



STANDARD SIX

GOVERNANCE AND ADMINISTRATION

The authority, responsibilities, and relationships among and between the Board of Regents, administrators, faculty, staff, and students are clearly described in official University documents including the *University Handbook*¹ and Administrative Policy Statements.² The governing bodies and positions that support the fulfillment of the University's mission and goals include the Board of Regents,³ the statutorily designated body with responsibility for the overall governance of the institution; the Administration,⁴ the administrative delegates with responsibility for leading and managing the University; the Faculty,⁵ a community of scholars responsible for the transmission and advancement of knowledge; the Faculty Senate,⁶ an elected body of representative faculty members with responsibility for exercising the delegated authority to share in the formulation of rules for the immediate government of the University; the Staff,⁷ including professional staff, classified staff, temporary staff, and student employees employed to support the fulfillment of the University's mission and goals; the Students,⁸ including undergraduate, graduate, and professional students enrolled in academic programs of the University.

SHARED GOVERNANCE

The University is committed to a system of shared governance that makes provision for faculty, staff, and student views and judgments in matters in which they have a direct and reasonable interest. The Faculty plays an active role in shared governance. The *University Handbook* directs the President to consult the Faculty when formulating rules, regulations, and executive orders. The general policy with regard to the Faculty acknowledges that the:

university is a complex organization, not quite like any other in its management, which requires the understanding and good faith of people dedicated to a common purpose. A university administration must seek wisely and diligently to advance the common effort, and the strength of a university is greatest when its faculty and administration join for the advancement of common objectives. Much of the faculty-administration relationship has been established through long experience, and has the weight and good sense of academic form and tradition. But the terms of this relationship are essentially those of spirit, mutual respect, and good faith, and thus must be flexible to meet changing needs. Some of the traditions of the University of Washington are given expression in the pages that follow. Yet these and other common understandings have meaning only to the extent that they reflect the integrity and faith of administration and faculty in the day by day accomplishment of their joint effort.⁹

In addition to this general recognition of the need for shared governance, a comprehensive system of standing councils and committees of the faculty supports the University in the fulfillment of its mission and goals. The University's librarians, as academic personnel separate from the faculty also have a system of governance that is integral to the University's fulfillment of its mission and goals. The Staff plays an active role in the University's shared governance system. The professional staff is represented by the Professional Staff Organization,¹⁰ created to represent the issues and concerns of professional staff to the university community and the legislature. In addition, University employees are represented by twenty-two bargaining units that support these constituencies in having their views and judgments considered.¹¹ The Students also play an active role in the University's governance system, including ex officio representation on the Board of Regents and a system of student organizations that represent student interests at the University.

All members of the University community are routinely informed through various media of the state of the institution. The University complies with the State's open meeting requirements, which facilitates the participation of interested individuals and bodies of the activities of the University. The President maintains a homepage that highlights the immediate issues facing the institution through the publication of speeches, articles, strategies, initiatives, committees, and task forces.¹² University Week, the faculty and staff newspaper, is an official institutional mechanism for dissemination of information important to the campus community.¹³ Through an extensive network of homepages and list serves the various campus constituencies remain informed of issues affecting them and are provided an opportunity to submit comment and input. These and innumerable other official and unofficial venues for communication support the University's system of shared governance.

The University of Washington is a three campus institution: UW Seattle, UW Bothell, and UW Tacoma. The Seattle campus of the University of Washington was established in 1861. UW Bothell and UW Tacoma were created by state legislative action in 1990. The University governance system was revised to acknowledge the addition of these two campuses. The heads of UW Bothell and UW Tacoma hold two titles: Chancellor and Dean. They are responsible to the President and the Provost for all academic and educational matters on their campuses.¹⁴ The Faculty Code was revised to provide for equivalent faculty representation from UW Bothell and UW Tacoma in the Faculty Senate and Senate Executive Committee.¹⁵ Most recently, in response to a need to provide a formal mechanism for addressing matters of academic and non-academic policy between and among the campuses of the University of Washington, the Faculty Council on Tri-Campus Policy was created.¹⁶

THE BOARD OF REGENTS

The members of the University of Washington Board of Regents (Board) are appointed by the Governor of the State of Washington and confirmed by the Washington State Senate. The state statute relating to the membership, appointment, and terms of the Board is RCW 28B.20.100.¹⁷

The Board is composed of ten members, one of whom is a student. The current Board includes six men and four women. Three members are representatives of minority groups. The Regents have had distinguished careers in their chosen professions and are actively involved in community affairs and public service. Four of the Regents have degrees in law, two have master's degrees in civil engineering, one has a master's degree in educational psychology, one has a baccalaureate degree in economics, and one has a baccalaureate degree in mechanical engineering. They bring to university governance their expertise and professional experience in a number of arenas including engineering, law, business, labor relations, state government, finance and investments, banking, and city planning. One of the Regents is a former governor of the State of Washington and a former university president.

The Regents and the current positions they hold are listed below:

Regent Jeffrey H. Brotman, Founder and Chairman, Costco Wholesale Corporation¹⁸

Regent Ark G. Chin, Chairman Emeritus, Kramer, Chin & Mayo, Inc.¹⁹

Regent Daniel J. Evans, Chairman, Daniel J. Evans Associates²⁰

Regent William H. Gates, Co-Chair and CEO, Bill and Melinda Gates Foundation²¹

Regent Gerald Grinstein, Principal, Madrona Investment Group²²

Regent Sally Jewel, Chief Operating Officer, Recreational Equipment, Inc.²³

Regent David R. Moore-Reeploeg, University of Washington student in political science and history.²⁴

Regent Constance L. Proctor, Attorney in Private Practice²⁵

Regent Shelly Yapp, Director of Redevelopment, Seattle Center²⁶

Regent Cindy Zehnder, Chief Clerk, Washington State House of Representatives²⁷

The members of the Board, except for the student member, hold their offices for a term of six years from the first

day of October and until their successors are appointed and qualified. Regents may be reappointed to second (or more) terms, subject to Senate confirmation.

The student member is selected by the Governor from a list of candidates submitted by the governing body of the associated students, and is appointed for a term of one year from the first day of June until his or her successor is appointed and qualified. The student Regent must be a full-time student in good standing at the University of Washington at the time of appointment.

Except for the term of the student member, the terms of no more than two members expire simultaneously on the last day of September in any one year.

Six members of the Board constitute a quorum for the transaction of business. In the case of a vacancy, or when an appointment is made after the date of the expiration of a term, the Governor fills the vacancy for the remainder of the term of the regent whose office has become vacant or expired.

Organization and Conduct of Business

The state statute governing the organization and conduct of business by the Board, its by-laws, rules, and regulations, and its meetings is RCW 28B.20.105.²⁸ It provides that:

The board shall organize by electing from its membership a president and an executive committee, of which committee the president shall be ex officio chairman. The board may adopt bylaws or rules and regulations for its own government. The board shall hold regular quarterly meetings, and during the interim between such meetings the executive committee may transact business for the whole board: *Provided*, That the executive committee may call special meetings of the whole board when such action is deemed necessary.

Specific guidelines adopted by the Board to structure the committees and meetings of the Board, and to enable the Board to carry out its duties and responsibilities are set forth in the By-laws of the Board of Regents.²⁹

The President and Vice President of the Board are elected from the Board membership by majority vote at the regular meeting of the Board held in September of each year. The President and Vice President hold office for one year and until their successors are elected.

The President of the Board presides at all meetings of the Board and signs all contracts and other written instruments required to be executed by the Board. The President has the authority and performs the duties usually attached to the office and has other authority and duties as prescribed by the By-laws, the Standing Orders, and the Board.

The Vice President of the Board has the authority and performs the duties of the President of the Board in the event of the President's absence or incapacity. The Vice President may have other authority and duties as prescribed by the By-laws, the Standing Orders, and the Board.

The Secretary, the Treasurer, and any other officers, who need not be members of the Board, are elected by majority vote at the regular meeting of the Board held in September of each year. These officers hold office during the pleasure of the Board and carry out such respective duties as the Board prescribes.

The regular meetings of the Board are held pursuant to a schedule established yearly by resolution of the Board. Generally, regular meetings of the Board are held in January, February, March, May, June, July, September, October, and November of each year. All regular meetings are conducted in conformance with the laws of the State of Washington governing such meetings.

The President of the University, the President of the Board, or any six (6) members of the Board may call a special meeting at any time.

A majority of the entire Board is necessary to constitute a quorum at all regular meetings and special meetings. During any regular or special meeting of the Board, the Board may hold an executive session to discuss matters as permitted in applicable laws of the State of Washington.

Meetings of the Board as a Committee of the Whole may be held before regular or special meetings of the Board or at such time and such place as the President of the Board may direct from time to time.

The Board and its committees act only at meetings called as provided by applicable law and the By-laws, and all matters coming before the Board or its committees for action are determined by the majority vote of the members present, the members present being not less than a quorum. The member of the Board who is presiding at a meeting is entitled to make motions, second motions, vote, and otherwise participate in the meeting to the same extent as the other members of the Board. The student regent must excuse himself from participation or voting on matters relating to the hiring, discipline, or tenure of faculty members and personnel.

Standing committees of the Board have been established to facilitate the business of the Board and the University. The chairperson and other members of each standing committee are designated by the President of the Board. Each standing committee consists of at least four (4) members. The President of the Board is not appointed to any committee, but may act as an alternate, including

voting, in the event of the absence of any committee member.

All matters considered by the standing committees requiring action are referred to the Board for action unless express authority is delegated to a committee. If the standing committee transacts any business under delegated authority, the committee submits a report of that transaction to the Board.

Meetings of the standing committees of the Board are held at times and places fixed by each committee or its chairperson. Notice of meetings of any committee of the Board at which action is taken on behalf of the Board pursuant to delegated authority is given, when required, in accordance with the applicable law of the State of Washington governing such meetings. Three (3) members of a standing committee are necessary to constitute a quorum.

The standing committees are Academic and Student Affairs, Finance and Audit, and Capital Assets. The Academic and Student Affairs Committee considers and makes recommendations to the Board on matters pertaining to the teaching, research, and public service programs of the University and to its faculty, staff, and students. The Finance and Audit Committee considers and makes recommendations to the Board on matters pertaining to the financial management of the University, including the management of investments and investment properties. The Capital Assets Committee considers matters relating to all physical assets of the University including the interests of the University in the operation and development of the Metropolitan Tract and the stewardship and management of University trust lands. Any of the matters to be brought before the Academic and Students Affairs Committee or the Finance and Audit Committee or the Capital Assets Committee may be directed to any other standing or special committee or the Committee of the Whole of the Board for consideration.

Publication of Policies and Procedures

Under State law the Board has full control of the University and its property of various kinds. Any authority delegated by the Board shall always be subject to the ultimate authority of the Board. In retaining the ultimate authority over the University with which it is charged by law to exercise within constitutional and statutory limitations, the Board shall exercise the right of periodic review of any and all aspects of government of the University, the right to intervene and modify any rule, regulation, or executive order formulated by the President or the faculty, the right to amend or rescind any existing rule, regulation, or executive order, and the right to enact such rules, regulations, and orders as it deems proper for the government of the University.

The duties, responsibilities, ethical conduct requirements, organizational structure, and operating procedures of the Board are described in detail in Volume I of the *University Handbook*.³⁰ In addition, specific references are made throughout the *University Handbook* to the responsibilities, role, or authority of the Board in relation to the University administration, faculty, students, general policies, and committees and boards.

The *University Handbook* is electronically published and links to applicable state statutes and rules.³¹ A limited number of printed copies of the *University Handbook* are distributed by the Administrative Procedures Office.

Appointment and Review of the University President

Under Washington State law, RCW 28B.20.130(2), the Board has the authority “to employ the president of the University, the president’s assistants, members of the faculty, and employees of the institution, who except as otherwise provided by law, shall hold their positions during the pleasure of said board of regents.”³²

The Board By-laws,³³ provides that the President of the University shall be elected by the Board by the affirmative votes of not less than two-thirds of the members of the Board (excluding the student regent), and serves at the pleasure of the Board. The By-laws further state that the President of the University is the chief executive officer of the University and is responsible directly to the Board for the management and conduct of all the affairs of the University except those which by law, the By-laws of the Board, the Standing Orders of the Board, or other orders of the Board are the specific responsibility of other persons or bodies. The President of the University is authorized to attend all regular and special meetings of the Board and its committees, unless requested otherwise in specific instances by the Board or committee, and is authorized to bring matters before the Board or any of its committees for discussion and action.

The powers and duties of the President are described in detail in the *University Handbook*.³⁴ As the chief executive officer of the University, the President has responsibility for the general welfare of the institution, including its programs in instruction, research, and public service. The President or the President’s designee is authorized to act for the Board in formulating, prescribing, and issuing rules, regulations, and executive orders that are consistent with the By-laws, Standing Orders, and other orders of the Board and applicable state law for the immediate government of the University. The channel of authority from the Board to the faculty, staff, and other officers and employees of the University is through the President of the University. Through appropriate channels, all faculty, staff, and other officers and employees of the University are responsible to the President of the University and through the President to the Board.

The Board evaluates the performance of the President on an annual basis. In the fall of each year the Board adopts a resolution setting goals for the University president and his administration for the coming year. These goals are accompanied by specific expected outcomes, some quantitative and some qualitative. In the President’s annual report to the Board in the fall of the following year, the President summarizes the achievements and progress made during the year on the specific goals adopted by the Board. The goals adopted by the Board and the President’s annual report on how well those goals have been achieved are reviewed by the Board in its annual assessment of the performance of the president.³⁵

In addition to the annual reviews, in January 2001, the Board conducted an evaluation of the performance of the President after he had completed his fifth year in office. A series of interviews with representatives of the University administration, deans, faculty, students, the local community, and national higher education were conducted by pairs of Regents. Those who were interviewed were asked to assess the President’s performance in the following specific areas: (1) institutional agenda, (2) academic leadership, (3) general management, (4) effectiveness of the relationships with external constituencies, (5) development and fund raising, (6) problem solving and decision making, (7) personal characteristics, (8) support of the Board for the administration in achieving goals, and (9) significant events or developments reflective of quality of leadership.

Board Review of Institutional Mission, Academic Programs, and Degrees

The current Role and Mission Statement of the University of Washington, which briefly describes the University’s objectives and special strengths, was adopted by the Board on February 20, 1998.³⁶ A technical amendment was made in December 2001 to reflect the change in the number of schools and colleges at the Seattle campus from sixteen to seventeen. The Role and Mission Statement was developed through a collaborative process involving the Faculty Senate, the Board of Deans, and the Offices of the Provost and President. The previous Role and Mission statements were adopted by the Board in 1960 (with a language update occurring in 1972) and on February 13, 1981.

As provided in the By-laws of the Board, the Academic and Student Affairs Committee considers and makes recommendations to the Board for final action on matters pertaining to the teaching, research, and public service programs of the University and to its faculty, staff, and students, including, but not limited to, the following examples:

- Status, responsibilities, discipline, remuneration, benefits, health, and welfare of faculty, and professional and classified staff.
- Educational policy matters, admission requirements, instruction, curriculum, degrees, research, educational technology, distance learning, public services activities, and the establishment and disestablishment of educational and research organizational units.
- General welfare of students, including housing and food services, health services and health insurance, extracurricular activities, sports programs, and policies governing student discipline and student organizations.
- Collective bargaining for those employees authorized by state law to bargain collectively, including general policy and collective bargaining agreements.

The Academic and Student Affairs Committee of the Board reviews and makes recommendations to the Board for final action on proposals for the creation, reorganization, and consolidation of schools, colleges, departments, and academic programs of study at the University of Washington, and also makes recommendations on any major substantive changes in the schools, colleges, departments, and academic programs of study. Upon the review and recommendation of the Academic and Student Affairs Committee, the Board approves the creation of new masters and doctoral degrees and approves any changes in degrees and certificates.

The Board approves all degrees and certificates for graduation. Each quarter the Registrar transmits the accepted list of candidates for degrees and certificates to be conferred at the end of that quarter to the dean of the appropriate college or school for his or her faculty's approval and recommendation to the Board of Regents. The list as approved by the faculty is forwarded by the dean to the Registrar with a recommendation to the Board that all who fulfill their outstanding requirements for graduation will be awarded their respective degrees or certificates.

The Board may confer Honorary Degrees upon a person or persons of exceptional merit, other than graduates of the University of Washington. The Faculty Council on University Relations has jurisdiction over all matters pertaining to the award of Honorary Degrees, and after consultation with the President, the Council, on behalf of the Faculty, may recommend candidates for Honorary Degrees to the Board. In 2002, Honorary Degrees were awarded to Archbishop Desmond Tutu and former U.S Secretary of State Madeleine Albright.

In order to preserve the integrity of the academic standards and of the degrees granted by the University of

Washington, the power and right to revoke degrees previously granted may be exercised by the Board upon recommendation of the appropriate faculty in those cases in which the recipient has failed to satisfy the standards for that degree existing at the time of its award.

Review of the Board of Regents

The Board conducted its first performance survey in 1999. The Board has discussed the possibility of conducting a similar evaluation every five years.

In the evaluation process, the Regents prepared a list of the duties of the Board in directing the affairs of the University, taking into consideration all of the University's constituencies. Those duties are as follows:

- Evaluate the performance of and compensate the President of the University.
- Support the President in his or her administrative responsibilities.
- Serve as stewards for all of the citizens of Washington State to assure that the University provides a high-quality education for its students.
- Assure that the University is a sought-after workplace for its faculty and administrators.
- Serve as stewards of the assets of the University and the State, including assuring adequate internal controls.
- Ensure that appropriate codes of conduct and ethical standards are in place and observed.
- Oversee the strategic direction of the University, including its capital spending.
- Monitor the operations, academic results, and financial health of the University.
- Participate in the events of the University, providing visible and public support for the instruction and serving as an advocate for its interests.

All of the Regents were asked to rate and comment on the performance of the Board. The responses were analyzed by the Office of Educational Assessment, and the results were discussed by the Board during the October and November 1999 meetings of the Strategic Planning Committee, one of the active standing committees of the Board at that time.³⁷ The results of this evaluation, which were favorable, will serve as a baseline for future evaluations.

Academic and Administrative Structure

The Board ensures that the institution is organized and staffed to reflect its mission, size, and complexity. In

November 2002, an updated organization chart was approved that reflects the academic and administrative structure of the University.³⁸

The University of Washington is governed by the Board of Regents. The President serves as the chief executive officer of the University, the Executive Vice President serves as the chief business and financial officer, and the Provost serves as the chief academic and budgetary officer.

The President of the University is the presiding officer of the University faculty. The faculty consists of the president, vice presidents, professors, associate professors, assistant professors, instructors, principal lecturers, senior lecturers, senior artists in residence and artists in residence, teaching and research associates; whether serving full-time or part-time, in an active or emeritus capacity, under visiting, acting, research, clinical or affiliate appointment.

The President is authorized and encouraged to recommend for appointment by the Board such number of vice presidents, deans, and other officers as may be necessary for assistance in carrying out efficiently the manifold responsibilities of the chief executive officer of the University. All such officers of the University are under the general supervision of and exercise such powers and duties as are prescribed by the President.³⁹

Since the University's 1998 accreditation visit there have been changes in the academic and administrative structure to improve the effectiveness and efficiency of the University. For example, the office of the Vice Provost for Intellectual Property and Technology Transfer was created in 2000. In addition, the office of the Vice Provost for Student Relations was created in 2001. The Information School was created in 2001.

In addition to these organizational changes, some office holders have changed since the 1998 accreditation visit as a result of promotion, retirement, and resignation. In November 2002, former President Richard L. McCormick left the University to become President of Rutgers University. The Board has appointed a search committee that was charged with responsibility for the identification of a slate of nominees.⁴⁰ Former Provost Lee H. Huntsman was appointed by the Board to serve as Interim President during this search process; resulting in the appointment of David Thorud as Interim Provost. Additional academic and administrative appointment changes are as follows:

UW Bothell Chancellor and Dean – appointment of Warren Buck in 1999

Vice President for Development & Alumni Relations – appointment of Connie Kravis in 2001

Vice President for Minority Affairs – appointment of Nancy (Rusty) Barcelo in 2001

Vice President for University Relations – appointment of Jack Faris in 2000

Vice Provost for Educational Outreach – appointment of David Szatmary in 2001

Vice Provost and Dean of Undergraduate Education – retirement of Fred Campbell and appointment of George Bridges in 2001

Vice Provost for Research – retirement of Alvin Kwiram and appointment of Craig Hogan in 2002

Dean of the College of Architecture and Urban Planning – appointment of Robert Mugerauer in 2000

Dean of the College of Arts and Sciences – appointment of David Hodge in 1999

Dean of the Business School – appointment of Yash Gupta in 1999

School of Dentistry – retirement of Paul B. Robertson and appointment of Martha Somerman in 2002

Dean of the College of Education – appointment of Patricia Wasley in 2000

Dean of the College of Forest Resources – appointment of B. Bruce Bare in 2002

Dean of the Evans School of Public Affairs – death of our esteemed colleague Marc Lindenberg and acting appointment of Paul Hill in 2002

Dean of the School of Law – appointment of W. Joe Knight in 2001

Dean of the School of Public Health & Community Medicine – appointment of Pat Wahl in 1999

Dean of the School of Social Work – retirement of Nancy Hooyman and appointment of Dorothy Van Soest in 2001

Director of Libraries – appointment of Lizabeth Wilson in 2001

Financial Planning and Budgeting

The annual and biennial operating and capital budgets of the University of Washington, matters related to long-range financial planning, and reviews of periodic fiscal audit reports are considered by the Finance and Audit Committee and the Capital Assets Committee, and may be considered by other standing or special committees or the Committee of the Whole of the Board, prior to subsequent action by the Board.

As provided in the By-laws of the Board, the Finance and Audit Committee considers matters pertaining to the financial management of the University, including the management of investments and investment properties (except the Metropolitan Tract, which is under the management of the Capital Assets Committee). It also reviews all proposed requests for appropriation of State funds for the University for subsequent approval by the Board before presentation to the legislature or other State authority. The Committee reviews proposed annual or biennial operating and capital budgets for subsequent approval by the Board. The Finance and Audit Committee also considers and makes recommendations to the Board concerning audit policies and guidelines and reviews audit plans and reports. Other matters that may be brought before the Finance and Audit Committee include:

- Investment policies and guidelines.
 - Acceptance, approval, and allocation of gifts, grants, bequests, trusts, contracts, and agreements received by the University.
 - Policies governing the fund-raising efforts of the University.
 - Fees and charges pertaining to revenue-producing operations such as housing, parking, and intercollegiate athletics.
 - The University's intellectual properties, particularly with respect to technology transfer activities.
 - The long-term financing of capital projects and any other borrowings which may be required by the University.
 - Matters relating to the finances of the University, such as property and liability insurance, bank accounts, and surety bonds.
- Ownership, management, and leasing of the University's real property, including safeguarding the interests of the University in the operation and development of the Metropolitan Tract.
 - Stewardship and management of University trust lands, including the sale of such lands or any timber, forage, minerals, or other valuable materials on those or other University lands.
 - Safety of the campus, including security, protection from fire and other hazards, and the safety of lives and property.
 - General equipment needed in the facilities of the University to take advantage of current technology, especially in communications and computing.
 - Matters related to the servicing of the University, such as parking, transportation, major acquisitions of equipment, goods and services, and the rental or leasing of facilities.

Major participants in the development of the University's operating and capital budgets are the President, Provost, Executive Vice President, Vice Provost for Planning and Budgeting, the members of the President's Cabinet, the Board of Deans, the University Budget Committee, and the Faculty Senate Committee on Planning and Budgeting. The following excerpts from the *University Handbook* describe the roles of these participants:

Provost. The Provost provides leadership in the formulation and allocation of capital and operating budgets, allocation of space, and long-range University planning. The Provost provides advice and assistance to the President in the presentation of budget matters to the Board of Regents, the State Legislature and the Higher Education Coordinating Board. In carrying out these responsibilities, the Provost chairs the University Budget Committee and receives advice from the Capital Facilities Committee and from the Senate Committee on Planning and Budgeting.

Executive Vice President. As the chief business and financial officer of the University, the Executive Vice President is responsible for the management of all financial and administrative services of the institution, including business services, controller and investment activities, personnel services, physical plant/facility management and development, audit and real estate.

Office of Planning and Budgeting.⁴¹ The Office of Planning and Budgeting, administered by the Vice Provost for Planning and Budgeting, assists the Provost in coordinating the University budgeting process and provides staff support to the University Budget Committee in the areas of resource planning and budgeting, both operations and capital, and also staff the Capital Facilities Committee.

As provided in the By-laws of the Board, the Capital Assets Committee considers matters relating to all physical assets of the University including the Metropolitan Tract and University trust lands. The Committee regularly reviews management of these assets and proposes policies that, consistent with the University's mission, will maximize income to the University over the long term. Examples of matters that may be brought before the Capital Assets Committee include:

- Planning, development, maintenance, and upkeep of all campuses and stations of the University and the facilities and buildings, including environmental assessments, selection of architects and engineers, plans and specifications, the taking of bids, and the award and execution of all contracts relating thereto.

Board of Deans. The deans of the various schools and colleges and the Director of University Libraries share responsibility with the Provost for the planning and coordination of the academic programs throughout the University. The deans and Director of University Libraries make recommendations concerning personnel and budget to the President, the Provost, or the appropriate vice president and report to the President and the Provost on the progress, problems, and future plans for colleges and schools.

Treasurer of the Board. The Treasurer of the Board is responsible to the Finance and Audit Committee for recommending, developing, and analyzing policy and procedures relating to the investment of endowments, gifts, and bequests, other non-appropriated funds, and other funds in excess of immediate needs of the University of Washington. The Treasurer of the Board attends meetings of the Finance and Audit Committee as an ex officio member without vote, participates in the preparation of agendas for such meetings, and reports to the Finance and Audit Committee and the Board from time to time on matters pertaining to the Consolidated Endowment Fund and other gift funds.

University Budget Committee. The University Budget Committee is established by the President of the University as an advisory group in preparing the University's biennial operating budget and capital budget requests for submission to the Board of Regents and then for subsequent submission to the Governor. The Committee also advises the President concerning changes to the budget during the biennium, campus-wide capital planning, and related matters.

Senate Committee on Planning and Budgeting. The Senate Committee on Planning and Budgeting advises the Administration and informs the Faculty Senate on long-range planning and on preparation of budgets and distribution of funds with particular reference to faculty concerns. The Committee is guided by the advice of the Faculty Senate Executive Committee and/or the Faculty Senate on matters of policy.

LEADERSHIP AND MANAGEMENT

The President of the University of Washington derives his authority from the Board of Regents (Board) and the State of Washington and his full-time responsibility is to the University of Washington. The authority and functions of the President are set forth in the statutes of the State of Washington⁴² and the By-laws and Standing Orders of the Board. The specific responsibilities, powers, and duties of the President are clearly defined and enumerated in the *University Handbook*.

The President is appointed by the Board to serve as the chief executive officer of the University. The President is responsible directly to the Board for the management and conduct of all the affairs of the University except those which by law, the By-laws, the Standing Orders, or other orders of the Board are the specific responsibility of other persons or bodies. The president or the president's designee has delegated authority to act for the Board in the following matters:

- Formulating, prescribing and issuing rules, regulations, and executive orders for the immediate government of the University.
- Personnel and employment matters concerning the faculty, classified staff, and professional personnel.
- Grants and contracts for research, development, service, and training.
- Management of the student body.
- Execution and administration of instruments and general business and financial affairs of the University.
- Commencement of legal action necessary to protect the interests of the University.
- Acceptance of current and deferred gifts to the University.
- Disposition of gifts to the University in accordance with the intention of the donor.

The functions and responsibilities of the President are described in detail in the *University Handbook*. Specifically, it provides as follows:

As the chief executive officer of the University, the President has responsibility for the general welfare of the institution, including its programs in instruction, research, and public service. The President is responsible directly to the Board of Regents for the management of the University. The President is the University community's official representative to the Board of Regents. The President is authorized to bring matters to the Board of Regents or to any of its committees for action. With the advice and consent of the Board of Regents, and after consultation with the Provost, other appropriate members of the University administration, and such groups as the Faculty Senate, the President develops and directs the administration of policies, regulations, and procedures that affect the entire University. The establishment and maintenance of effective relationships with officers of federal and local governments, including the Governor, the State Legislature, members of Congress, and Federal agencies are among the impor-

tant continuing responsibilities of the President. The President represents the University before the Higher Education Coordinating Board (HEC Board) and to the presidents of other state higher education institutions. The President also serves as the University's principal liaison officer with such other external bodies as national higher education associations, accrediting agencies, the chief executive officers of the member institutions of the Pacific Athletic Conference (Pac-10), and a variety of other organizations. In addition to communication and interaction with the faculty, staff, and the student body, the President is concerned with a number of important external support groups and constituencies identified with the institution's diverse interests, such as alumni, advisory, and visiting committees; private donors; and civic, professional, and community organizations.⁴³

For the purpose of effecting the government of the University under and by the Board, the President of the University or the President's designee is authorized to act for the Board in formulating, prescribing and issuing rules, regulations, and executive orders not inconsistent with the By-laws, Standing Orders, and other orders of the Board and applicable State law for the immediate government of the University. In carrying out this duty, the President or the President's designee shall consult the University faculty and may delegate in whole or in the part the responsibility for formulating such rules, regulations, and executive orders to said faculty. It is not intended that such consultation or delegation shall remove from the President or the President's designee the authority and the responsibility vested in the President by the Board for such decisions, among others, as those concerning the utilization of available resources, organizational structure, and administrative personnel.

Volume Two of the *University Handbook, The Administration and the Faculty*, contains the descriptions, Washington State statutes, resolutions of the Board of Regents, executive orders of the President, administrative orders, faculty actions, and regulations which (1) establish formally the authority, under the Board of Regents, of the President, the Provost, the Vice Presidents, the Deans, the faculty, the Faculty Senate, and the colleges and schools; (2) provide for faculty organization; and (3) guide the academic administration of the University of Washington.

The Provost. The Provost serves as deputy to the President, has responsibility for the development and implementation of the University's academic policies and programs and provides advice and assistance in these matters to the President, the deans and the faculty. The Provost provides leadership in educational and curriculum development, formulation and allocation of capital and operating budgets, management of academic and admin-

istrative personnel, allocation of space, and long-range University planning.⁴⁴

The Executive Vice President. The Executive Vice President is a participant in planning and policy-making for the University as a whole and shares a major responsibility with the President and Provost for representing the University in political, business, and civic affairs. As the chief business and financial officer of the University, the Executive Vice President is responsible for the management of all financial and administrative services of the institution, including business services, controller and investment activities, human resources, physical plant/facility management and development, audit and real estate.⁴⁵ Reporting to the Executive Vice President are the Vice President for Financial Management and the Vice President for Human Resources.

The Vice Presidents. There are six Vice Presidents, each with specific responsibilities: 1) Vice President for Medical Affairs,⁴⁶ 2) Vice President for Minority Affairs,⁴⁷ 3) Vice President for Student Affairs,⁴⁸ 4) Vice President for University Relations,⁴⁹ 5) Vice President for Development and Alumni Relations,⁵⁰ and 6) Vice President for Computing and Communications.⁵¹

The Deans. The Deans share with the faculty and the President the responsibility for the formulation of rules for the immediate government of the University under such resolutions and executive orders as the Board of Regents and the President from time to time may adopt or issue.⁵²

The Chancellor and Dean of UW Bothell and UW Tacoma. As Chancellor, he or she reports to the President and is responsible through the President for representing the campus to the Board of Regents, to the central administration, to the Higher Education Coordinating Board, and to the State Legislature. The Chancellor is responsible for representing the campus to the local and statewide community and for campus development and fundraising. As Chancellor, he or she is directly responsible for campus administration and management.

As Dean, he or she reports to the Provost and is responsible for campus academic planning, programs, and budget. The Dean plays the customary role, consistent with responsibilities for deans detailed in Executive Order No. 12, as the final point of review and approval for most issues of an academic nature on his/her campus. In the creation of new degree programs or new academic units where university-wide committees, the central administration and/or external bodies, such as the Higher Education Coordinating Board are involved, the Dean will be the chief advocate throughout the approval process for the campus. The Dean is responsible for transmitting to the Provost or appropriate vice presidents all personnel actions for faculty, academic support personnel, and staff for the campus.⁵³

The University Faculty. By virtue of the authority vested in him by the Board of Regents, the President authorizes the faculty to share with him and the academic deans responsibility for the formulation of rules for the immediate government of the University under such resolutions and executive orders as the Board of Regents and the President from time to time may adopt or issue.

The President authorizes the University faculty to formulate regulations for the immediate government of the University and to share responsibility with him and the academic deans in such matters as:

- educational policy and general welfare;
- policy for the regulation of student conduct and activities;
- scholastic policy, including requirements for admissions, graduation, and honors;
- approval of candidates for degrees;
- criteria for faculty tenure, appointment, and promotion;
- recommendations concerning the University budget; and
- formulation of procedures to carry out the policies and regulation thus established.

By virtue of the authority granted him by the Board of Regents, the President recommends that the faculty:

- Determine, with the approval of the President, its own organization and constitution.
- Adopt its own by-laws and rules of procedure, for the purpose of exercising the powers and performing the duties delegated to it or vested in it by statute.⁵⁴

Revisions to the delegations of authority and to the University organization are made when necessary after review by the proper administrators, officers, and committees, and approval by the appropriate officer.

Qualifications and Evaluation of Administrators

It is the policy of the University to attract and retain qualified individuals to serve in principal administrative positions, both academic and nonacademic.⁵⁵ In keeping with this policy, the University has established guidelines for the selection and review of administrators including the Provost, the deans, directors, chairs of departments or equivalent units, directors of libraries, major institutes and centers. The President is charged with the responsibility of making recommendations to the Board for the appointment of principal administrative officers. Administrative positions are not tenured and the President

reserves the right to appoint, continue, or terminate any administrator.

Because of the changing nature or degree of completion of the particular tasks that an administrative appointee may have been requested to perform at the time of the initial appointment, it is recognized that it is beneficial to the academic administrator, the unit for which the administrator has responsibility, and the University, that periodic reviews be conducted. Such reviews are conducted to assess the recent accomplishments of the administrator in light of the past, present, and future goals of the individual and the unit, and changes in related units or in the University that affect the unit. At intervals of not longer than five years, or sooner if requested by the incumbent, the immediate supervisor, or the President, conducts a review of each academic and nonacademic administrative appointee.

Administrative Efficiency and Effectiveness

In recent years, under the leadership of the Executive Vice President, several steps have been taken to enhance administrative efficiency and effectiveness. A survey of the deans and their direct administration was conducted in 1999.⁵⁶ In general it was recognized that overall improvements were needed in the areas of 1) reducing the time it takes to get things done, 2) increasing communications about the status of requests and how to get things done, 3) encouraging staff to find ways to meet needs rather than enforce rules or appear bureaucratic, and 4) increasing delegated authority to campuses, schools, and colleges for a range of services including salary setting, purchasing, and grant proposals. Since then reports on actions taken to improve the way administrative services are provided are reported to the campus bi-annually.⁵⁷

The USER (University Services Renewal) Project started in 1997 with the mission to "transform University of Washington support services, enabling our community to be more effective and efficient in carrying out the institution's educational, research, and public service missions." The University community was more than ready to streamline how it did business. The USER approach was created to engage end users and technical developers in teams that would challenge the old ways of doing business and create new ways, using web tools. This approach was accompanied by a decision not to go with an Enterprise system but rather to build web applications that interacted with legacy systems.

The momentum for change within the community and the thinking behind this approach were then weaved into a proposal for funding through the University Initiatives Fund (UIF). Development of the proposal itself was a collaborative effort with sponsorship from the Executive Vice President and the Vice President for Computing and

Communications. The proposal was accepted, the funding received, and the USER Project was off and running.⁵⁸

The initial USER projects—HR and Payroll⁵⁹ and the Grants and Contracts⁶⁰ Initiatives—were funded by UIF monies. The USER initiatives that have started up since then have leveraged the investments and learning from the earlier ones and are funded through a variety of mechanisms. However, the newest member of the USER initiatives, the Financial Desktop, is also being funded by UIF monies.

The project is directed by its guiding principles⁶¹ and by the belief that information should be made readily available to the University community. There is a common commitment to learning the needs of the customers (users) and to creating products to meet those needs. This combined with an understanding of the elements of change and interest in participating in a creative team environment keep the project moving toward its mission to transform how the University provides support services.

Institutional Research and Informed Organizational Planning

The University's institutional research function is performed in the Office of Institutional Studies (OIS).⁶² OIS is a component of the Provost's Office responsible for short- and long-range planning and maintenance of decision support databases.⁶³ OIS ensures that services and resources are widely distributed to the University community to inform planning and subsequent decisions in four general ways:

- OIS responds to specific requests for information or analysis. These specific requests demand varying amounts of staff time and attention. Responses can be as simple as extraction of data from an existing hard copy report to a work of "first impression" requiring development of new reporting processes and procedures. The two questions "how many students are enrolled" and "what are a degree program's unit costs" illustrate the range of responses the office might be called upon to formulate.
- OIS publicly disseminates recurring reports utilizing web services. The reports are made available to the University as well as the public and range in scope from data on specific topics (e.g., Undergraduate Degree Efficiency and Time to Degree or average faculty salaries by department) to organizational thumbnail sketches.⁶⁴
- OIS provides decision support database education, training, and assistance. OIS maintains and supports a decision support database containing data on student enrollment, curriculum, degrees

granted, faculty teaching responsibilities, course offerings, buildings and space capacity and use, budgets, actual expenditures and revenues, grants and contracts, and student financial aid. The database has been designed such that it can be used to relate facts about a subject within the database to departments and the time period when the activity occurred. The database audience is the deans, chairs, and academic managers and officers (including the President, Provost, and Provost staff). Database users include a variety of University staff assisting audience members. The data resources of this database are used in informing the Board of Regents as well as all other University management levels below. A specialized decision support database jointly developed by the State's community colleges and the University (recently expanded to include three other state Universities) has data on students, enrollments, and degrees regardless of institution attended. This database is intended to better understand transfer articulation issues and to forecast transfer admission demand.

- OIS informs program and budget reviews and new dean orientations with documentation. As part of the University's ongoing cycle of program and budget review, documentation is generated relative to contemporary issues facing the University so as to frame a discussion of specific actions that can be taken. Examples of such documentation include a history of student credit hours instructed per faculty FTE, data on the number of students in majors, number of low enrollment classes or matters unique or particular to the Campus, College or School. Similar issues are addressed in new dean orientation materials.

UNIVERSITY PERSONNEL

Policies, procedures, and criteria related to the employment of the administration and staff are published and accessible electronically. The University has systems of classified and professional staff with the delegated authorities published in the *University Handbook*.⁶⁵

Academic Human Resources

Under the Vice Provost, Academic Human Resources is responsible for the administration of personnel policies and practices concerning faculty, librarians, post doctoral research associates, medical residents, visiting scholars, and many other members of the over 10,000 individuals engaged in academic activities at all three University of Washington campuses. Working closely with the offices of

payroll and benefits, Academic Human Resources ensures appropriate treatment of all such academic staff from time of appointment through retirement. Indeed, in coordination with the Retirement Center, the Office facilitates the continued connection of academic and staff retirees to the University's programs. Policies and procedures for all phases of academic personnel administration are posted on the Academic Human Resources website.⁶⁶

Human Resources

Human Resources is dedicated to supporting the fulfillment of the University's mission and goals by providing high quality and responsive human resources support to foster an exceptional work environment that encourages, nurtures, and recognizes the professional development of University employees. It is committed to designing and delivering:

- Recruitment activities that attract the highest quality people to the University;
- Retention activities that recognize the value of each employee and enable each to contribute to the University's success along with the realization of personal and professional goals;
- Promotion of a culturally diverse and inclusive environment in which every member is accepted, appreciated, and rewarded for his/her contributions; and
- Access to opportunities for skill, career, professional, and organizational development;
- A compensation program that is externally competitive and fiscally responsible and allows departments to reward exceptional performance; and
- A benefits program that ensures the best possible quality of life for employees and retirees.

To accomplish these commitments Human Resources makes accessible and reviews periodically policies, procedures, and criteria used in administrative and staff employment. The Human Resources homepage provides web resources on career opportunities, selection and hiring, compensation, benefits, training and development, labor relations, and work/life issues.⁶⁷

The University Human Resource Committee advises the President on matters of policy relating to the Professional Staff Program and the Human Resources Department has responsibility for overall coordination and modification of the program (as described in Administrative Policy Statement 42.1).⁶⁸ The implementation of professional staff personnel policies is the responsibility of the vice presidents and deans in whose organizations such individuals are employed. The responsibility for administering

certain aspects of the professional staff classification and compensation program is delegated to the Compensation Office. Consultation regarding other aspects of the Professional Staff Program is provided by the area Human Resource Consultants.⁶⁹

Professional Staff. Professional staff employees make essential and significant contributions in support of the University's mission of education, research, public service, and patient care. Accordingly, the University's Professional Staff Program is intended to support the University's commitment to:

- Recruit, develop, and retain skilled professional staff whose work efforts and dedication advance the mission of the University of Washington.
- Recognize, respect, and reward individual and team contributions to the success of the University;
- Provide professional staff with opportunities for management training and professional development and growth;
- Apply a merit-based total compensation system which recognizes the relative importance of internal salary relationships and external market factors in order to meet the performance goals of the employing unit and the University;
- Support management flexibility to meet individual needs and priorities; and
- Cultivate a work environment that encourages excellence, innovation, creativity, and teamwork.

The professional staff compensation policy is rooted in a merit based pay for performance system and seeks to allow management flexibility within available resources in order to reward meritorious performance and create incentives for achievement. The compensation system for professional staff strives to achieve a balance between salary equity considerations within the position's occupational group, the employing school, college or equivalent unit, and the University at large, and external market considerations specific to the position's occupational group, the individual recruitment, and the employing organization.

Although the professional staff employees are paid from several separate funding sources (i.e., state appropriations, hospital funds, grants and contracts, and self-sustaining activities), it is intended that the classification and compensation plan will be administered on an equitable basis for all staff members within the purview of the employing school, college or equivalent organization independent of the funding source.

Administrators' and staff salaries and benefits are adequate to attract and retain competent personnel consistent with the mission and goals of the institution. The professional staff compensation policy and salary ranges are published electronically and updated periodically.⁷⁰ Mechanisms are in place to request the review of a professional staff employee's position and/or salary based on any of several possible reasons, including change in duties, meritorious performance, market-related pressures, outside employment offer, active recruitment by a source outside the University, or misalignment of salary relationships.⁷¹

Classified Staff. There are two classified employee programs. The State of Washington civil service system under the Washington Personnel Resources Board (WPRB) governs approximately two-thirds of UW Classified employees. These employees are known as WPRB-classified staff. The remaining classified employees – also known as “contract-classified” employees – are covered by a collective bargaining agreement. Classified employees under the civil service system may also belong to unions. More details about unions and changes to the civil service system are given below in the section on collective bargaining.

The Human Resources Compensation Office is responsible for determining the job classification for every classified staff position. A job classification assignment is made at the time a position is first created, and may be reviewed at the time it is refilled. Once the position is filled, an employee or an employee's supervisor may request to have the position reviewed for possible reclassification. The job class specifications and pay scales for classified staff are published electronically and updated periodically.⁷²

Reclassification decisions are based on a comparison of the position's assigned duties to the available class specifications. Classification decisions are not based on an employee's job performance or on a comparison to the work that other employees perform.

The UW's classified staff system also has an additional compensation program available to support employee retention and development.⁷³ The recruitment and retention salary adjustment program gives employing units the flexibility to award to both contract-classified staff and WPRB-classified staff additional salary increment steps to address serious retention or salary equity/alignment issues.

The Career Enhancement/Growth Program (CEGP) is another compensation program that is available to contract-classified staff. The CEGP program gives employing units the opportunity to recognize and reward contract-classified staff whose development of skills or permanent assumption of higher-level duties have resulted in service

enhancements or efficiencies exceeding those normally expected of someone in the employee's classification.⁷⁴

As a state employee, University employees receive the same benefit programs the state makes available to all of its employees, regardless of the agency. Benefits are administered for both academic and staff employees by a singular Benefits Office. Initial benefit enrollment and periodic open enrollment changes in programs are handled by expert staff and increasingly online.⁷⁵

Collective Bargaining: The Labor Relations Office handles University affairs with labor unions. The offices' services include collective bargaining, contract interpretation and consultation, grievance administration, labor mediation and arbitration, union shop monitoring, management training and labor management relationship building and strategizing.

Under a civil service reform law passed in 2002, the scope of collective bargaining in Washington State, including higher education, is being expanded. The reform process is intended to create a system that is fair, but more flexible than the civil service system now in place. Civil service reform is scheduled to be completed by 2005.

The current labor contracts can be found on the Human Resources homepage.⁷⁶

Nondiscrimination and Affirmative Action

Executive Order 31 of the President, published in the *University Handbook*, establishes the University's nondiscrimination and affirmative action policies.⁷⁷ Executive Order 31 was first adopted in June 1972 and was most recently updated in July 1998.

The University's nondiscrimination policy provides as follows:

The University of Washington, as an institution established and maintained by the people of the State, is committed as a matter of principle to providing equality of opportunity to all members of the University community. In conformance with Federal and State law, the University shall not discriminate against any person because of race, color, creed, religion, national origin, sex, age, marital status, disability, or status as a disabled or Vietnam era veteran. Discrimination on the basis of sexual orientation is also a violation of this policy.

The University's affirmative action policy provides as follows:

The University is committed to having a diverse faculty, staff, and student body. The University will take affirmative action to: employ qualified American Indians/Alaska natives, Asian/Pacific Islanders,

Blacks, Hispanics, women, persons age forty and over, Vietnam era and disabled veterans, and persons with disabilities in University positions where they are underutilized; and in educational programs increase the participation of qualified American Indians/Alaska natives, Asian/Pacific Islanders, Blacks, Hispanics, women, and persons with disabilities, where they are under-represented.

The University maintains an Affirmative Action Program consistent with this policy.⁷⁸ The Equal Opportunity Office is charged with responsibility for ensuring the University's compliance with its policies and federal and state law.⁷⁹ This office publishes electronically affirmative action reports that display the University's workforce profile.⁸⁰

FACULTY ROLE IN GOVERNANCE

The role of the faculty in institutional governance, planning, budgeting, and policy development is clearly articulated in the *University Handbook*. Specifically, the Faculty is authorized to formulate policy, regulations, and procedures in the following areas:

- Educational Policy;
- Regulation of Student Conduct;
- Scholastic Policy, including admission and graduation requirements;
- Criteria for faculty tenure, promotion, and appointment; and
- Recommendations concerning the University budget.⁸¹

In addition, the Faculty is authorized to participate in recommendations concerning new appointments to the faculty, promotions and merit increases of faculty members, and the granting of tenure to faculty members.⁸² Central to the faculty's role in governance is the establishment of its organizational structure.⁸³ The faculty governance structure is a two level system that provides for representation on a University-wide level and on a campus, college, or school level. The University-wide legislative agent of the faculty is the Faculty Senate.

The Faculty Senate

There are approximately 3,500 voting faculty members at the University. To facilitate governance, the faculty has created the Faculty Senate to serve as its legislative agency, charging it with responsibility for establishing policies, rules, and regulations for the entire University. The Faculty Senate is composed of approximately 200 senators, elected to two-year terms by their departmental

colleagues.⁸⁴ Senators are voting members of the faculty.⁸⁵ Approximately one senator is elected for every 15 faculty members in a department. In departments with fewer than 12 members, the senator represents a voting unit comprised of two or more departments. In addition to the elected senators, the Faculty Senate includes as voting members the President of the University and the chairs of the Faculty Councils and the Bothell and Tacoma faculty organizations. Other members of the University Community, including administrative officers as appointed by the President, Deans, the Director of Libraries, and the presidents of the Associated Students of the University of Washington (ASUW) and Graduate and Professional Student Senate (GPSS), are members of the Senate with the right to speak, but without vote.⁸⁶

The Faculty Senate's principal function is to promote the general welfare of the University and its legislation can directly affect not only the faculty but also the entire University community. The Senate must also propose and enact legislation that accurately represents the faculty opinion on the issues under consideration. Senate meetings, occur at least twice during each Autumn, Winter, and Spring Quarter.

The Chair and Vice Chair are the elected officers of the Faculty Senate. The Vice Chair becomes Chair the following year. The Senate Chair presides at Senate meetings, chairs the Senate Executive Committee (SEC), and represents the Senate and the faculty in public explanations of Senate actions. The Chair and Secretary of the Faculty coordinate the work of the Faculty Councils and recommends action on faculty requests for information. In the absence of the Senate Chair, the Vice Chair presides at Senate and SEC meetings.

The officers of the Faculty Senate are traditionally given a 50% release from their teaching duties in their home department and that portion of their salary is covered by the administration. Additionally, they receive 1.5 months of summer support at their full salary.

Although their duties are described in the *Faculty Code*, the *Code* fails to capture the full range of their duties and responsibilities. Both officers have regular meetings with administrative officials, including the President and Provost. They are available for meetings on all three campuses. In recent years, the Senate leadership has made a point of visiting as many departments as possible in an academic year to discuss current faculty issues. The Chair of the Senate holds a weekly cabinet meeting in which he or she elicits guidance about issues facing the faculty. Both officers attend various Faculty Council meetings on a regular basis in order to coordinate the work of the Senate and be apprised of upcoming issues. Finally both meet individually with a wide range of faculty on a regular basis.

The Senate appoints a Faculty Legislative Representative and a Deputy Legislative Representative who speak on behalf of the faculty and of faculty interests to the executive and legislative arms of state government. Both the Legislative Representative and the Deputy attend sessions of the State Legislature, appear before legislative committees on the faculty's behalf, and generally work to keep the faculty informed of legislative matters in Olympia (and elsewhere), and keep legislators informed of faculty concerns and interests.

The primary role of a senator is to represent his or her constituents: the faculty members in the department or voting unit. Senators are urged to vote the interests of their voting unit, rather than their own personal views. Prior to Senate meetings, senators receive a copy of the agenda, together with attachments containing copies of reports, proposed legislation and any other documents relevant to the topics to be discussed. Some senators issue newsletters and bulletins informing their colleagues about upcoming legislation and issues of concern, and soliciting their responses and advice.

Senate Committees

The Faculty Senate carries out its responsibilities with the assistance of a number of faculty committees. In addition to the Faculty Councils, the Senate has three committees of its own: the Senate Executive Committee (SEC), the Senate Committee on Planning and Budgeting, and the Advisory Committee on Faculty Code and Regulations.

The SEC determines the agenda for Faculty Senate meetings, assists the Senate in conducting its business, and provides a channel of communication between the President and the faculty. This involves regular interaction with the Faculty Councils, requesting and receiving reports, making recommendations for action by the Faculty Senate, nominating members of Councils and committees, and transmitting to the Senate any item requested by at least ten percent of the voting members of the faculty.

For the purposes of faculty representation on the SEC, colleges, schools, and departments on the Seattle campus are organized into eight Senate Groups, representative (for the most part) of broadly-defined disciplinary areas: Humanities (I), Arts, Architecture, and Communications (II), Natural and Mathematical Sciences (III), Social Sciences (IV), Business, Education, and Law (V), Engineering (VI), Medicine and Public Health (VII), and Dentistry, Nursing, Pharmacy, and Social Work (VIII).⁸⁷ The senators in each Group elect one of their number (two in Group VII) to serve on the SEC. The Group Representatives stand in for the members of their Senate Groups on matters under consideration by the SEC and

should communicate regularly with the senators and faculty in their Groups.

The Senate Committee on Planning and Budgeting (SCPB) advises the administration on the University budget and plans for the future of the University. It also regularly informs the Faculty Senate on University budgeting and planning issues. The committee has twelve faculty members. Administrative members serve with vote and include the Provost, the Vice Provost for Planning and Budgeting, and a representative from the Board of Deans. Student members include the presidents of the GPSS and the ASUW, and a student member nominated jointly by GPSS and ASUW.

The Advisory Committee on Faculty Code and Regulations reviews all proposed Class A legislation following first consideration by the Senate. The committee is appointed by, and is advisory to, the SEC; it is responsible for making recommendations on proposed legislation's clarity, precision, and compliance with the existing provisions of the *Faculty Code*. It is also available to the SEC, Faculty Councils and committees, and senators for assistance in drafting proposed legislation. The committee may also render advisory opinions and interpretations of the *Faculty Code* and may be consulted on the meaning and status of existing University rules and regulations.⁸⁸

The Faculty Councils are standing committees of the University faculty, and deliberate about matters of policy and practice in areas under their jurisdiction.⁸⁹ As the principal advisory bodies to the Senate, the twelve Faculty Councils are responsible for overseeing specific aspects of University policy and operations, for making policy recommendations and developing proposed legislation, for reporting resolutions and other actions to the SEC and the Senate, and for interpreting (or obtaining interpretation) of policy regarding matters under their jurisdiction. The Councils also monitor the University's compliance with policies and procedures and make recommendations for implementation of rules and regulations.

Faculty Legislation

There are three types of Senate action. Class A action amends the *Faculty Code*; Class B amends other parts of the *University Handbook*; and Class C produces non-legislative actions of the Senate, such as resolutions and reports.

Class A legislation amends the *Faculty Code*. Because of its serious impact on University policies governing Faculty relations, this legislation must go through several steps before securing passage. Most Class A legislation is developed in the Faculty Councils after careful consideration of an issue. If approved by the SEC, it is sent on to the Senate. Assuming that the Senate approves the legislation, it is sent back to the SEC for a second reading

before its return to the full Senate for a final reading. It is then sent to the full Faculty for a vote. If the Faculty approve of the legislation by a majority vote of those eligible or a two-thirds majority of those voting, it is sent to the President for action.

In the recent history of the University, no Class A legislation has ever been vetoed by the President. This reflects the reality that by the time legislation reaches the President it has been reviewed carefully twice by the Senate. Prior to its review in the SEC and Senate, it typically has undergone a drafting process that can take up to a year. Both faculty and administrators, particularly staff from the Provost's Office, are involved in crafting legislation that is amenable to the interests of all involved. These actions involve matters affecting the academic welfare of the University, including such topics as admissions, graduation, honors, and other scholastic policy.

Class B legislation is adopted by the Senate, subject to directed reconsideration after publication to the University faculty. Amendments to sections of the *University Handbook* other than the *Faculty Code* may be proposed by a faculty member.

Legislative Class C actions (such as Senate resolutions, appointment of committees, approval or disapproval of committee [or other] reports, and information or other notices) become effective as soon as they are adopted by the Senate.

Office of University Committees and the Secretary of the Faculty

The Secretary of the Faculty is a tenured member of the faculty appointed by the President from a list of nominees submitted by the SEC. Included among the Secretary's duties are: keeping the minutes and records of the Faculty Senate and SEC, establishing the agenda for SEC meetings, administering the Senate Office, and providing lists of nominees for committee appointments. In addition, the Secretary serves on the SCPB, oversees Senate elections, manages the official materials associated with Adjudication Proceedings⁹⁰ and Program Eliminations,⁹¹ maintains the *University Handbook*, and is available to faculty for consultation and advice about University rules and regulations. In recent years the Secretary has played an increasingly important role in advising faculty about their rights under the *Faculty Code*, and aiding faculty members who wish to file grievances for adjudication under Chapter 28.

The Secretary of the Faculty has traditionally served a five year term, and is funded on a 75% basis by the central administration and 25% by his or her home department. The Secretary additionally receives an administrative stipend and receives his or her full salary for two months in the summer.

The Faculty Senate and the Office of University Committees share an office suite in the main administration building, Gerberding Hall. The office staff provides valuable support to the operations of both offices, including acting as the recorders for the Faculty Councils and Committees. The Faculty Senate and the Office of University Committees is funded from an allocation from the Provost's office. Typically, this funding has covered the salaries and release time for three faculty, the salaries for four staff, and the cost of overhead and materials. The adjudications incur costs because the hearing officers are lawyers retained by the University to hear these cases on an hourly basis, albeit at a contractual rate that is far below their typical client billing rate. In the 2001-03 biennium, the University spent in excess of \$1 million to support the faculty governance.

Adjudications

Chapters 27 and 28 of the *Faculty Code* provide for resolution of disputes. Chapter 27 largely addresses informal means of dispute resolution, although it is not the exclusive source of remedies in this regard.⁹² Chapter 28 provides an adjudication or grievance procedure that is designed to comply with the Washington Administrative Procedure Act (Chapter 34.05 RCW).⁹³ There are two types of adjudication: Brief Adjudication, held before a Hearing Officer and used in cases that do not warrant an extended fact-finding hearing, and Comprehensive Adjudication, which uses a Hearing Officer as well as a faculty panel, or in some cases, a faculty/student or staff panel.

Results of Brief Adjudications are appealable only if the Brief Adjudication Review Panel reverses or amends the decision of the Hearing Officer. Results of brief or comprehensive adjudications in which the President is a party to the controversy are appealable to the Board of Regents. Results of adjudications in which the President is not a party to the controversy are appealable to the President. Subject to the provisions of Chapter 34.05 RCW relating to exhaustion of administrative remedies, parties shall avail themselves of these proceedings prior to seeking review beyond the University.

Resort to the adjudication process varies from year to year. For the two years from 1999-2001, there were virtually no adjudications. Those few that were initially filed were settled as a result of efforts between the Vice Provost and Secretary of the Faculty. The latter part of the 2001-2002 academic year saw a sharp increase in the number of adjudications. Currently, three hearing officers are retained to hear cases under Chapter 28, and a professor in the law school is chair of the Adjudication Panel.

Faculty Collective Bargaining Enabling Legislation

At three separate occasions in the past, the Faculty Senate has endorsed the principle of collective bargaining legislation. In November 2000, the Faculty Senate proposed a Class C resolution that stipulated that any collective bargaining enabling legislation, in order to be acceptable to the faculty, must embody the following four principles:

1. Bargaining Unit: The entire voting faculty is to be considered one unit.
2. Shared Governance: Shared governance should be preserved.
3. Impasse & Grievance Resolution: The final decisional authority should reside with the faculty.
4. Strikes & Lock-outs: Legislation shall not permit strikes or lockouts.

In the fall of 2001, senate representatives met with administration representatives to prepare a draft bill enabling faculty of the four-year colleges and universities to engage in collective bargaining if they so choose. After a series of meetings involving the Council of Faculty Representatives (legislative representatives from each of the four-year colleges), administrative representatives, and senate representatives, a final draft was crafted embodying the four principles and was presented to the Legislature. Collective bargaining legislation became law in the 2002 session of the Washington Legislature. To date no organizing drives have begun on any of the three UW campuses, however the Faculty Senate has a committee that is exploring the ramifications for shared governance of potential unionization.

Three Campus Coordination

Former President McCormick clearly announced in 1999 that the University of Washington is “one University” with three campuses. This announcement clarified the overall relationship of the three campuses. Because of the Faculty Senate’s role in developing the Faculty Code, the application and development of the Code have been live and continuing issues for leadership on all three campuses. The issues tend to revolve around issues of participation and coordination.

As to the first, it is clear that fairness dictate that members of the Bothell and Tacoma campuses play a more active role in the Faculty Senate. At the same time, because of the significant program development that is taking place at both campuses, and the physical reality of an impacted freeway drive from each, it has been difficult to reach a fair accommodation. The recently passed “Tri-Campus Legislation” increased the representation of Bothell and Tacoma on the Faculty Senate and Senate Executive Committee, and established a Tri-Campus

Council that addresses the policy issues that arise from a three campus university.

STUDENT ROLE IN GOVERNANCE

Students play an important and visible role in University governance. Of particular note is the state legislative change in 1998 that added a student member to the Board of Regents.⁹⁴ This provides the students with a central voice in University planning, budgeting, and policy development. There are two student governance organizations: Associated Students University of Washington (ASUW)⁹⁵ and Graduate and Professional Student Senate (GPSS).⁹⁶

In 2001, the position of Vice Provost for Student Relations was established. As a part of this office, the administration established programs to enhance communication between the general student body and campus leaders. These include:

President’s Student Forum: On a monthly basis the President and Vice Provost for Student Relations meet with a group of fifteen students appointed by the ASUW and GPSS presidents to discuss issues that are of critical importance to students. The purpose of the Forum is to facilitate communication between students and the President. Care is taken to not usurp the powers of organized student government. The agenda for the meetings is developed by the students and often results in recommendations to the President for specific actions, initiatives, and improvements. Primary outcomes include an appreciation by students of the role of the President, and a broader appreciation on the part of the President of the issues and opinions that are important to students.

Fireside Conversations: Each month several members of the University’s highest leadership including two Regents, a vice president and a college dean meets with an ad hoc group of students to explore issues of importance to the campus. Meeting in the early evening and in settings convenient for the students, sessions are intended to facilitate and improve communication between the University’s decision makers and the students who are most affected by those decisions. Discussions are informal and the dialogue candid and constructive. To broaden the impact on the campus and to maximize the involvement of members of the University community, administrative participants are rotated, as is the discussion venue and the student audiences. Although the current format calls for meetings with specific campus sub groups (e.g., students of color, fraternity students, and students living in residence halls) other configurations are under consideration. A major outcome for administrator participants includes the development of a broader knowledge base of the challenges facing students. Student par-

ticipants have expanded their knowledge of the University's administration, the decision making process, as well as specific issues affecting the welfare of students.

Student Administrative Internships: In cooperation with ASUW and the UW Leaders Program, the Office of the Vice Provost for Student Relations provides opportunities for students to work directly with University administrators in mentorship programs. Dedicated to developing future campus and community leaders, the program is a cooperative effort between students, faculty, and administrators and is geared to broaden knowledge of the University community and to develop a sense of civic responsibility among students.

UNIVERSITY OF WASHINGTON, BOTHELL

The head of UWB holds two titles: Chancellor and Dean. The chancellor is the chief executive officer. The dean is the chief academic officer. The chancellor and dean is assisted by two vice chancellors: academic affairs and administrative services. Five academic program directors report to the vice chancellor for academic affairs, along with the director of academic services and the campus library and the director of student affairs. Reporting to the vice chancellor for administrative services are the managers for the physical plant, public safety, campus operations, administrative services, and human resources. The chancellor and dean is assisted in long-range planning and strategic thinking by a 16 member Advisory Board.

The General Faculty Organization (GFO) is the faculty governance body. It is a committee of the whole. All members of the faculty are part of the GFO. There are six standing committees of the GFO: Faculty Affairs, Instructional & Research Support, Curriculum, Academic Affairs, Honors & Ceremonies, and the Faculty Council on Promotion & Tenure. The Executive Council of the GFO, an elected body of six members, meets bi-weekly to conduct the business of the GFO. The chair of the Executive Committee convenes a monthly meeting of the GFO for full discussion and approval of pending policy and legislation. The head of the GFO represents the Bothell faculty on the Senate Executive Committee and is a voting member of the Faculty Senate. The GFO has representation on the Faculty Council on Tri-Campus Policy.

The student government (ASUWB) sponsors: student publications, including the weekly campus newspaper and the annual literary and public policy journals; several campus events each year, including the quarterly Student Activities Days; speakers; musicians/bands; field trips; graduation parties; and the quarterly campus party. ASUWB officers and staff also work with student groups to assist with coordination of their events. The ASUWB

works to increase involvement in campus activities and seeks to build a strong sense of community at UWB.

UNIVERSITY OF WASHINGTON, TACOMA

The Chancellor of UWT has a dual reporting line, to the President and to the Provost of the University. As chief executive officer of UWT the Chancellor is responsible for exercising executive leadership in every arena of campus activity, from academic to political. The Chancellor provides vigorous, community-oriented leadership and vision; unwavering commitment to academic quality; and, through the development of a strong staff and faculty, presides over growth in academic offerings, enrollment, facilities, employment, and campus diversity. The Chancellor also builds UWT's endowment and cultivates both legislative funding and private philanthropy. The Chancellor is called upon to participate in many of the region's economic, cultural, and technological enterprises and to respond to emerging demands from governments (state, municipal, county, and federal) and from the South Sound's business, legal, health, and arts communities. She is responsible for maintaining productive relationships with supporters and alumni and for establishing national and international partnerships for new academic ventures. The Chancellor oversees campus growth, including the recent expansion of the campus organization to include units committed to diversity, advancement, public relations, human resources, and grants and contracts, which in turn provides a solid foundation for the future. The Chancellor maintains strong collaborative relationships with those who are influential in determining the state's higher education policy and determining the state's investments in public universities. She keeps the interests of UWT high on the civic agendas of the region's new organizations.

The Faculty Assembly is the organizational faculty governing body of UWT. Members on the faculty committees which are advisory to the Chancellor and Vice Chancellor are identified by the Faculty Organization. This body also selects its faculty representative to the Faculty Senate Committees, including the Tri-Campus Council of the Senate.

The students are organized as the Associated Students of the University of Washington, Tacoma (ASUWT). This organization sponsors student events and is active in the allocation of student fees to support activities at UWT.

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