1. Call to Order and Approval of Agenda.

2. Senate Chair’s Remarks – Norm Beauchamp.

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

4. President’s Remarks – Ana Mari Cauce.

5. Consent Agenda.
   a. Approve the November 16, 2015, Senate Executive Committee minutes.
   b. Approve the December 3 and December 10, 2015, Faculty Senate minutes.

6. Announcements.

7. Unfinished Business.

8. Invited guests:
   a. Compliance Support Platform – Elizabeth Cherry, Associate Vice Provost, Compliance and Risk Services. [Exhibit D]

   a. Class A legislation – First Consideration. [Exhibit F]
      Faculty Council on Faculty Affairs
      Title: Proposed amendments to the Faculty Code regarding conflict of interest.
      Action: Approve for Faculty Senate consideration.

   b. Class A legislation – Second Consideration.
      Faculty Council on Faculty Affairs
      Title: Proposed amendments to the Faculty Code regarding faculty salary policy.
      Action: Vote to delay the second consideration until the February 22, SEC meeting.

   c. Class C Resolution. [Exhibit G]
      Faculty Council on Multicultural Affairs and Faculty Council on Women in Academia
      Title: Resolution concerning a black lives matter statement.
      Action: Approve for Faculty Senate consideration.

   c. Approval of the January 28, 2016, Faculty Senate Agenda. [Exhibit H]
      Action: Approve for distribution to Faculty Senators.

10. Adjournment.

Prepared by: Marcia Killien
Approved by: Norm Beauchamp, Chair
Marcia Killien
Secretary of the Faculty
Faculty Senate

NOTE: If a continuation meeting is necessary to conduct unfinished or special business, it will be held on Tuesday, January 19 at 2:30 p.m. in Gerberding 142.
Report of the Secretary of the Faculty
Marcia Killien, Professor, Family and Child Nursing

1. The vice chair nominating committee is accepting nominations for Vice Chair of the Faculty Senate for a term beginning in 2016. Please consider nominating colleagues you believe could serve in this important faculty leadership position. Final candidates will be presented to the Senate Executive Committee at its February 22, 2016, meeting.

2. The second consideration of Class A legislation No. 136, faculty salary policy, has been postponed to the February 22, 2016, SEC meeting to allow the President’s office and the Advisory Committee on Faculty Code and Regulations sufficient time for a thorough review of the proposed legislation.
Report of the Chair of the Senate Committee on Planning and Budgeting
Kate O’Neill, Professor, Law

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

SCPB has met twice since my last report. In that limited time, we have completed our review of the basic planning and budgeting process, and we have moved now to considering proposals for Provost Reinvestment Funds (PRFs). The committee concurs with Interim Provost Baldasty on basic priorities for use of permanent funds: improved faculty compensation, efforts to improve faculty diversity and retention, and investments to meet critical compliance risks. There are insufficient funds to meet more than a fraction of the PRFs submitted. In the coming weeks, we will move on to consider unit budget proposals. We will be meeting with some key administrators and deans to delve into long-term strategic planning issues.
January 11, 2016, SEC Agenda 4

Exhibit C

Report of the Faculty Legislative Representative
JoAnn Taricani, Associate Professor and Chair, Division of Music
olympia@uw.edu

The 2016 legislative session begins on January 12, 2016. Aside from adjusting the biennial budget with a supplemental budget, the Legislature is expected to address various policy issues in legislative committees: access and affordability of higher education, cost of textbooks, protected speech on campuses, and long-range projections of growth and planning in higher education.

The main event that has occurred in the past month has been the release of the Governor's proposal for the supplemental budget, which will adjust portions of the approved budget for 2015-17. It changes very little of the University of Washington budget. The University had requested full “backfill” of the tuition revenue that would have occurred absent the reduction of tuition for 2015-17; most of that amount is provided in the full biennial budget, but now that the Autumn enrollment is finalized, a slight increase is needed. Also, the University had requested full funding for the construction of the next phase of the Computer Science and Engineering expansion, but the Governor made no adjustment to the biennial allocation that funds the project partially through direct appropriation and partially through the use of university funds that otherwise would be directed toward renovations. The Governor’s budget did include an increase of $250,000 in additional ongoing funding for the Mathematics, Engineering, and Science Achievement (MESA) program beginning in FY17. MESA currently has a budget of approximately $1.5 million per year.

There will be new proposals from the House and Senate in March, and the final adjustments to the 2015-17 budget will occur before the 2016 session of the Legislature concludes. For details about the Governor’s budget, please see this summary provided by the Office of Planning and Budgeting:

Compliance Support Platform – Elizabeth Cherry, Associate Vice Provost, Compliance and Risk Services.

Dear Senate Executive Committee,

I look forward to presenting to you on January 11th to discuss UW’s newly developed Compliance Support Program. Briefly, the discussion is designed to solicit your perspective on how the program can be meaningful and useful to the faculty. I will be presenting the attached slides to stimulate conversation, comments and questions. In addition, I have attached a recent paper published by the National Association of College and University Attorneys about considerations for organizing compliance activities in higher education today. It’s not essential that you read it, but you might find it of interest. ¹

There are two specific areas where I would particularly appreciate your input:

1. How can we best engage faculty in the planned compliance assessments and mitigation activities?
2. How do faculty currently obtain information about compliance with the laws and regulations applicable to their work?

Thanks, and see you next week.

¹ Please follow link to document.
The New UW-wide Structural Compliance Program

Elizabeth Cherry, JD, CCEP-I
Associate Vice Provost, Compliance and Risk Services
Regulators Look for the Implementation of an Effective Compliance Program

- Identified priorities
- Capacity to self-monitor
- Systematized compliance functions
- Defined metrics
- Evidence of compliance activities
- Linkage between compliance goals and the institution’s mission

THE LANDSCAPE

- UW Leadership
- Board of Regents
- External Auditors
- Regulators

1st Line of Defense
- Operational Units
- Substantive Compliance
  - Own and manage identified risks
  - Implement appropriate controls
  - Demonstrate continuous improvement

2nd Line of Defense
- Compliance Support
- Structural Compliance
  - Assess, monitor and report
  - Facilitate solutions and coordinate resources
  - Identify best practices

3rd Line of Defense
- Internal Audit
  - Prepare financial reports and audits
  - Measure operational effectiveness
  - Conduct periodic testing

Structural Compliance Program
Structural Compliance

- Respond to regulators, accreditors, sponsors and grantors
- Monitor the regulatory environment for trends, patterns, changes
- Minimize disruption to research and scholarly activities
- Reduce administrative burdens

UNIVERSITY of WASHINGTON

Structural Compliance Program
Research Compliance

Laws and Regulations
- Institutional Review Boards
- Animal Welfare Act
- Controlled Substances Act
- Food and Drug Administration Modernization Act

Civil Rights/Employment Compliance

Laws and Regulations
- Title IX
- Americans with Disabilities Act
- EEO and Affirmative Action
- Age Discrimination Act
- Family and Medical Leave Act
- Civil Rights Act
- Employee Retirement Income Security Act
- Employment and Training of Veterans
- Fair Pay Act
- Immigration Reform and Control Act

UNIVERSITY of WASHINGTON

Structural Compliance Program
Structural Compliance Program
7 ELEMENTS OF AN EFFECTIVE COMPLIANCE PROGRAM

1. Leadership and oversight
2. Standards of conduct, policies and procedures
3. Education and outreach
4. Monitoring and auditing
5. Receiving reports and investigating
6. Response and prevention
7. Accountability, incentives and corrective action

UNIVERSITY of WASHINGTON
REGENTS REPORT

- Introduction of subject area
- 3-5 priorities with associated mitigation plans
  - Relevant laws, regulations
  - Analytics and data
  - Individuals involved
- Achievements
- Updates: environmental scan
- Additional resources

STRUCTURAL COMPLIANCE PROGRAM

- TONE AT THE TOP: Oversight, direction
- TONE IN THE MIDDLE: Leadership, coordination, facilitation
- COMPLIANCE STRUCTURE: Policies, controls, investigations, resources, education and outreach
- CULTURE OF COMPLIANCE: Norms, expectations, values, attitudes

Structural Compliance Program
CYCLE ONE DELIVERABLES – STRUCTURAL COMPLIANCE PROGRAM

- Convene Compliance Working Committee
- Convene Compliance Steering Committee
- Regents orientation session, confirm proposed report format and content
- Present quarterly reports to Regents
- Leadership orientation sessions, program overview

- Survey compliance requirements
- Regulatory response standards, system
- Issue RFQQ for Independent Investigator Pool, develop appropriate standards for use
- Roll out education program and strategy
- Develop metrics to measure success

Questions?

UNIVERSITY of WASHINGTON

Structural Compliance Program
1. ACADEMIC PROGRAMS
   a. MSTI is about ready for review by Graduate Council—will happen January or February.
      i. Once approved by Regents, we can market it.
      ii. Interdisciplinary Faculty Committee chaired by Shwetak Patel.
      iii. MSTI curriculum will integrate hardware/software, design thinking, and entrepreneurship, with the initial track focusing on connected devices.
      iv. Curriculum is divided into three phases—Prepare, Practice and Launch. Heavily project- and team-based throughout.
      v. Graduate school proposal includes a general framework that should allow new tracks (such as mobile health) to be introduced quickly.
      vi. Working out MOUs with departments to provide teaching resources. Most teaching will be done by tenure track faculty. Financial model is being developed to help participating departments hire additional tenure track faculty.
   b. MSTI will admit students on a stand-alone basis and as part of a dual master's degree where students will complete additional work with Tsinghua (in Beijing primarily) and receive a second masters from Tsinghua.
      i. Under the planned format, students will complete the MSTI, then add 6 months of study.
      ii. To capitalize on enthusiasm for GIX in China and at Tsinghua, we will get students (mostly Chinese) involved in September 2016 with a cohort that will start at Tsinghua. For this one group only, they will study in Beijing for one year and then join the MSTI program when it starts in September 2017.
      iii. Shwetak has been working with THU on setting standards, evaluating students, and helping THU create a curriculum that dovetails with MSTI.
   c. Next track for UW MSTI will be mobile health. Norm Beauchamp will lead the faculty group developing it.
   d. Clean Energy is a separate collaboration at this time, but we continue to look for connections with GIX.

2. SPRING DISTRICT BUILDING
   a. Ca. 100K SF building planned in new development in Bellevue.
      i. Developer Wright Runstad building it to meet requirements we have set.
      ii. Microsoft will lease it, UW will sublease from them. This is how Microsoft will subsidize the cost to GIX as part of their gift.
   b. Options for future buildings built into lease with Wright Runstad.
c. UW and Microsoft working together on build-out of the space. Design process is starting this month, with UW GIX faculty leaders providing the primary input on program, design and requirements.

3. TSINGHUA RELATIONSHIP
   a. Two MOUs.
      i. June 2015: established GIX as a collaboration between UW and Tsinghua.
         1. No separate/new legal entity at this time.
   b. Engaged in joint fundraising.
      i. Return trip in January, building on contacts developed during November trip related to the Innovation Summit.
      ii. Joint efforts providing access to new prospects.
   c. Regular conference calls with key Tsinghua staff.

4. ORGANIZATION
   a. 5-person leadership team.
      i. Vikram Jandhyala and Mary Lidstrom co-CEOs.
      ii. Shwetak Patel Chief Technology Officer.
      iii. David Maddox Chief Operating Officer.
      iv. Lara Littlefield Chief Advancement Officer.
   b. 2 support staff recently hired.

5. FUNDING
   a. Microsoft gift of $39M.
      i. $28M subsidy for facility.
      ii. $10M endowment.
      iii. $1M planning gift.
   b. Anonymous gift to fund most costs for the first three years.
   c. As a self-supporting professional master’s degree program, tuition will be a large part of the financial model.

6. OTHER PARTNERSHIPS
   a. Universities: continuing to work on identifying a UK partner.
   b. Corporations: looking both in China and US for more major corporate partners on the scale of Microsoft.
      i. Building a funded consortium and project model.
Class A legislation concerning conflict of interest:

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

A conflict of interest exists when a person participating in a decision has a substantial connection or interest related to individual(s) affected by the decision that might bias or otherwise threaten the integrity of the decision process or that might be perceived by a reasonable person as biasing or threatening such decisions. This includes familial, romantic, or sexual relationships and financial conflicts of interest. This may also include some professional relationships. No list of rules can provide direction for all the varying circumstances that may arise; good judgement of individuals is essential.

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

In addition, no faculty member, department chair, dean or other administrative officer shall vote, make recommendations, or in any other way participate in the decision of any matter which may directly affect the employment, promotion, academic status or evaluation of a student with whom he or she has a conflict of interest.

**RATIONALE:** This section is updated to clarify policy on conflict of interest.

The first paragraph is added to define conflict of interest. The second paragraph is modified from existing language to add salary as a decision that may be affected by conflicts of interest.

The third paragraph is added to the Faculty Code, based on Class C legislation passed by the Senate in 1992. (The Class C resolution had been transferred from the University Handbook into the electronic Faculty Code and Governance as a footnote in Section 24-33 (A Statement of Principle: Academic Freedom and Responsibility). The content was judged to be a better fit in this section, 24-50, on Conflict of Interest. Because the footnote in 24-33 was not the result of Class A legislation, it is not shown here as existing Code language. It remains on the Senate website as previously approved Class C legislation.

If Class A legislation #136 (merging chapters 24 and 25 of the faculty code and changing the faculty salary policy) is approved, this section (if approved) will be renumbered as Section 24-25.
Class C Resolution Concerning “Black Lives Matter” Statement:

WHEREAS, inherent in the tenets of our mission and values, we as University faculty know that “Black Lives Matter” and support the ideals of social and racial justice and human dignity for ALL including our students, staff, faculty and the communities we serve; and

WHEREAS, the continuing deaths of African American citizens and citizens of African descent at the hand of law enforcement officers raise questions about whether justice and equality are possible for young, impoverished and people of color; and

WHEREAS, what has been ongoing since conquest and slavery, but has recently become high profile – police killings of people of color across the United States – underscore the growing socio economic and social equity gap that threatens the current and future well-being of our students, staff and faculty and communities of color; and

WHEREAS, we as faculty recognize the value of law enforcement institutions engaging in efforts to improve relationships with communities of color and young people, we also acknowledge that problems still exist and immediate improvements are needed on and off campus in order to protect the lives of all students, staff, faculty and communities of color; and

WHEREAS, we believe that the growing income and economic gap between rich and poor in America undermines efforts to increase equality and justice in our criminal justice system, our schools, and our economy here in the United States; and

WHEREAS, we express support of protesters both locally and across the nation who endeavor to express peacefully their concern and frustration at the extra-judicial police killings of people of color; and

WHEREAS, the entire University of Washington community is impacted by racism, poverty and inequality present in our classrooms, offices, streets and communities, and many staff, students and faculty experience the campus as segregated; and

WHEREAS, our students are way out in front of faculty on these matters, and have seen the need to organize, demonstrate and bring their concerns, vision and demands regarding these issues to the University Leadership concerning how the University of Washington can better protect, promote, preserve and support the history, lives and futures of our historically under-represented students, staff and faculty, especially those who are African American and of African descent; therefore

BE IT RESOLVED that:

We, the University of Washington faculty as a whole encourage members of the University of Washington Leadership, administration, faculty, staff and student body to explore the concepts of equal justice under the law, racial justice, and institutional racism in their classrooms and other academic settings; and

BE IT FURTHER RESOLVED that the University of Washington leadership support “Black Lives Matter” forums, teach-ins, community meetings, and related peaceful demonstrations; and

BE IT FURTHER RESOLVED that the University of Washington as part of its Race and Equity Initiative started by President Cauce reach out to University of Washington Police Department and the Seattle Police Department to promote dialogue between educators and police officers in support of our University community; and

BE IT FURTHER RESOLVED that following the examples of Yale, Brown, Columbia and NYU*, the University of Washington immediately commit to desegregating and move towards fully integrating its faculty across all units, by establishing a substantial fund to hire, retain and promote a diverse and inclusive faculty; and
BE IT FURTHER RESOLVED, that the University of Washington Leadership through the Initiative on Race and Equity and any other relevant UW groups that exist or need to be created seek long-term partnerships with other UW and community groups to work towards the following vision: 1) create a campus, community and national model for community policing and review, 2) increase innovative and well-funded programs that identify and address institutional racism in the university setting, 3) dedicate more resources for campus collaborations that provide a path for marginalized young people in the communities we serve into academic and career programs, and 4) work to end institutionalized racism in our criminal justice and educational systems.

*More Colleges ‘Commit’ to Diversity Initiatives


Submitted by:
Faculty Council on Multicultural Affairs
Faculty Council on Women in Academia
January 11, 2016
1. Call to Order and Approval of Agenda.

2. Faculty Senate Chair’s Remarks – Professor Norm Beauchamp.

   a. Report of the Secretary of the Faculty.
   b. Report of the Chair of the Senate on Planning and Budgeting.
   c. Report of the Faculty Legislative Representative.

4. President’s Remarks – Ana Mari Cauce.

5. Requests for Information.
   a. Approve the November 16, 2015, Senate Executive Committee minutes.
   b. Approve the December 3 and December 10, 2015, Faculty Senate minutes.
   c. Compliance Support Platform – Elizabeth Cherry, Associate Vice Provost, Compliance and Risk Services.

6. Memorial Resolution.

7. Consent Agenda.

8. Announcements.

9. Invited Guests
   a. HR Payroll Modernization Update, Kelli Trosvig, Vice President for UW-IT and CIO, UW Information Technology.
   b. Transforming Administration Program (TAP) Presentation: Paul Jenny, Senior Vice President, Planning and Management and Ruth Johnston, Associate Vice President & Chief of Staff, Planning & Management.

10. Unfinished Business.

   a. Class A legislation – First Consideration
      Faculty Council on Faculty Affairs
      Title: Proposed amendments to the Faculty Code regarding conflict of interest.
      Action: Conduct first review of proposal to submit legislation amending the Faculty Code to the faculty for approval or rejection.

   b. Class A legislation – Second Consideration
      Faculty Council on Faculty Affairs
      Title: Proposed amendments to the Faculty Code regarding faculty salary policy.
      Action: The second consideration will be acted on at the February 22, 2016 SEC meeting.

   d. Class C Resolution
      Faculty Council on Multicultural Affairs and Faculty Council on Women in Academia
      Title: Resolution concerning a black lives matter statement.
      Action: Approve for distribution to the faculty.

12. Good of the Order.

Prepared by: Marcia Killien
Secretary of the Faculty

Approved by: Norm Beauchamp, Chair
Faculty Senate

NOTE: If a continuation meeting is necessary to conduct unfinished or special business, it will be held on Thursday, February 4 at 2:30 p.m. in Savery 260.