

**Minutes**  
Faculty Senate Meeting  
Thursday, February 26, 2:30 p.m.  
Savery Hall, Room 260

**1. Call to Order and Approval of Agenda.**

Chair O'Neill called the meeting to order at 2:32 p.m. O'Neill entertained a motion to add consideration of a motion from the Business School to the end of New Business, and to move the entirety of New Business from after Unfinished Business to before the Discussion item on the Faculty Salary Proposal. The motion was moved, seconded, and approved. The agenda was approved as amended.

**2. Report of the Chair – Professor Kate O'Neill. [Exhibit A]**

Chair O'Neill welcomed members to the meeting and highlighted her written report. O'Neil introduced Interim President-designee Ana Mari Cauce and Interim Provost-designee Jerry Baldasty and thanked them for agreeing to serve in their new roles. O'Neill then provided an overview of the meeting 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 Committee on Planning and Budgeting. **[Exhibit C]**
- c. Report of the Faculty Legislative Representative. **[Exhibit D]**

There were no questions regarding reports.

Faculty Legislative Representative JoAnn Taricani provided an update on the legislative session in Olympia. Taricani said that many bills were no longer under consideration as a result of the policy committee cutoff. Fiscal committee deadlines were soon approaching and would further diminish the number of bills affecting the university.

Taricani mentioned WSU's proposal to open a medical school. The bill authorizing that expansion was poised to pass the necessary committee hurdles before consideration on the floor of the House and Senate. Questions remained about whether the UW would be able to expand its operations in Spokane and how current WWAMI resources would be allocated.

A variety of proposals related to tuition were under consideration. All public higher education institutions in the state supported a tuition freeze provided adequate investment in higher education accompanied the freeze. This was further complicated by proposals that would remove local control of tuition setting authority, as well as the chance that the freeze would pass before the budget.

The winter revenue forecast was released early so the first budgets were also expected earlier than usual. The forecast predicted a small increase in revenue but not nearly enough to fund the deficit. Taricani was still unclear whether or not new revenue would be on the table or if reconciling the deficit would be accomplished solely by cuts.

Lastly, Taricani highlighted a few bills that were no longer under consideration. She asked members to [email](#) her with any questions.

Katz from the School of Public Health commented that graduate student tuition was out of control and warranted increased scrutiny.

**4. Report of the Provost and Executive Vice President – Ana Mari Cauce.**

Provost Cauce thanked members for their support during her time as Provost and expressed her excitement to take over the role of Interim President. She introduced Jerry Baldasty as the Interim Provost-designee. She commended Baldasty for his inclusive leadership style and indicated that their working styles were highly compatible.

Cauce said her message to Olympia regarding WSU's medical school proposal would be to do no harm to our programs there. She indicated that it was critical to increase funding for the WWAMI program. Her message regarding funding was that freezing tuition without additional investment in the UW may actually cost more for students by reducing the availability of classes and cutting quality. Lack of investment would also affect the amount of financial aid the UW could provide to students. Cauce added that it will be difficult for Washington State to fund everything we need to do with our tax system, which remains one of the most regressive in the country.

Cauce said her approach to the Interim President position was that "all Presidents are interim" and that she was committed to moving forward with decisions and current priorities, including issues of full time and part time lecturers and faculty salary increases.

Cauce was asked if she would sign the salary legislation as Interim President, if it was passed by the faculty. She responded that she would take it to the Regents for discussion and that her interim status would not prevent her from making any decisions.

#### **5. Requests for Information.**

Summary of Executive Committee Actions and Upcoming Issues of February 9, 2014.

- a. Approval of the January 12, 2015, Senate Executive Committee minutes.
- b. Approval of the January 29, 2015, Faculty Senate minutes.
- c. Discussion: UW Open access initiative. **[Exhibit E]**
- d. Discussion: Overlapping courses and nonresident admissions.

There were no requests for information.

#### **6. Memorial Resolution.**

Vice Chair Norm Beauchamp read the 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:

Clinical Assistant Professor John F. Hebert of Pharmacy who died on February 6, 2015, after having served the university since 1989.

Professor Emeritus Ira Joseph Kalet of Biomedical Informatics & Medical Information who died on February 21, 2015, after having served the university since 1968.

Professor Emeritus Albert Nijenhuis of Mathematics who died on February 13, 2015, after having served the university since 1988.

Professor Theodore Clinton West of Pharmacology who died on February 9, 2015, after having served the university since 1949.

The faculty approved the resolution with a standing vote.

#### **7. Consent Agenda.**

There was no consent agenda.

#### **8. Announcements.**

There were no announcements.

## 9. New Business.

- a. Nomination of Candidates for 2015-16 Faculty Senate Vice Chair.  
Zoe Barsness, Associate Professor, Milgard School of Business, UW Tacoma and Charles Hirschman, Professor, Sociology, UW Seattle.

On behalf of the SEC, Vice Chair Norm Beauchamp nominated Zoe Barsness and Charles Hirschman as candidates for the 2015-16 Faculty Senate Vice Chair. There were no further nominations from the floor. Nominations were then closed.

- b. 2015-16 Faculty Senate Vice Chair Candidates' Presentations.

After candidate presentations, Chair O'Neill announced that audio from the candidate presentations would be posted on the Faculty Senate website and that the election would occur electronically within a week. Results would then be announced via e-mail following the election certification.

- c. Motion regarding the Salary Policy Proposal **[Exhibit F]**

A motion was made from senators representing the Foster School of Business asking the senate to delay action on the salary policy as indicated in Exhibit F; the motion was seconded.

Chair O'Neill invited Senators Christina Fong and Stephan Siegel from the Foster School of Business to lead the discussion on their motion. Christina Fong indicated that multiple units were concerned about the inflexibility of the current proposal, specifically that it would be difficult to reconcile rigid salary increases with other priorities. The group didn't believe their concerns were addressed in a meaningful way and hoped to come up with a proposal that as many units as possible would agree to.

After discussion and amendment (replace "resolved" with "considered" in the last sentence of the resolution) the vote was tied and the motion failed for lack of majority. Chair O'Neill promised that while the motion did not pass, concerns about flexibility and process would not go unnoticed.

### Discussion:

Chair O'Neil asked for questions and comments from the floor:

Q: Susan Astley, School of Public Health, asked if the legislation could be voted in this year and tweaked later, before final implementation.

A: Legislation can be passed and subsequently amended. That being said, there is no assurance that the amendment would occur or be accepted. Faculty should not approve legislation they don't want enacted with the assumption that it would not go into effect. There are pragmatic concerns with going through the legislative process twice.

C: Hank Levy, chair of the Computer Science and Engineering department, attended on behalf of other department chairs in the College of Engineering. His concerns included the prioritization of other academic missions in favor of salaries, which could include tradeoffs such as decreasing the number of staff and TA positions. He emphasized the importance of providing flexibility in allowing different policies in different units. Competitiveness of salaries was important but should be balanced with flexibility for units with differing needs.

C: Paul Sutton, Department of Medicine, appreciated the great deal of work accomplished, especially the consideration of fairness and separation of cost of living and merit. He expressed concern about the administrative burden of planning conferences and collegial reviews, especially in a unit such as his, which had the most faculty on campus. He supported the motion to delay.

C: Diane Morrison, School of Social Work, said her colleagues were enthusiastic about the policy. She was concerned that junior faculty had suffered under salary freezes and would be behind for the remainder of their careers.

C: Stephan Siegel, Foster School of Business, said that if the vote were to take place 80% of this colleagues would vote against it. He hoped the motion to delay would pass so that his colleagues would be able to support a modified policy proposal in the coming academic year.

C: Paul Hopkins, Chemistry, agreed that all voices should be heard and that no units should be disproportionately harmed. Hopkins objected because the language in the motion seemed to indicate the legislation would not be voted on until all issues were resolved and all units were in support, which would be nearly impossible and against the basic principles of a majority vote.

Q: Dominic Muren, Art, asked to clarify the point brought up that there could be multiple ways of implementing the policy.

A: Provost Cauce responded that a salary policy would need to be campus-wide. Schools could implement a policy with some flexibility but should not be able to drastically alter important pieces such as the promotion schedule or raise levels without significant oversight.

C: Stephanie Smallwood, History, indicated that the first conversation in her unit regarding the proposal was not happening for a week. Anecdotal conversations with colleagues revealed that they felt rushed by the process and the prospect of a spring quarter vote. She believed that the Faculty Senate was just beginning to have genuine debate and should take more time to anticipate negative consequences. She asked if the policy would change day-to-day culture in individual units related to recognition and reward and if that would be a positive or negative change.

C: Gautham Reddy, Radiology, appreciated the positive aspects of proposal. His colleagues were concerned about relative lack of flexibility in the policy, specifically that a decline in revenues would result in negative consequences when attempting to meet percentage raise requirements set across the university.

C: Rob Wood, Atmospheric Sciences, argued that flexibility was already built into the policy and that the current policy has too much administrative burden since retention raises put significant pressure on departmental budgets. He opposed the motion.

C: Jack Lee, chair of the SCPB and the salary policy working group, apologized for missteps but was surprised by the late push for a delay. He argued that the flexibility and evaluation processes built into the proposal were adequate. He urged members to wait for final language from FCFA and to look carefully at unit customization pieces and decide then if the policy adequately addresses flexibility.

C: Mike Townsend, Law, was concerned about conflicting reports from major stakeholders about the flexibility of the policy. He spoke in favor of a motion to delay in order to resolve those differences.

C: Apurva Jain, Business, appreciated the flexibility defined by off-ramps that would need approval from the SCPB and Provost but was unclear what the criteria for that approval would be.

C: Chris Hague, Pharmacology, spoke in favor of slowing down the process. He argued that there should be no rush since the Provost indicated that we would not have adequate funding for the next few years to implement the proposed policy.

Q: Chuck Treser, School of Public Health, asked what vote was being delayed since no proposal had been finalized by FCFA or the SEC.

A: O'Neill indicated that a vote in favor of the resolution would be interpreted as direction to slow down the process and ensure these concerns would be heard in the FCFA.

C: Joe Janes, in his role as parliamentarian, echoed Chair O'Neill's interpretation that the vote was advisory. In his role as the chair of FCFA, Janes thanked the body and the working group for their contributions to crafting the policy. He hoped the final policy would be supported by a large consensus and did not want to "do a big thing badly." Janes outlined the additional hurdles facing the policy including reviews by the Advisory Committee on Faculty Code and Regulations, the President's office, and likely the Attorney General.

**10. Discussion item: Faculty Salary Policy Proposal – Joe Janes, Chair, Faculty Council on Faculty Affairs.**

Given the previous motion, Joe Janes abstained from further discussion regarding the salary policy proposals.

**11. Unfinished Business.**

There was no unfinished business.

**12. Good of the Order.**

Provost Cauce brought up the possibility of addressing issues with the salary policy through executive order but mentioned that she did not want to undermine other efforts to amend the policy. Some members expressed support for continuing working on the salary policy proposal before revealing alternative plans. Other members were excited to hear about alternative ideas or different, more immediate, solutions for adjusting salaries. Cauce said she would begin discussions with Faculty Senate leadership as to what short-term solutions were possible.

**13. Adjournment.**

The meeting was adjourned at 4:55pm.

Prepared by: Marcia Killien Approved by: Kate O'Neill  
Marcia Killien Kate O'Neill, Chair  
Secretary of the Faculty Faculty Senate

Report of the Faculty Senate Chair  
Kate O'Neill, Professor, Law

We have arrived at “Hump Day” in the Senate with three meetings behind us and three to go. As is always the case with Senate business, we have a lot of decisions to make before the academic year ends.

Before I turn to the issues on our agenda, on behalf of the Senate, I bid farewell to President Mike Young and convey a warm welcome and congratulations to Provost Ana Mari Cauce, who will become our interim President on March 2. We have enjoyed a productive and collegial relationship with the President and Provost over the past several years, and I fully anticipate that that relationship will continue as Ana Mari assumes her new duties. I want also to commend the Board of Regents, and in particular Chair Bill Ayer, for consulting widely – including with faculty – about this interim appointment.

Obviously, the Board of Regents will next need to make a permanent appointment of a President. At this time, a threshold issue is whether the UW is best served by recruitment of outside candidates through a national or even global search or by a more focused vetting of inside or local candidates. You senators and the faculty generally should know that, in my remarks to the Board last week, I emphasized that, whichever course is chosen, the process should be open. In that I echoed AAUP’s position, which Professor Christoph Giebel, also shared with the Board. In my view, there are two stages at which faculty input is critical. Faculty should be closely consulted, first, in determining the search criteria and the process that will be used and, second, in vetting the finalist(s).

I emphasized to the Board that a president who is supported by the faculty is a president who is more likely to be successful, and I have the impression that this Board takes the point. If so, the faculty needs to step up and make its preferences about the search criteria and process known. Now would be a good time for you to consult with your colleagues on their views about what kind of person we should seek and how and urge them to make their views known to me or vice-chair Norm Beauchamp. We will convey the sense of the faculty to the Board of Regents.

On today’s agenda, we have two important matters. First, we will be hearing from the candidates for vice chair of the Faculty Senate. They are Zoe Barsness, Associate Professor from the Milgard School of Business at UW Tacoma, and Charles Hirschman, Professor of Sociology from UW Seattle. We are all very grateful to both of these stellar candidates for their willingness to donate their time to shared governance. As you may know, the vice chair is elected and serves for one year. The vice chair then becomes chair of the senate for one year. In the final and third year of service, the chair becomes the chair of the senate committee on planning and budgeting. The three years of service enable the person you elect to develop a deep understanding of how the university works and how the senate and its councils and committees can be most usefully deployed to resolve issues of concern.

The second matter on our agenda is the proposed salary policy. We will have another discussion of that proposal on the floor. I want to take a moment to thank the chair of that council, Joe Janes, and each and every member for their hard work on this complex matter.

This salary policy proposal and associated code is still a work-in-progress. The senate leadership and Professor Janes have been meeting with groups around campus, including groups that oppose the plan, or aspects of it, for various reasons. We are trying hard to implement “tweaks” that will enable most of the faculty in all units to have confidence that this policy will provide better and more predictable rewards to productive and loyal faculty without creating undesirable or unintended effects. In such a large and diverse university, it is quite a challenge to construct a policy that honors different units’ diverse needs, provides criteria that are fair and transparent, and that will also be sufficiently firm to be reliably enforced and yet sufficiently flexible to permit essential adjustments to deal with diverse needs and presently unforeseen challenges. The most recent draft code language under consideration by FCFA is available on our website [here](#).

The February 4<sup>th</sup> salary policy forum was an immense success and I would like to thank Professor Pat Dobel, our moderator, as well as the rest of the panel for their robust discussion. I strongly encourage you to listen to the recording of the event, which is posted on our website [here](#). Please also take the time to

study the proposal and confer with as many of your constituents as possible in the time available. Today, we will seek your feedback and suggestions for changes, both large and small, in order that FCFA and the Senate Executive Committee can make a reasoned decision as to what proposal should come before you for an actual vote.

In closing, let me just assure you all that, despite the floor time devoted to the salary policy, faculty councils and committees continue to move forward on multiple important issues: intellectual property, including a proposal for a UW Libraries archive that will promote open access to UW faculty research articles; increased childcare facilities on or near campus; curriculum management, especially in light of activity-based budgeting; enrollment management; and ensuring that demographic data about faculty at all levels and on all campus are accurate and accessible to enable us to monitor salary and status equity, as well as to assess our progress on increasing faculty diversity.

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

1. Election of Senators for 2015-17. We are in the process of soliciting nominations from the elected faculty councils (EFCs) of schools, colleges, and campuses holding Senate elections this year and are on track to complete elections in mid-March.
2. Conciliation Board seeking members. The Conciliation Board is seeking new members. Conciliators work through the office of the University Ombud as part of the informal dispute resolution processes outlined in Chapter 27 of the Faculty Code. If you are interested in learning more about this opportunity for service, please contact the Secretary of the Faculty ([secfac@uw.edu](mailto:secfac@uw.edu)).

Report of the Chair of the Senate Committee on Planning and Budgeting  
Jack Lee, Professor, Mathematics

*The Senate Committee on Planning and Budgeting meets weekly with the Provost, the Vice-Provost for Planning and Budgeting, 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.*

Here are the topics that SCPB has discussed since my last report to the Senate. We plan to start posting documents and data related to all of these discussions on the SCPB website soon.

### **Report from the College of the Environment**

SCPB invited representatives from the College of the Environment to report on the college's goals, challenges, budgets, and governance structures. We spoke with Lisa Graumlich (Dean), Professor Rick Gustafson (Chair of the College Council), Jaclyn Saunders (co-chair of the Student Advisory Council), and Darlene Feikema (Director of Finance and Administration).

The COE was founded in 2009, bringing together a diverse collection of units studying Earth's atmosphere, land, and water systems with those studying human dimensions of the environment, the application of engineering and technological solutions to environmental problems, and the impact of policy on environmental change. One of the early challenges for the college was how to integrate the diverse research and teaching cultures of its various units, and to understand and adapt to differing expectations regarding promotion and tenure. We learned that the college has been quite successful in developing a shared understanding of these different cultures, and that the hopes for new collaborative research and teaching opportunities have been amply realized. The college has experienced robust enrollment growth since its inception. The student, faculty, and administrative representatives agreed that the college has developed a transparent and well-functioning process for developing budget recommendations.

### **RCEP request: elimination of the Comparative Islam option in NELC**

We considered a request from the Department of Near Eastern Languages and Civilizations to eliminate the undergraduate degree option in Comparative Islam, as part of a comprehensive restructuring of the department's offerings. This option had already been suspended (with approval of FCAS and President Young). Because the program's content has become part of a new Comparative Civilizations option, SCPB agreed to recommend to the provost that this be treated as a "limited RCEP" in accordance with the faculty code.

### **Report from the provost on faculty salary adjustments for 2015-16**

Provost Ana Mari Cauce gave us a preview of the process of establishing standards for faculty salary raises for next year. The process will be particularly difficult this year because the legislature is not likely to finalize the state budget until summer, and the university could receive anything from a modest increase to outright cuts. Provost Cauce expressed a commitment to ensuring that faculty are given raises in any but the worst imaginable budgetary situation. We will be talking more about this.

### **Administrative Review of Services**

Ruth Johnston (Chief of Staff for Planning & Management) reported to us on an initiative underway in her office to review all administrative services provided by the university, and explore whether some might be more efficiently organized, or more effectively provided by outside agencies. The project is in its infancy so far, but we will make sure that SCPB is involved in the ongoing conversation as it develops.

## Administrative Provost Reinvestment Requests

We continued our study of the requests for Provost Reinvestment Funds for 2015-2016, this time focusing on [requests from administrative units](#). Realizing that the university's ability to fund any of these requests will depend on what funding decisions emerge from the legislative session, members of SCPB agreed that the following requests should be treated as high priority:

- One-time funds for the Office of Public Records (\$1.3m, UW Advancement)
- Three attorneys (undetermined amount, Attorney General's office)
- Executive Assistant to support the AG Division Chief (\$61,296, Attorney General's office)
- Office Assistant (\$48,168, Attorney General's office)
- 0.5 FTE Southeast Asian recruiter (\$35,000, OMAD)
- Instructional support for URM students in STEM (\$75,000, OMAD)
- Permanent funding for Assistant Ombud (\$70,000, President's office)
- Permanent funding for positions currently supported by temp funding (\$600,000, Student Life)

## Financial Aid and Student Debt

Kay Lewis, Assistant Vice Provost for Enrollment and Executive Director of Financial Student Financial Aid, reported statistics on financial aid and student debt. We received the following reports: *Educational Loan Debt at Graduation*; *Educational Loan Debt at Graduation including Plus Loans*; *Income/Debt Comparisons by Income Quartiles*.

## Tuition Setting Process

We spoke with Provost Ana Mari Cauce, Assistant Vice Provost Sarah Hall, and Dean Dave Eaton of the Graduate School about the process for setting 2015-16 tuition. There is a broad consensus in favor of keeping undergraduate resident tuition fixed for the next biennium, *provided* that the legislature appropriates funds to cover necessary cost increases. At the graduate level, Dean Eaton reported that the Graduate Tuition Policy Advisory Committee had recommended that Tier I graduate tuition be frozen at the current rate for the next biennium, noting that Tier I tuition and fees have gone up over 33% in the past three years.

The tuition increases requested by various graduate programs are available here:

[http://opb.washington.edu/sites/default/files/opb/Budget/Narratives/FY16%26FY17\\_Tuition\\_Recommendations.pdf](http://opb.washington.edu/sites/default/files/opb/Budget/Narratives/FY16%26FY17_Tuition_Recommendations.pdf)

Most graduate and professional programs have proposed resident tuition increases between 0% and 3%, with a few notable exceptions. The provost will be working with the colleges that have proposed the largest increases to determine appropriate tuition levels.

Here are some topics we plan to discuss in future meetings. For agendas, see

<http://uw.edu/faculty/senate/scpb/agendas>.

- Report from the College of Engineering
- Faculty retention, recruitment, & separations
- Global Innovation Exchange
- Transportation services and UPass
- Unit adjustments
- Intercollegiate athletics: effects of new NCAA rules
- Capital campaign update
- Sponsorships and branding
- North Campus Housing Plan
- Childcare planning
- EO & online degrees
- Libraries

- Research funding, RRF
- Activity Based Budgeting
- Infrastructure costs in the operating budget
- Sustainable Academic Business Plan
- Tri-campus planning
- C4C
- Intellectual Property Policy
- Learning Spaces Project

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

### **Legislative session 2015:**

At the time of writing this report, we are in the final week of the introduction and initial passage (out of committee) of what are termed “policy bills”, that is, bills that would create or change law on issues related to state agencies like the universities. Friday, February 20, is the final day that policy bills can be voted out of their committee of origin; Friday, February 27 is the final day that bills with a fiscal impact can be voted out of the House and Senate fiscal committees; then March 11 is the final day that any bill can be passed out of either the House or Senate. Any bill that survives the March 11 deadline then moves to the opposite chamber (so, from the Senate to the House) for consideration; any legislation that will be enacted at the end of session must be approved in the same language by both chambers. The final day of the regular session is April 26.

Much of the higher education attention in Olympia is focused on a number of bills related to tuition. The issues are: should universities retain local control over resident undergraduate tuition (authorized in 2011), or should the Legislature take back that control? Should universities continue to be benchmarked to a set of “Global Challenge States” (similar public universities), or should benchmarking be eliminated? Should resident undergraduate tuition be frozen at current levels (it has been the same tuition level for three years), or even reduced?

The tuition bills have a significant bearing on the university budget. Along with these questions about tuition is the request from universities that any loss of revenue from a tuition freeze or reduction should be accompanied by “backfill” from the state of the equivalent amount of funding. For the University of Washington, that amount would be \$68 million for the biennium if the tuition freeze is continued through Spring of 2017; and that amount assumes the state will continue to fund items it has funded in the past in the operating budget, such as salaries (the Governor’s budget calls for institutions to internally fund approximately two-thirds of the cost of salary increases). There is concern on the part of the four-year universities that the eventual budget might not backfill the potential loss of tuition revenue, although legislators have made statements committing to that investment in hearings. The operating budget is established in a process separate from the current consideration of policy bills.

The bills authorizing the establishment of a second school of medicine in the state at Washington State University (HB 1559 and SB 5487) have passed out of their respective committees, and because there is a significant fiscal implication in those bills, they must also be passed out of the House Appropriations and Senate Ways & Means Committees (the fiscal committees). The issue now becomes not the authorization, but how a second school of medicine would be funded; and if the UW WWAMI program in Spokane will be funded at its current level and provided with increased funds to double the class size of graduating M.D.s, a long-term plan for the WWAMI-Spokane program.

Rather than list bills that might or might not pass by the time of the Faculty Senate meeting, I will provide an update of the bills that have survived the process at our meeting on February 26. There are several that I hope to be able to talk about in the past tense by that date.

### **Note on an Open Access Policy for the University of Washington**

Ben Marwick, UW Anthropology (a longer version of this document is online at <http://bit.ly/UW-OA-FCR-notes>).

#### **OA In general**

Open access in general refers to public online access to scholarly products that is unrestricted by financial barriers (<http://bit.ly/oa-overview>)

- OA takes many forms, the two major types are
  - **Gold:** publication in OA journals (PLOSOne, PeerJ, eLife, also many predators)
  - **Green:** publication in any journal, but with the author submitting their refereed, revised final draft to an open access repository (aka self-archiving), see the database of journal OA policies at <http://www.sherpa.ac.uk/romeo/> This is what we're proposing for UW

#### **Problems that OA solves**

From <http://www.richardpoynder.co.uk/Aspesi.pdf>

- Allows more researchers to read their articles, leading to more citations and – ultimately – to **better dissemination of knowledge**. This has been empirically demonstrated (<http://opcit.eprints.org/oacitation-biblio.html>)
- Allows small and medium sized companies which do not have access to the latest research to do so, furthering the **growth of the economy** and job creation.
- Allows researchers and doctors in **poor countries to have access** to leading research.
- Can deflate the margins of capitalist exploitation of **public spending**.

#### **Problems that OA creates**

<http://www.researchconsulting.co.uk/wp-content/uploads/2014/11/Research-Consulting-Counting-the-Costs-of-OA-Final.pdf>

- Need to educate faculty about OA policies and answer questions about what it applies to and what it required for compliance. We have an excellent FAQ already: <http://uwopenaccess.com/policy-faq/>
- Burdens faculty with task of depositing author-accepted-manuscripts to the institutional repository (UK estimates c. 45 min per paper). This can be made easier by publication harvesting software: <https://wiki.library.ucsf.edu/display/OAPI/Automated+Publication+Harvesting+System+Progress>
- Burdens the library with the need for funds and staff to obtain and maintain software to run an institutional repository. In the UK the staff cost is one FTE per institution. (<http://www.researchconsulting.co.uk/wp-content/uploads/2014/11/Research-Consulting-Counting-the-Costs-of-OA-Final.pdf>)
- The UW's current repository software (dspace) is free, but has a staff burden for maintenance and imposes a time-burden on faculty submitting their work. A comparison of the five most widely adopted IR platforms: Digital Commons, Dspace, Eprints, Fedora, and Islandora: [http://www.unesco.org/new/fileadmin/MULTIMEDIA/HQ/CI/CI/pdf/news/institutional\\_repository\\_software.pdf](http://www.unesco.org/new/fileadmin/MULTIMEDIA/HQ/CI/CI/pdf/news/institutional_repository_software.pdf) Another comparison: [http://www.budapestopenaccessinitiative.org/pdf/OSI\\_Guide\\_to\\_IR\\_Software\\_v3.pdf](http://www.budapestopenaccessinitiative.org/pdf/OSI_Guide_to_IR_Software_v3.pdf) Desirable features include anything that reduces the library staff burden and the faculty time burden, and article-level metrics/altmetrics (<http://opus.bath.ac.uk/30226/1/or12-138-final.pdf>, cf. data provided by researchgate.com and academia.edu, which are popular in some disciplines because of the article level impact data they provide).

## OA in universities

- 238 Institutional policies for open access (<http://roarmap.eprints.org/>), all are green (no gold), 48 have unanimously voted in favour, ([http://oad.simmons.edu/oadwiki/Unanimous\\_faculty\\_votes](http://oad.simmons.edu/oadwiki/Unanimous_faculty_votes)), more stats: [http://oad.simmons.edu/oadwiki/OA\\_by\\_the\\_numbers](http://oad.simmons.edu/oadwiki/OA_by_the_numbers)
  - First US mandates appeared in 2004, the rate of institutions adopted OA doubled in 2008 (20-40/year during 2008-2014) when various Harvard colleges and MIT adopted OA mandates and when the Consolidated Appropriations Act of 2008 was passed, which instituted a mandate for research projects funded by the National Institutes of Health (NIH)
  - Best model for UW is the UC policy, since it's fixed many of the problems of the earlier policies (<http://osc.universityofcalifornia.edu/open-access-policy/policy-text/> & <http://osc.universityofcalifornia.edu/open-access-policy/policy-faq>) Here is the UC policy with minor changes to be a first draft UW policy:
1. **Preamble** The Faculty of the University of Washington is committed to disseminating its research and scholarship as widely as possible. In particular, as part of a public university system, the Faculty is dedicated to making its scholarship available to the people of Washington and the world. Furthermore, the Faculty recognizes the benefits that accrue to themselves as individual scholars and to the scholarly enterprise from such wide dissemination, including greater recognition, more thorough review, consideration and critique, and a general increase in scientific, scholarly and critical knowledge. Faculty further recognize that by this policy, and with the assistance of the University, they can more easily and collectively reserve rights that might otherwise be signed away, often unnecessarily, in agreements with publishers. In keeping with these considerations, and for the primary purpose of making our scholarly articles widely and freely accessible, the Faculty adopts the following policy:
  2. **Grant of License and Limitations** Each Faculty member grants to the University of Washington a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, and to authorize others to do the same, for the purpose of making their articles widely and freely available in an open access repository. Any other systematic uses of the licensed articles by the University of Washington must be approved by the Academic Senate. This policy does not transfer copyright ownership, which remains with Faculty authors under existing University of Washington policy.
  3. **Scope and Waiver (Opt-Out)** The policy applies to all scholarly articles authored or co-authored while the person is a member of the Faculty except for any articles published before the adoption of this policy and any articles for which the Faculty member entered into an incompatible licensing or assignment agreement before the adoption of this policy. Upon express direction by a Faculty member, the University of Washington will waive the license for a particular article or delay access to the article for a specified period of time.
  4. **Deposit of Articles** To assist the University in disseminating and archiving the articles, Faculty commit to helping the University obtain copies of the articles. Specifically, each Faculty member who does not permanently waive the license above will provide an electronic copy of his or her final version of the article to the University of Washington by the date of its publication, for inclusion in an open access repository. When appropriate, a Faculty member may instead notify the University of Washington if the article will be freely available in another repository or as an open-access publication. Faculty members who have permanently waived the license may nonetheless deposit a copy with the University of Washington or elsewhere for archival purposes. Notwithstanding the above, this policy does not in any way prescribe or limit the venue of publication. This policy neither requires nor prohibits the payment of fees or publication costs by authors.
  5. **Oversight of Policy** The Academic Senate and the University of Washington will be jointly responsible for implementing this policy, resolving disputes concerning its interpretation and

application, and recommending any changes to the Faculty. Any changes to the text of this policy will require approval by both the Academic Senate and the University of Washington. The Academic Senate and the University of Washington will review the policy within three years, and present a report to the Faculty and the University of Washington. The Faculty calls upon the Academic Senate and the University of Washington to develop and monitor mechanisms that would render implementation and compliance with the policy as convenient for the Faculty as possible.

- Scope: “scholarly article” means something accepted for publication in peer reviewed journals and conference proceedings. It will not apply to monographs, book chapters, other long-form publications, working papers, creative or practice-based research outputs, or data (although researchers are may submit these materials to the repository if they wish).
- Detailed notes on implementation:  
[http://cyber.law.harvard.edu/hoap/Good\\_practices\\_for\\_university\\_open-access\\_policies](http://cyber.law.harvard.edu/hoap/Good_practices_for_university_open-access_policies) &  
<http://library.med.cornell.edu/Guides/openaccess.html>

### OA at UW

- In 2007 the UW Research Office issued a Statement of Position supportive of OA and encouraging researchers to publish OA (<http://www.washington.edu/research/main.php?page=openAccess>)
- In 2008 the Faculty Council on Research discussed OA and formed a committee to draft class C legislation [http://www.washington.edu/faculty/files/2014/06/fcrmin\\_050108.pdf](http://www.washington.edu/faculty/files/2014/06/fcrmin_050108.pdf), [http://www.washington.edu/faculty/files/2014/06/fcrmin\\_100108.pdf](http://www.washington.edu/faculty/files/2014/06/fcrmin_100108.pdf), [http://www.washington.edu/faculty/files/2014/06/fcrmin\\_121208.pdf](http://www.washington.edu/faculty/files/2014/06/fcrmin_121208.pdf),
- [http://www.washington.edu/faculty/files/2014/06/fcrmin\\_031309.pdf](http://www.washington.edu/faculty/files/2014/06/fcrmin_031309.pdf)
- In 2009 the senate approved a recommendation that faculty adopt OA practices [http://www.lib.washington.edu/scholpub/actions/openaccessresolution/at\\_download/file](http://www.lib.washington.edu/scholpub/actions/openaccessresolution/at_download/file) Mandatory self-archiving was envisaged for the future ([http://www.washington.edu/faculty/files/2014/06/sec\\_100608.pdf](http://www.washington.edu/faculty/files/2014/06/sec_100608.pdf)) Discussions leading up to that indicate concern for faculty rights and viability of small journals in the humanities: [http://www.washington.edu/faculty/files/2014/06/fculmin\\_101308.pdf](http://www.washington.edu/faculty/files/2014/06/fculmin_101308.pdf) Some of these are addressed in the British Academy report: <http://www.britac.ac.uk/openaccess/> realted is the effect of arxiv on physics journals: <http://arxiv.org/pdf/cs/0609126.pdf>
- The Libraries have a Scholarly Communications Steering Committee with an active interest in OA, esp. Tim Jewell, they have extensive resources on OA online (<http://www.lib.washington.edu/scholpub>), and infrastructure in place to support self-archiving (<https://digital.lib.washington.edu/researchworks/>). Though it could be simpler, more user-friendly and offer more automation (<https://www.lib.washington.edu/Digital/uwnetid/submission-form.html>)
- There is an ‘Open Access initiative’ of UW students that have drafted a proposal to the GPSS to call for UW to adopt an OA policy (<http://uwopenaccess.wordpress.com/policy-proposal/>), minutes of an early GPSS discussion of the issue: <https://depts.washington.edu/gpss/sites/default/files/ExecutiveApril16th2014.pdf>
- UC policy (based on Harvard model) and tools (<http://osc.universityofcalifornia.edu/open-access-policy/>) are highly regarded by UW library staff on OA project, they have strong personal connections, this is probably the best way forward for UW. The harvesting tool and DOI/ORCID integration promise to reduce the faculty burden greatly by streamlining manual deposit (<https://wiki.library.ucsf.edu/display/OAPI/Streamlined+Manual+Deposit+Progress>)

## Motion Concerning the Faculty Salary Policy

Given the concerns regarding the faculty salary policy proposal in its current form, and the understanding that there are no funds to transition to the proposed policy in the near future, we believe the best way forward requires further and more inclusive collaboration. Therefore, we move to delay a vote on the current proposal until the enclosed concerns have been resolved and a revised proposal is supported by the faculty in all schools and departments.

*Submitted by:*  
Christina Fong and Stephan Siegel  
Faculty Senators, Foster School of Business

### Supplementary Materials:

1. February 25, 2015 Letter from Faculty Representatives to Faculty Senate
2. February 25, 2015 Email from Hank Levy to Christina Fong & Stephan Siegel
3. February 23, 2015 Email from Stephan Siegel and Christina Fong to Kate O'Neill
4. February 13, 2015 Summary of Meeting of Faculty Representatives and Senate Leadership
5. February 9, 2015 Letter from Business School Faculty Representatives to Salary Policy Working Group
6. January 18, 2015 Email from Stephan Siegel to Jack Lee and Bob Stacey
7. April 13, 2014 Letter from Business School Faculty Council to Jack Lee

### 1. February 25, 2015 Letter from Faculty Representatives to Faculty Senate

February 25, 2015

Dear Fellow Faculty Senators,

Dear Members of the Salary Policy Working Group, and Dear President Cauce,

In this letter, we would like to summarize the major concerns that have been raised regarding the current salary policy proposal, propose the principles that should guide changes to the current salary policy, and suggest ways to move our conversation about faculty salary policies forward in a meaningful way.

First, though, we would like to thank the Salary Policy Working Group for the hard work on this important topic. We agree that serious problems regarding faculty salary at the University of Washington exist. In particular:

- University of Washington faculty salaries are, in many cases, lower than salaries at peer universities, in particular for seasoned faculty [salary gap].
- In some schools and departments, the current salary system is not well defined or explicitly stated.
- In some schools and departments, the current system lacks transparency and appropriate faculty involvement and oversight, especially with respect to retention raises.

While the salary policy proposal aims to address these problems, a number of concerns have been raised with respect to the proposal in its current form:

- Without additional funding, the salary gap can be closed only by making structural changes, such as, for example, reducing faculty size, increasing class sizes, reducing staff, TA support. Schools, departments, and units disagree whether such changes are in their best interest.
- The default formula described in the current proposal does not work for all units in all schools, and mechanisms to increase flexibility across units and market conditions have not yet been

well established.

- The default policy negatively affects faculty members with above average salaries, by capping their merit increases relative to other faculty members.
- There is substantial concern that the proposal reduces schools' and departments' flexibility to respond to changing market conditions (as reflected by peer schools' salaries), thereby endangering their ability to maintain excellence.
- Implementation and future administration of a tier system could be costly.
- There are no funds to implement (i.e. transition to) the new policy in the foreseeable future.

For more detailed and comprehensive discussions of these concerns, please note Faculty Senate minutes and the audio recording of the Town Hall meeting.

A group of interested faculty senators and faculty representatives from several schools, including business, medicine, public health, and engineering, met with members of the working group and faculty senate leadership on Feb 13, 2015, and suggested a list of principles that should guide any changes to salary policies:

- New salary policies should do no harm to schools or units' ability to maintain excellence.
- Transparency/Equity
- More involvement of and oversight by faculty (especially with respect to retention raises)
- Enforceability
- Regular review and opportunity for recognition to decrease reliance on outside offers
- Policies in Faculty Code should be supported by a majority of faculty in all units.

Given the concerns regarding the policy proposal in its current form, and the fact that there are no funds to transition to the proposed policy in the future, we believe the best way to move forward is to delay a vote on the current proposal until the above concerns have been resolved and a revised proposal is supported by a majority of faculty in all schools and departments. To do so, we ask the President to appoint additional members to the policy working group to create a more inclusive working group.

To ensure that work on this important topic will continue we will propose a Class C resolution that establishes guiding principles for changes to the faculty salary policy and encourages the Faculty Senate to keep the faculty salary policy as a top priority in 2015-16.

Signed,

Kristie Bjornson, Faculty Senator, School of Medicine, Pediatrics Kelly Edwards, Faculty Senator, Medicine, Ming Fan, Faculty Senator, Business School, Christina Fong, Faculty Senator, Business School, Senate Executive Committee Sina Gharib, Faculty Senator, Medicine, Senate Executive Committee, Apurva Jain, Chair of the Faculty Council, Business School Deok-Ho Kim, Faculty Senator, Engineering, Hank Levy, Chair, Computer Science, Colm Morrissey, Faculty Senator, Medicine, Adrian Piliponsky, Faculty Senator, School of Medicine, Pediatrics Daniel Promislow, Faculty Senator, Medicine, Edward Rice, Chair of the Faculty Council (2013/14), Business School Stephan Siegel, Faculty Senator, Business School, Paul Sutton, Faculty Senator, Medicine Michael Townsend, Faculty Senator, Law

## 2. February 25, 2015 Email from Hank Levy to Christina Fong & Stephan Siegel

**From:** Hank Levy [<mailto:levy@cs.washington.edu>]  
**Sent:** Wednesday, February 25, 2015 12:44 PM **To:**  
Christina Fong  
**Subject:** Notes on proposed faculty salary policy

Hi Christina,

I just wanted to provide my feelings and concerns about the proposed salary policy. Salary is definitely an issue for us – and a serious issue -- but equally important is being part of a top- quality department that's an exciting place to work, and moreover, that is improving and can continue to grow in the future. As an example, last year Princeton decided to increase its starting offers to new PhDs by – I kid you not – an additional \$60K (!). That is, they were offering \$160K when the going rate nationally was in the \$100K range. We were competing with them for two super young people – we hired both in the end – and neither of them even mentioned their Princeton offer to me, although I knew what it was because I'm on Princeton's external advisory board. They came here because we're a more exciting department that's on the move, and Seattle is a great place to live and work. We have better students than Princeton, which is a huge deal for faculty. So salary is important, but if we can no longer grow and be an exciting department, all that we've worked for over the last 30 years will be lost. The best faculty want to be in the best departments – salary is important but not **\*the\*** most important thing. Bottom line – the faculty we're trying to hire are deciding based on department quality and work environment; salary is below that on list of what's important.

I seriously worry that this policy has the potential to harm our department and college, and ultimately the university. The UW's mission is education and discovery. This policy places faculty salary over quality education and discovery by mandating that all dollars flow into salaries in the end. I want to see our salaries rise and a better salary system, but a mandated system that's not funded and that [quoting directly from the Faculty Senate's FAQ] “will require cutbacks in other areas such as senior hiring, faculty sizes, retention raises, TA quarters, new buildings, new programs, administration, IT, or other things” will surely hurt education and research – I don't see how anybody can think that it will not. If your department faculty shrinks, and if you get rid of TAs, programs, and administration, how is it possible that your department will not seriously suffer? I don't understand this, and it is particularly concerning for colleges like Engineering that are facing demand and growth challenges.

Finally, I'm not completely confident in the modelling that's been done. These models are extremely sensitive to the parameters used, e.g., the retirement age of faculty, or the CPI, or other things. For example, the basic model that many people have apparently uses an average CPI of 2%. But in the last decade it was 2.3%, while in the 1990s it was 3%. This makes an enormous difference. Our model shows that over a 10 year period, our faculty salaries will grow (which is good), but at the cost of between 15% and 30% of our department's budget. That means we will take a 15 to 30 percent budget cut from our operation that will have to be made up by those “cutbacks in other areas” described in the FAQ. For us, that's something like a \$2M to \$3M cut!

How exactly will that work? What kind of department will we be? What will that mean to us if we've doubled the number of students we produce over that period, which we may have to do, but have to make large cuts to TAs and staff? That's my worry. If I could be convinced that this all works, I'd be fine with it, but I'm not convinced and the modeling we've done gives me serious concerns.

Thanks, hank

### 3. February 23, 2015 Email from Stephan Siegel and Christina Fong to Kate O'Neill

On Feb 23, 2015, at 9:51 PM, Stephan Siegel <[ss1110@uw.edu](mailto:ss1110@uw.edu)> wrote:

Dear Kate –

Thank you for your email. We are happy to provide specific concerns as well as possible steps forward. We want to be clear, though, that we can only speak on behalf of the Business School faculty that we represent, that we have surveyed on the proposal, and with many of which we have had long and detailed discussions. We have spoken with representatives of other schools and while we have learnt that our main concerns are shared by others, in particular in the Medical School, we cannot speak on their behalf with respect to the details we will provide below. We have cc-ed some Faculty Senators from other professional schools should they wish to weigh in with their opinions.

Still, from our perspective as well as the perspective of those that have signed the proposed statement, there is disagreement on principles of what a salary policy should do and how it should be structured. We as others feel that more time and an appropriate platform are needed to reach agreement on these principles. We and others believe that discussing details about the code is premature as long as differences on principles have not been resolved. To resolve these, we propose that the working group is enlarged by representatives from more professional schools and departments so that a revised proposal has the majority support of faculty members in all schools and departments.

We understand that a delay of a faculty senate vote on the proposal is upsetting for some that invested a lot of effort and time into the development of the proposal. Based on what we know now, it seems that unfortunately in particular the professional schools have not been sufficiently part of the development process. We, of course, understand that developing a salary policy is a very difficult task, and we very much acknowledge the enormous effort Jack Lee has invested in this process. Our hope therefore remains that a broader representation of faculty in the working group can produce a policy proposal that ultimately has the support in all schools and departments.

Now, finally, to the specifics you have asked for. As we stated above, we can only speak for the Business School faculty with respect to these details.

First our concerns in detail:

1. We believe that any attempt to commit to specific, pre-set percentage increases for future faculty salary raises is problematic. It is problematic because it distracts from what ultimately matters which is the comparison with salaries paid at peer institutions, which can and should be acknowledged in a number of ways, not solely limited to the ability to get an outside offer. It is also problematic because predicting salaries over time and with all the differences across disciplines is very difficult. Revising specific numbers over time and deviating from defaults will be difficult and costly in terms of time and effort, while not revising and deviating can lead to serious salary distortions where faculty in some units might be over-paid while others might be under-paid. The fact that certain numbers would have worked well for historical averages does not counter these concerns, nor do off-ramps that under certain circumstances allow for school-specific percentage increases.
2. The current proposal suggests that it largely addresses the distribution problem by acting as “a thumb on the scales.” In the very likely absence of additional funding, the proposal is therefore designed to redirect resources towards faculty salaries. This can only lead to a better outcome if these resources are currently used suboptimally. We disagree that this should be the objective of a salary proposal and by forcing the Business School to redirect resources towards

faculty salaries, we fear that we will be worse off in the future.

3. By tying pre-set salary increases to regular review points, we fear that resources will be shifted from high-paid and high-performing faculty members to median performers. Similar effects are built into the capped merit increases as well as the finite number of tiers for full professors that de facto cap salaries.
4. Finally, there is some concern that automatic CPI adjustments could be too high in times when HEPI is below CPI and could in general create a disincentive for faculty members to retire.

Next, aspects of a salary proposal that we would support:

1. We believe that faculty members in schools and departments should be free to determine how to allocate funds. While the preferred model in the Business Schools would likely be based on a market gap adjustment for each faculty member, we would not insist that this is the only approach schools and departments should be allowed to adopt. For the reasons given above, we are concerned that a system that commits to pre-set increases will lead to distortions and we would therefore advise against such a system. But, we would nevertheless be open to other units adopting such a system if they wish.
2. Furthermore, we believe that general principles should be established, for example, the review process, the review frequency, and the involvement of the faculty council should be prescribed in a binding way for all units. Furthermore, the process and the allocation rule that a school adopts should be formulated in writing, voted on by all faculty members in that unit, communicated to all faculty members, and ultimately enforced.
3. For units that fail to establish a satisfactory salary policy, a default policy should be adopted. The specifics of the proposed policy could serve as such a default.

Also, we believe that the above points would be improvements over the current policy. In particular, we believe that a well-defined and transparent process for merit raises would be welcome by many in the business school. Further, we believe that meaningful involvement of the faculty council and transparency with respect to (preemptive) retention raises are important and should be enforced.

Finally, we hope that a compromise can be found by integrating what we propose into the proposal. Specifically, we believe that the proposal would be much stronger if it tried to account for the diversity that exists across campus in a meaningful way. Furthermore, we hope that the details of the policy can be left to the faculty members of each unit and department instead of being determined by a default formula.

It has been and continues to be our wish to work with the working group on resolving these concerns and, as we hope, on incorporating the necessary flexibility into the proposal. In our assessment, though, this is not a matter of making small changes to the code, but rather of stepping back to reconsider the overall design. It is for this reason that we believe that more time is needed and a vote on the proposal should not be taken in its current form.

We hope you find these comments helpful.

Best,  
Christina and Stephan

#### 4. February 13, 2015 Summary of Meeting of Faculty Representatives and Senate Leadership

Faculty Salary Policy Proposal  
February 13, 2015 Meeting  
Summary

##### Meeting Attendees:

Christina Fong, Stephan Siegel (Via Skype), Ming Fan: Foster School of Business Faculty Senators Ed Rice & Apurva Jain: current and past chairs of Faculty Council, Foster School of Business Susan Astley, School of Public Health, member of Faculty Salary working group Aaron Katz, Public Health Mark Phillips, Colm Morrissey, Mark M. Wurfel, Dorothy Patton, Daryl Okamura, Paul Sutton, Chris Knight, Sina Gharib, Faculty Senators, School of Medicine/Children's Hospital Hank Levy, Chair of Computer Science department, School of Engineering Joe Janes, Chair of Faculty Council on Faculty Affairs, Information School Jack Lee, Co-Chair of Faculty Salary Working group, Math Department Kate O'Neill, Chair of the Faculty Senate, Law School

##### Meeting Summary:

1. We began with introductions and quick polling to determine how each faculty representatives' general portrayal of how their constituents were feeling about the proposed faculty salary policy:
  - General opposition was expressed by Foster School, School of Medicine and Engineering
  - One expression of neutrality/nonchalance from School of Medicine
  - Significant divisions of opinion from Law School
  - General support from School of Public Health and Math
2. We summarized major concerns with the proposed policy:
  - Compression can only be solved with more funding—and compression may not exist uniformly across all schools.
  - Proposal reduces flexibility/discretion
  - 'One formula' does not recognize the heterogeneity of UW faculty.
  - The current salary policy "formula" is based on benchmarking to the average UW full professor, which negatively affects faculty members with above average salaries.
  - "Exit ramps" are not clearly defined.
  - Concerns regarding administrative burden
  - Proposed policy would inhibit the growth of faculty:
    - EX: If the CS department had been using the proposed salary policy for the last 10 years, they would have lost 10-12 faculty positions (out of 50).
3. General comments to frame the discussion:
  - a. It seems that there are two main questions to be addressed:
    - i. Should we have a tiered system?
    - ii. How will rewards/raises be allocated?
  - b. A guiding criteria for any new salary policy should be "do no harm": While this is impossible to write into the faculty code, it is a dimension upon which future policies should be evaluated—the President/administration/Faculty Senate chair do not want to encourage a salary policy that does not work for all faculty.
  - c. How do we define flexibility? A new faculty salary policy should:
    - i. Put more power into the faculty's hands, and function to protect faculty from capricious decisions made by administration and/or deans.
    - ii. Include mechanisms for enforcement: Working group found several instances of how the current policy is not being followed in every school (i.e., annual reviews are not done). A clearer, more explicit process/policy might help to make

transgressions more obvious or evident.

Rules are easier to enforce, while standards create more flexibility in implementation.

Also worth noting that while the faculty salary policy is intended to increase flexibility, this current policy decreases flexibility of administration by “putting a thumb on the scale” to force more weight towards faculty salaries than other ways to maintain/increase excellence of the university.

iii. Allow schools-in joint consensus with deans, elected faculty councils, and faculty at large- to make the difficult trade-offs associated with growing and maintaining excellent departments on tight budgets.

4. Our discussion of solutions covered several options for moving forward and addressing concerns. Note that these options are not necessarily mutually exclusive:
  - a. Creation of a “guiding principles” policy: New faculty salary policy would include a list of guiding principles (e.g., based on transparency, regular reviews, include cost of living adjustments) but implementation would vary across schools and units.
    - i. Joe Janes from FCFA notes that this type of ‘lightweight’ policy may create difficulties in enforcement.
    - ii. Possible solution: Guiding principles need to be accompanied by careful wording regarding enforceability (what is the process by which a faculty member can raise awareness if a guiding policy is not being followed)?
  - b. Creation of an interim policy: Kate O’Neill has been in discussion with the Provost/President about the possibility of creating an interim policy for the next 2-4 years that would be more ‘standards based’ (rather than rules based). This approach is attractive for several reasons:
    - The current proposal would not be implemented for 2-4 years anyway because of lack of funding.
    - This would allow for some prototyping/laboratory/AB approach where we could see the effects of the new policy on schools who choose to adopt it, which might make it easier to identify any unforeseen issues with the policy prior to widespread implementation.
    - Interim policy would be given more ‘teeth’ by having adoption of the formula apply to those schools who fail to/choose not to propose their own policies.
  - c. Partial adoption of the new proposal: Faculty Senate would vote on tier and review system in Spring 2015, while formula for allocating raises would be tackled in the future. The current faculty salary policy would stay in place until that time.
  - d. Changes to the current proposal: Jack Lee has agreed to draft at least two revisions to the current proposal:
    - i. “Off ramps” to delay raises associated with tier advancement can be handled directly at the college level—if the voting faculty endorse the postponement or change to a tier advancement associated raise, it would go into effect (subject to Provost approval). This puts more power directly into the school level.
    - ii. Clarification in section 24-72 that changes to the proposed formula, once approved by the current provost, would be considered permanent changes (and not subject to ‘renewal’ when market conditions or university administration changes).
  - e. Delaying the vote until the 2015-16 academic year: Given the tight timelines and concerns raised regarding the policy, we may want to delay until next year. Jack Lee from the working group felt that with the new appointment of the Interim President, there is likely going to be continued support for a faculty-driven salary initiative for at least the next 18 months.
5. Procedural Questions
  - a. Voting can only be up/down, and is not tracked by school.
  - b. If the Faculty Senate is to vote this year on any faculty salary proposal, exact wording on the proposal needs to be completed by March 31.

- c. Amendments to the proposed policy can be proposed by faculty senators at the April meeting and voted on in the May meeting.
6. Next Steps
- a. Kate has asked this group to come up with an alternate proposal.
  - b. Jack Lee will draft two changes to the current policy as described above.
  - c. This meeting summary document will be circulated to any interested parties.
  - d. Christina Fong/Stephan Siegel will reach out to schedule two additional meetings. Any interested faculty senators or faculty members would be invited to attend:
    - i. Meeting to begin crafting an alternate proposal
    - ii. Meeting to follow up with Joe Janes, Jack Lee, and Kate O'Neill on next steps.

**5. February 9, 2015 Letter from Business School Faculty Representatives to Salary Policy Working Group**

See next page



February 9, 2015

Professor Jack Lee  
Co-Chair, President's Faculty Salary Policy Working Group  
University of Washington  
Department of Mathematics  
Seattle, Washington 98195

Re: Meeting with Salary Policy Working Group on Feb. 13, 2015

Dear Professor Lee -

We would like to thank you and Professor Janes for agreeing to discuss the Salary Policy Proposal with us as well as faculty representatives from other schools and departments. At this point, we have heard from ten senators from the School of Medicine and the School of Public Health that plan to participate in our meeting on Friday.

In preparation of the meeting, we would like to provide a brief summary of the concerns of the Business School faculty as well as of our main objectives of the meeting.

First, though, we would like to thank you and the Working Group for the hard work on this important topic. We very much appreciate the effort, and our intention is to contribute to this effort such that the best possible outcome can be achieved.

As Business School faculty representatives, we agree that there are several problems regarding faculty salary at the University of Washington. In particular:

- University of Washington faculty salaries are, in many cases, lower than salaries at peer universities, in particular for seasoned faculty).
- In some schools and departments, the current salary system is not well defined or explicitly stated.
- In some schools and departments, the current system lacks transparency and appropriate faculty involvement.

We believe that important improvements to the current system should be made by mandating that schools or departments specify, communicate, and implement a sufficiently detailed and transparent salary system that allows for faculty involvement.

As in the current proposal, the guiding principle for allocating resources should be the gap between University of Washington and peer salaries. This gap should be determined at the individual, unit, school, and department level with a certain frequency (every 3 - 5 years). The proposed tier system could work well with determining and communicating this gap.

In our opinion, the proposed system does not sufficiently account for the diversity across campus in salary levels and their evolution over time. Focusing on averages and prescribing salary increases with one simple formula that is the same for every faculty member at the University of Washington will lead to severe distortions over time and reduces schools' and departments' flexibility to respond to changing market conditions (as reflected by peer schools' salaries).

Further, the proposed policy negatively affects faculty members with above average salaries, by capping their merit increases relative to other faculty members. Here, as elsewhere, the guiding principle should be an individual's salary gap relative to peer schools.

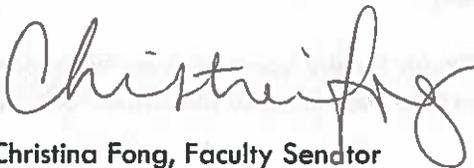
We would like to work with the working group to change the existing proposal along the above principles. If the working group feels that the proposed changes cannot be implemented into the proposal, we suggest that individual departments and schools are given the right to determine via a faculty vote whether or not they would like to adopt the salary system.

Based on a faculty-wide survey at the Business School as well as deliberations of the Business School's Faculty Council, about 80% of the Business School faculty are opposed to the proposal in its current format. We hope that the Working Group as well as the Faculty Senate agree that such strong opposition must be taken seriously and should not be ignored.

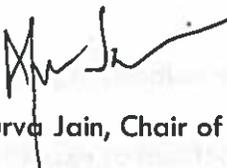
Sincerely,



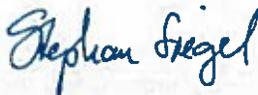
Ming Fan, Faculty Senator



Christina Fong, Faculty Senator



Apurva Jain, Chair of the Business School Faculty Council



Stephan Siegel, Faculty Senator

**6. January 18, 2015 Email from Stephan Siegel to Jack Lee and Bob Stacey**

On Sun, Jan 18, 2015 at 7:59 PM, Stephan Siegel <[ss1110@uw.edu](mailto:ss1110@uw.edu)> wrote:

Dear Professors Lee and Stacey –

Christina Fong and I currently represent the Business School in the Faculty Senate. Since last fall, we have discussed the new salary proposal with our colleagues at the Business School. We have learnt that many of our colleagues have serious concerns about the proposed policy. Concerns include the unclear evidence that the current distribution part of the system is not working and the fear that putting additional constraints on the salary system might lead to a worse outcome overall, especially for schools and departments with high salaries. Several of these concerns were also raised in a letter from the Business School Faculty Council following a presentation last April by Professor Lee (please see the attached Word file), but unfortunately have not been addressed in any substantive way so far.

We have discussed the proposal with Faculty Senators from the Medical School, the Law School, the School of Engineering, and the School of Public Health, and found similar concerns among some of our fellow Senators from these Schools. Following a meeting with several of these senators on Friday, Jan. 16, we would like to request a meeting with the Salary Policy Working Group at your earliest convenience to discuss possible changes to the proposal that would address the concerns raised by our colleagues.

We would like to stress that we very much appreciate your efforts on this important topic. Our hope is that a discussion between the working group and interested faculty representatives from the above schools can further improve the proposal, in particular by addressing the substantial heterogeneity that exists in salary levels and trends across campus.

We are very much looking forward to hearing from you and hope to meet with you and the working group soon.

Best regards,  
stephan

**7. April 13, 2014 Letter from Business School Faculty Council to Jack Lee**

Dear Professor Lee,

As Chair of the Business School Faculty Council, I am writing to provide some feedback on the salary proposal you discussed with the Council on April 1, 2014. First, let me thank you for taking the time to discuss the proposal with us. We very much appreciate the hard work and thoughtfulness that you and your committee have devoted to this proposal. As with all proposals like this, the faculty members of the Council disagree among ourselves about what we think about various provisions. Nevertheless, there are certain areas of agreement and principle that I think may help you in formulating the proposal going forward.

I present our reactions to the proposal in sections below. To summarize our feedback, we feel the tier system may create a positive mechanism to provide continued motivation to faculty within ranks, but we have concerns about the proposal's ability to track market conditions going forward. It is unlikely to help our major Funding problem much, and it may move us away from market-based salaries. Therefore, we would suggest a reemphasis in the proposal to focus more directly on market adjustments, and an opt-out possibility for units who want to do something different.

The Two Problems: Funding and Distribution

Your proposal identifies two problems with our Salary System today: Funding and Distribution. The proposal documents the Funding problem well in comparison to peer schools. But the only evidence in the proposal about Distribution is Figure 2 with the years-since-PhD average salaries. Furthermore, you acknowledge that it is beyond the scope of the proposal to solve the Funding problem.

We think there should be more documentation of the Distribution problem, and any negative consequences of it, in the proposal. (You reported to us some ratios of full to assistant salaries across fields that might be a helpful start on documentation.) Some of us do not believe that the compression that Figure 2 shows presents much of a problem at all, although others of us do find it a problem. In any case, a pattern like that figure's must exist, if we are to continue to hire newly-minted PhDs at market salaries and have the Funding problem overall. Since there is nothing in the proposal that suggests we should hire outsiders at below market salaries, we expect this pattern to continue under the proposal.

Furthermore, the Council feels that the Funding issue is by far the most important problem that the Salary System has. Given our resources and constraints, we are not sure that we have much of a Distribution problem.

You suggested to us in the meeting that the proposal may put extra pressure on the legislature to solve the Funding problem during lean times. Many of us think that this is very unlikely, especially in the current funding climate where much state expenditure is judicially mandated and taxes are restricted. Of course, the proposal will provide rules for the future, when the political climate as well as the people in University administration may be very different. However, predicting how these rules will pressure future legislators is highly speculative at best. Furthermore, depending on how allocations are made at the school level in the future, the proposal may cause Deans to pressure faculty committees to deny tier increases because the Deans do not have the resources to fund them.

### Tiers and Dollars

Within the Council, there is considerable disagreement about whether establishing the tier system, with longer period reviews for senior faculty, is a good thing. Some strongly support the introduction of tiers within ranks because it provides continuous motivation to progress within one's rank, potentially avoids the common "stall out" following promotion to both Associate and Full, and establishes better transparency. Others, however, think that it may eventually be used to create a false equivalence between faculty members across fields, whether that is the current intent or not. Some like the every fourth year review of tenured faculty to make the reviews more serious and the per year review cost lower; others think it is important to look at all faculty in all years for potential promotion or tier increase, if only as a way to reward highly meritorious faculty more than usual.

But there is some agreement among us that the tiers cannot be directly tied to dollars given the nature of the academic labor market. Setting a pre-defined salary increase upon tier advancement is hazardous given that past market movements may not be a good predictor of future market movements. It is difficult to know whether salaries will continue to grow at a rate higher than CPI, and it is difficult to know when deviations from CPI will occur. For this reason, although the pre-defined raise amounts allow the average UW salary to track the average peer school increase in salaries using *historical values*, we worry that it will not track future salaries. It is standard when using historical values to predict future values to conduct an "out of sample" prediction and we often find that although a model fits well within a dataset of actual realizations, that it performs very poorly when trying to predict future events.

Furthermore, over the next several years, it is likely that some fields will greatly improve their pay relative to other fields in the wider academic marketplace (although it is hard to predict which fields are which). Giving all fields the same 8% or the same dollar amount for a tier increase is therefore likely to move us away from a responsive salary structure. While "off-ramps" may help us respond

to fields that are much too low, the proposal will not enable response to salaries where an 8% tier raise becomes too high. The overall Funding problem also assures that if we cannot limit the salary increases that are relatively too high, our response to the lower-than-market salary increases in fields that are becoming increasingly important will be muted.

### The Market Salary Principle

The stated goal of the Salary Policy in the proposal is to recruit and retain excellent faculty. We think the best way to achieve this goal is to base salaries on the market opportunities that faculty members have. Given that we will not be able to get faculty up to their market salaries because of the Funding problem, we think our best alternative is to try to equalize the percentage gap between our salaries and market salaries.

This principle implies that linking salaries to market salaries should be the primary goal in any policy change. When you argued in our meeting for some of the adjustments this proposal makes, you seemed to recognize that this goal is important. That is, implicitly you argued that measures like the dollar limit on raises helps to simulate what peer schools do for their own faculty, on average.

But this policy then seems an indirect and distorting move away from the measure that we want to use directly. That is, why not base salaries on the perceived market value of each faculty member, as best we can tell? We do this periodically under the current system, and thus it seems confusing to use only rough proxies for this value in the new proposal.

### Opting Out

We understand that the proposal is not intended to change the distribution of salary money across schools or departments. We therefore think that it would be helpful to let academic units opt out of this proposal. If the faculties of some units find that the benefits outweigh the costs of the new policy, these units should be able to implement the proposal. But if faculty members in other academic units find the costs of the proposal outweigh its benefits, it is difficult for us to understand why anyone would object to these units opting out of the proposal and allocating money based on the old system (or something else). The determination of whether the faculty members in a given unit want to opt out could be done through a vote of the relevant faculty council or through an up-or-down online vote of the tenure track faculty.

### Summary

At the end of the day, the core reason that UW salaries fall below our peers is a problem of Funding, rather than of knowing the market salaries. Although everyone likes some things about this new proposal, it does not solve this major problem. The rigidity of the tier increases also may move us away from an idealized situation where all faculty members get a similar percentage discount from their market wage. We urge the committee to pay stronger attention to linking salaries to market levels, and to allow a unit to opt out of the proposal if that is what its faculty wants.