1. Call to Order and Approval of Agenda.

2. Senate Chair’s Remarks – Norm Beauchamp. [Exhibit A]

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

4. President’s Remarks – Ana Mari Cauce.

5. Consent Agenda.
   a. Approve the February 22, 2016, Senate Executive Committee minutes.
   b. Approve the March 3, 2016, Faculty Senate minutes.
   c. Approve Nominees for Faculty Councils and Committees. [Exhibit E]
   d. Approve for Faculty Senate consideration, JoAnn Taricani, Professor, Music History as the 2016-17 Faculty Legislative Representative and George Sandison, Professor, Radiation Oncology, as the 2016-17 Deputy Faculty Legislative Representative, for terms beginning August 1, 2016 and ending July 31, 2017.

6. Invited Guest: Ricard Cordova, Executive Director, Internal Audit – Financial Fraud & Ethics Hotline. [Exhibit F]

7. Announcements.

8. Unfinished Business.

   a. Class C Resolution. [Exhibit G]
      Faculty Council on Multicultural Affairs & Faculty Council on Women in Academia.
      Title: Resolution on Living Wages at University of Washington.
      Action: Approve for Faculty Senate Consideration.
   b. Special Committee on Intellectual Property and Commercialization (SCIPC). [Exhibit H]
      Sunset and merge with Intellectual Property Management Advisory Committee.
      Action: Approve merger of these two committees.
   c. Class A Legislation – Second Consideration. [Exhibit L]
      Title: Proposed amendment to Section 22-43, Eligibility for Election to the Senate.
      Action: Final review to approve for Faculty Senate consideration.
   d. Class A Legislation – First Consideration. [Exhibit I]
      Title: Proposed amendments to the Faculty Code regarding the faculty salary policy.
      Action: Approve for Faculty Senate consideration.
   e. Class C Resolution. [Exhibit J]
      Title: Resolution concerning an alternative salary policy proposal.
      Action: Approve for Faculty Senate consideration.
   f. Approval of the April 21, 2016, Faculty Senate Agenda. [Exhibit K]
      Action: Approve for distribution to Faculty Senators.

10. Adjournment.

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 Monday, April 11 at 2:30 p.m. in Gerberding 142.
Report of the Faculty Senate Chair  
Norm Beauchamp, Professor, Radiology

Dear friends,

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

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

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

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

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

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

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

On the anniversary of the assassination of Martin Luther King Jr and the birth of Maya Angelou (April 4th), I am proud of the continued focus of the faculty and administration on those with greatest need and in maintaining the commitment access and excellence.
Report of the Secretary of the Faculty
Marcia Killien, Professor, Family and Child Nursing

1. **Vice Chair Election for 2016-17.** I am pleased to announce that Thaïsa Way, Associate Professor in the College of Built Environments, has been elected as the Faculty Senate Vice Chair for the 2016-17 academic year. Professor Way will go on to serve as the Faculty Senate Chair for the 2017-18 year and the Chair of the Senate Committee on Planning and Budgeting for the 2018-19 year. Her term will begin August 1, 2016. Please join me in congratulating Professor Way.

2. **Result of Class A vote on Conflict of Interest.** Class A legislation 137, conflict of interest, was sent to the faculty for a vote on March 4, 2016, and voting ended March 25, 2016. 85% of faculty who voted approved the legislation. The results have been sent to the President for final approval.

3. **Interest in Serving on Faculty Councils.** Nominations are being accepted for appointments to university faculty committees and councils for the academic year 2016-17. If you are interested in serving on a faculty council, or would like to nominate a colleague, please contact me at secfac@uw.edu.
Report of the Chair of the Senate Committee on Planning and Budgeting
Kate O’Neill, Professor, Law

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

Since our last SCPB meeting, the state legislature passed a supplemental budget. OPB reports that “[t]he capital budget contained no changes for the University of Washington, but the operating budget included additional tuition reduction backfill, a few targeted investments, and new costs that the UW must bear.” The budget is here: http://opb.washington.edu/sites/default/files/opb/Policy/Supp_Budget_Compromise_2016.pdf.

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

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

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

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

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

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

We received a report on enrollment management, tuition and financial aid, from Associate Vice Provost Philip Ballinger, and Assistant Vice Provost Kay Lewis – and a copy of a report from the Enrollment Management Advisory Committee. The gist of the latter report is a recommendation to stabilize undergraduate enrollment on the Seattle campus. The report also recommends that the UW develop a metric that would allow correlation of enrollment numbers with degree production outcomes over time. Now that SCPB has the state budget, we will be revisiting the issue of what policies should govern allocation of financial aid. We will also be looking at enrollment management policy at UW Tacoma and UW Bothell later in spring.
The special session and the 2016 legislative session ended late on Tuesday evening, March 29, 2016. At the end of this message are the overall numbers showing increases in state support within the current biennium, and in comparison to past biennia. We do need to thank President Cauce for her ongoing effective outreach to legislators and to thank the Director of State Relations, Genesee Adkins, for her relentless zeal in tracking and improving the constant stream of budget and policy issues.

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

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

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

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

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

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

The Governor had vetoed 27 bills, and all of those vetoes were overridden by a two-thirds vote of both the House and Senate in the past two days, so those bills will become law. Several address higher education policy, and I will provide more details in the report to the full Faculty Senate.

The Legislature retained full funding for medical education in the WWAMI program in Spokane (the February Senate budget had proposed to reduce the WWAMI funding by $1.2 million). A new charge to the UW, other public universities, and various state agencies is an obligation to fund some of the central services of the Office of Financial Management. While this is new to higher education, other state agencies have been providing contributions to pay for these services in the past.

The charge to the UW for the biennium will be $2 million.

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

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

Original biennial 2015-17 state budget, enacted July 2015: $619,572,000
(includes $44,071,000 of tuition backfill)
Final supplemental budget, to be enacted April 2016: $625,276,000
(includes $47,584,000 of tuition backfill)

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

2016-17: --- $332,343,000
2015-16: --- $292,933,000
2014-15: --- $246,471,000
2013-14: --- $254,000,000
2012-13: --- $209,000,000
2011-12: --- $212,000,000
2015-2016 Appointments to University and Senate Committees

Faculty Council on Academic Standards (Meets Fridays at 1:30)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

- Anuv Vaghul, ASUW, as an ex-officio member with vote for a term beginning effective immediately and ending September 16th, 2016
FINANCIAL FRAUD & ETHICS HOTLINE

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

OVERVIEW

- Administered through an independent company, the Hotline is available 24/7, 365 days a year.
- Any member of the UW community can, and should report any known or suspected misconduct anonymously through the Hotline.
- Reports can be submitted online or via the toll-free phone line.
- It is not necessary to know the exact law or regulation, or be certain a violation has occurred, or will occur. The best course of action is to file a report.
- All reports are referred to UW Internal Audit who will perform a complete and thorough investigation.

HOW DOES IT WORK?

- Reporter (Anyone from UW community)
- Navex Global (Third-party provider)
- UW Internal Audit (Oversight)

CONTACT INFORMATION

Hotline

1-XXX-XXX-XXXX

XX.com

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

COMMON REPORTABLE OFFENSES

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

Ethics and improper activities such as:
- Giving or receiving gifts, or supplemental compensation;
- Conflicts of interest;
- Personal interest in a public contract;
- Nepotism;
- Contract or supplier selection based on personal gain;
- Unauthorized use of university resources and technologies for personal gain.
Resolution on Living Wages at University of Washington,

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

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

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

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

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

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

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

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

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

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

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

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

1. comprise appropriate stakeholders including faculty, student, and staff representation from all campuses;

2. address in an ongoing manner wage compression and serious recruitment and retention challenges in this critical labor category; and

3. continue to educate and inform faculty on the value of both student and staff support and the need and costs of living wages.

* [http://livingwage.mit.edu/counties/53033](http://livingwage.mit.edu/counties/53033)

Submitted by:
Faculty Council on Multicultural Affairs and Faculty Council on Women in Academia
April 4, 2016
To: The Senate Executive Committee

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

Date: March 30, 2016

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

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

1. Terminate the Special Committee on Intellectual Property and Commercialization (SCIPC), effective on the date that the President terminates the Intellectual Property Management Advisory Committee (IPMAC);

2. Authorize formation of and participation of faculty members in a new advisory committee, to take effect when SCIPC and IPMAC are terminated. A suggested name is Advisory Committee on Intellectual Property Policy and Practice: ACIPPP! The new committee will have the following characteristics:

   A. The committee will have dual reporting obligations to the SEC and to the President;

   B. The SEC and the President may each appoint up to six voting members; the Graduate and Professional Students may appoint one voting member; the Provost may appoint an ex-officio member to advise on budget issues.

   C. The SEC may appoint up to six faculty members. The Chair of the Senate will nominate faculty members based on their expertise or significant experience regarding intellectual property policy, management, or commercialization, including previous service on IPMAC or SCIPC, and their willingness to serve. The Chair and SEC shall make every effort to ensure that faculty appointees represent diverse disciplines with diverse interests and needs regarding IP policy, management, and commercialization. To the extent possible, faculty members should represent the following disciplines or units:

   i. Health Sciences
   ii. Engineering
   iii. Social Sciences
   iv. Humanities
   v. Law
   vi. Business

   D. The President may appoint up to six members to represent administrative or academic units, such as:

   i. The Office of Research;
   ii. Educational Outreach;
   iii. CoMotion;
   iv. UW Libraries
   v. Health Sciences/School of Medicine

   E. The University of Washington Division of the Attorney General’s Office will serve as the committee’s legal counsel.

   F. Except for the GPSS member, voting members’ appointment terms will be three years and are renewable. GPSS may appoint a member for a term up to three years in length.
G. The President and the Chair of the Faculty Senate will consult and jointly appoint the chair of the committee. The chair’s term will be one year and is renewable.

H. The Senate leadership with work with the Provost to secure support staff for the committee, comparable to what has been provided to IPMAC.

3. Authorize the Chair, Vice Chair, and Chair of the Senate Committee on Planning and Budgeting to consult with the President, and with the current members of SCIPC and IPMAC, among others, on the elements of and deadlines for the charge to the new committee. We anticipate that the charge should be developed no later than June 15, 2016, and may include elements such as the following.

A. A recommendation, after consultation with the Open Access Task Force, regarding an “Open Access” policy for faculty research;

B. A recommendation of policies and practices designed to lower the cost of textbooks for UW students and other course materials;

C. A recommendation for policies and management of faculty, staff, student, and university intellectual property rights involved in on-line courses, on-line programs, and third-party on-line learning management systems;

D. A recommendation for policies and practices for managing intellectual property interests generated during collaborations between or among UW faculty members, staff, and students;

E. A recommendation for policies and practices for managing faculty, staff, student, and university intellectual property rights generated during or as a result of partnerships between the University and other entities, including private for-profit and non-profit entities and academic institutions;

F. A review of, and recommendations for, policies and practices governing mandatory licensing or assignment agreements required by the UW as a condition for granting permission for outside work by faculty, staff, or students;

G. A tri-campus assessment of ongoing or emerging needs, opportunities, or impediments to efficient and equitable management of intellectual property generated by UW faculty, staff, and students, and their external partners;

H. A comprehensive review of and proposed revisions, as necessary, to Executive Order 36 – deadline TBD.

I. Recommendations of a plan and method for educating faculty, staff, and students about their intellectual property rights, responsibilities, and opportunities on an ongoing basis.

Rationale:

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

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

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

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

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

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

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

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

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

A more detailed version of the legislation is on the senate website at: http://www.washington.edu/faculty/senate/issues/
Resolution concerning an alternative salary policy proposal.

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

The UW must:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

BE IT FURTHER RESOLVED that the proposed Class A legislation will implement the following substantive elements of a faculty salary policy:

I. The key elements of an Alternative Salary Policy Proposal

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

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

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

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

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

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

   [No change from the current salary policy].

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

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

4. **Additional Merit Raises**

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

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

   4.2. The percentage raise for Additional Merit shall be distributed uniformly to all units. After consultation with elected faculty councils, deans may distribute different percentage raises to individuals.
[The process for determining “Additional Merit” under the current code is not altered.]

4.3. To be eligible for any Additional Merit raise, a faculty member’s performance must have been deemed at least meritorious in the last regular performance review. In determining the degree of Additional Merit and the appropriate percentage raise for individual faculty, units should engage in a holistic review of the faculty member’s cumulative career performance relative to peers, including exemplary teaching or service, or both, in addition to scholarship. In accord with the University’s expressed commitment to excellence and equity, contributions in scholarship and research, teaching, and service that address diversity and equal opportunity may be included among the professional and scholarly qualifications for appointment and promotion outlined below.

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

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

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

4.5 As unit resources allow, after consultation with and approval by a vote of the Elected Faculty Council, a Dean may make additional funds available for Additional Merit raises, Unit Adjustments, or Tier Advancements, in addition to those provided by ¶ 4.4.

4.6 In the dean’s annual budget request to the Provost, the dean shall detail the unit’s plan and rationale for funding Raises for Additional Merit, Unit Adjustments, and Tier Advancement Raises, confirm consultation with and vote of the unit’s Elected Faculty Council on the plan, and describe the past year’s actual allocation, if any, under ¶¶4.4 and 4.5 to fund Unit Adjustment raises or Tier Advancement Raises, or both, and explain any deviation from the prior year’s plan. The Senate Committee on Planning and Budgeting shall review and advise the Provost about unit’s annual budget requests.

5. Unit Adjustments

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

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

Unit Adjustments differ from Additional Merit raises because the Provost would not be obligated to authorize the same % to every unit.]
6. Tier Advancements for Full and Associate Professors (TT, WOT, and Research), Principal and Senior Lecturers, Senior Artist in Residence.

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

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

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

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

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

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

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

6.4 A faculty member whose tier advancement is approved under ¶ 6.3 is entitled to a tier advancement raise. A tier advancement raise for an Associate Professor, Senior Lecturer, or Senior Artist in Residence equals 8%. A tier advancement raise for a Full Professor or Principal Lecturer equals 10%.

6.5. Unit faculty may adopt by-laws requiring periodic reviews of faculty every five years up to without regard to whether the faculty member wishes to apply for a tier advancement.

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

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

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

Submitted by:
Kate O’Neill, Faculty Senate Past Chair
Chair of the Senate Committee on Planning and Budgeting
Agenda
Faculty Senate Meeting
Thursday, April 21, 2016, 2:30 p.m.
Savery Hall, Room 260

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 February 22, 2016, Senate Executive Committee minutes.
   b. Approve the March 3, 2016, Faculty Senate minutes.
   c. Financial Fraud & Ethics Hotline, Ricard Cordova, Executive Director, Internal Audit.
   d. Special Committee on Intellectual Property and Commercialization approve merge with Intellectual Property Management Advisory Committee.

6. Memorial Resolution.

7. Consent Agenda.

8. Announcements.


   a. Class C Resolution
      Faculty Council on Multicultural Affairs & Faculty Council on Women in Academia.
      Title: Resolution on Living Wages at University of Washington.
      Action: Approve for distribution to faculty.
   
   b. Class A legislation – First Consideration.
      Title: Proposed amendments to the Faculty Code regarding faculty salary policy.
      Action: Conduct first review of legislation to submit to the faculty for approval or rejection.
   
   c. Class C Resolution
      Title: Resolution concerning an alternative salary policy proposal.
      Action: Approve for distribution to faculty.

11. Good of the Order.


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

NOTE: If a continuation meeting is necessary to conduct unfinished or special business, it will be held on Thursday, April 28 at 2:30 p.m. in Savery 260.
Section 22-43 Eligibility for Election to the Senate

A. Voting members of the faculty are eligible for election to the Senate. A faculty member's eligibility under this section is determined by the status to be held at the beginning of the Senate term, should she or he be elected.

B. A faculty member may be elected to an unlimited number of terms, except that a faculty member who has been elected to two three consecutive terms shall not be eligible for election to the next term.

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

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