total amount of funds to be distributed for Additional Merit by a unit, and after consultation with and approval by a vote of the unit’s Elected Faculty Council, a dean may retain a portion of the additional merit pool [not to exceed \_\_\_ % of the pool in any given year?] to fund Unit Adjustment Raises under ¶5 below or Tier Advancements under ¶6 below.

[This is a bit different than the present code. It’s designed to give units flexibility, promote transparency, and also give faculty a say in setting priorities. It’s also designed to encourage units to build up a reserve, at least if there’s any money to do so. Perhaps the Provost should have power to intervene here and order certain deans to withhold a % or to contribute additional funds to enable units to build reserves for these purposes.]

- 4.5. As unit resources allow, after consultation with and approval by a vote of the Elected Faculty Council, a Dean may make additional funds available for Additional Merit raises, Unit Adjustments, or Tier Advancements, in addition to those provided by ¶ 4.4.
- 4.6. In the dean’s annual budget request to the Provost, the dean shall detail the unit’s plan and rationale for funding Raises for Additional Merit, Unit Adjustments, and Tier Advancement Raises, confirm consultation with and vote of the unit’s Elected Faculty Council on the plan, and describe the past year’s actual allocation, if any, under ¶¶4.4 and 4.5 to fund Unit Adjustment raises or Tier Advancement Raises, or both, and explain any deviation from the prior year’s plan. The Senate Committee on Planning and Budgeting shall review and advise the Provost about unit’s annual budget requests.

## 5. Unit Adjustments

- 5.1. To the extent funds are available to a unit, and after consultation with and approval by a vote of the Elected Faculty Council and by the Provost, the dean shall give meritorious individual faculty members, groups of meritorious faculty, or all meritorious faculty in the unit, Unit Adjustment raises for the purpose of removing salary inequities, compression or inversion, or other phenomena that render a salary or salaries uncompetitive or unfair.

[Same as present code, but more explicit that unit adjustments can be used to remedy individual inequities.]

[Unit Adjustments differ from Additional Merit raises because the Provost would not be obligated to authorize the same % to every unit.]

6. **Tier Advancements for Full and Associate Professors (TT, WOT, and Research), Principal and Senior Lecturers, Senior Artist in Residence.**

- 6.1 A faculty member who is initially promoted to, or holds the rank of, Professor, Associate Professor, Principal Lecturer, Senior Lecturer, or Senior Artist in Residence, on or after the date that this policy takes effect, will be assigned to Tier 1 in that appointment title. Lateral hires may be assigned to the tier the unit faculty and dean deem appropriate, subject to approval by President and Regents.

[This is very different from the amended Class A – which has rules for determining initial tiers and when advancement reviews are mandatory.]

- 6.2 Each Professor (TT, WOT and Research), Principal Lecturer and Senior Artist in Residence has the right to be considered for up to three Tier Advancement Raises. Associate Professors and Senior Lecturers have the right to be considered for up to three Tier Advancement Raises. No person may receive a Tier Advancement raise unless at least five years have passed since the effective date of that person's last promotion or tier advancement

[This is a big change from present code and also very different from the proposed Class A legislation. This provides a right and an opt-in by an individual, rather than a mandatory requirement with a unit opt-out. It provides a mechanism by which long-serving faculty can trigger a unique review of their accomplishments and secure a substantial raise.

This right is designed to reduce the incentives to shop for outside offers and thus reduce the use of preemptive, or actual, retention raises. At the same time, it reduces the burden on units to review approximately 25% of continuing faculty every year. Unlike the proposed Class A legislation, tier advancement raises, as described here, are not designed to be the principal mechanism for providing adequate compensation to loyal, meritorious faculty. They are designed to increase the tools and transparency with which a unit may provide competitive salaries to long-serving, very productive faculty.

- 6.3. Eligibility for Tier Advancement Raises – Eligibility for a tier advancement requires an extraordinary record of accomplishment during the period since the last promotion or tier advancement in teaching, research or service, combined with at least meritorious performance in both other categories. An extraordinary record of research requires evidence of significant national recognition, accomplishments that surpass the average of peers in the unit; an extraordinary record of teaching or service requires substantial evidence of significant recognition by the appointing unit. A recommendation for a tier advancement shall be approved by the voting faculty superior in rank of the unit, or in the case of full professors by the voting faculty equal in rank of the unit, by the Elected Faculty Council of the unit, by the Dean, and by the Provost.

[The point here is to give truly meritorious faculty, who due to compression or other factors may not be paid competitively, a right to trigger a review. In addition, this tries to make a tier advancement truly distinct from and more rigorous than the criteria for additional merit. This is a change from the present code and from the Class A proposal.

- 6.4 A faculty member whose tier advancement is approved under ¶ 6.3 is entitled to a tier advancement raise. A tier advancement raise for an Associate Professor, Senior Lecturer, or Senior Artist in Residence equals 8%. A tier advancement raise for a Full Professor or Principal Lecturer equals 10%.
- 6.5. Unit faculty may adopt by-laws requiring periodic reviews of faculty every five years up to without regard to whether the faculty member wishes to apply for a tier advancement.

[This is designed to make it clear that units can still do post-tenure reviews regardless of whether a faculty member applies for a tier advancement. These reviews could provide a basis for Additional Merit Raises. They are also an accreditation requirement, I believe.]

## 7. Retention Raises

- 7.1. Retention Raises will remain available as market conditions warrant, but they will require credible evidence of an actual or credible impending offer and a genuine intention by the faculty member to accept the offer unless the UW provides an acceptable retention raise. Retention raises in excess of \_\_\_% must be approved by the Provost.

[No change, except that more evidence of a likely offer is required. The goal is to make it easier to retain highly meritorious faculty through flexible, but transparent, use of Additional Merit Raises, Tier Advancement Raises, and Unit Adjustments, rather than through retentions]

*Approved by:*  
Senate Executive Committee  
April 4, 2016

*Postponed until next Faculty Senate meeting:*  
Faculty Senate  
April 21, 2016