1. Faculty Senate Orientation – Professor Donna H. Kerr, Secretary of the Faculty.

In 1956 the Regents authorized the President to share the “government” of the University with the faculty. In jointly approving the Faculty Code, the University Faculty and the President instituted three sites of shared governance:

- the University Committees (also known as the Faculty Councils), which are entities of the University Faculty;
- the councils of the schools, colleges and, now, new campuses; and
- the Faculty Senate, the University Faculty’s legislative body.

You have been elected to participate in the stewardship of the University through this system of shared governance.

As part of this brief orientation, I would like to say a word about the University Faculty whom you represent. A photograph of the UW faculty in 1901 on the steps of Parrington Hall shows 26 persons. The record of the vote on the Faculty Code in 1956 shows 504 ayes, 14 nays, and 26 invalid ballots, for a total of 544 faculty. Today we have 7,039 faculty, of whom 3767 have voting status. The Senate membership consists of 251 members, one Senator for every 15 voting faculty members.

The voting faculty are distributed across the campus as follows:

- 39% in Medicine
- 25% in Arts and Sciences
- 6% in Engineering
- 5% in Public Health and Community Medicine
- 3% each in Nursing and UW Tacoma
- 1-2% each in all the other schools, colleges and UW Bothell

I offer these figures to call your attention to the magnitude and complexity of our university, where the context and content of our work as faculty members vary widely.

Rather than waiting to roll the credits at the end of the year, I would like to introduce you today to staff who support these meetings and/or, more generally, the work of the Faculty Senate and the other sites of shared governance. This way, you’ll be able to greet these persons by name throughout the year.

- Nancy Bradshaw, who supports the Faculty Senate, coordinates Senate meetings;
- Opio Dupree, a Ph.D. student who provides research support for the Office of Shared Governance, signs you in;
- Bruce Brown, who is on loan from Classroom Support Services, does the audio for Senate meetings;
- Linda Fullerton manages elections and records for the Office of Shared Governance;
- Dr. Gene Kim provides support for shared governance in school/college/new campuses and departments.

2. Announcements, Call to Order and Approval of Agenda.

Senate Chair Ashley F. Emery welcomed senators to the first meeting of this academic year. Before opening the meeting, he noted a change in the format. Previously the President spoke before we began the formal meeting. Now the President speaks as part of the formal meeting. Second, the Senate Executive Committee has appointed a committee on the undergraduate experience – a committee that parallels that appointed by the President and Provost. The intent is that this SEC-
appointed committee shall provide a faculty perspective on the undergraduate experience. Third, the Senate leadership is appointing a special ad hoc committee to look into the responsibilities of the various Faculty Councils to see if they mesh with the changes that the President and Provost are making to the administrative structure and to assess if some improvements can be made. Third, Professor Emery reported that based on his experience of attending a recent FEMA workshop for members of the UW community, he has asked Steve Charvat of UW’s Office of Emergency Management to talk today about planning for a strong earthquake or some other catastrophic event.

Chair Emery called the meeting to order.

Action: The agenda was approved.

3. Report of the President / Opportunity for Questions – President Mark A. Emmert

Shared Governance. President Emmert opened his remarks by saying that he and the Provost are committed to working with the Faculty Senate on shared governance, in particular to realigning the administrative structures and Faculty Councils. Early this autumn, the leadership of the Faculty Senate (Ross Heath as the immediate past chair, Ashley Emery as the current chair and Gail Stygall as the vice chair), the Provost and he met with the Secretary of the Faculty to discuss how we can work better together and how we can more effectively communicate. He and the Provost came away from that meeting committed to working toward more direct conformity between administrative structures and how the Faculty Councils and the Faculty Senate function. He noted that there is work to be done, for the central administration’s structure is “less than transparent.”

The Undergraduate Experience. President Emmert said that the Provost and he have created a committee, chaired by Professor Gerald Baldasty in Communication, to take a look at the nature of the undergraduate experience at the University. He noted that the we [the University Faculty] have four Faculty Councils that deal with undergraduate education. He said that he is pleased that Senate Executive Committee is forming a committee from these councils to work in concert with the Baldasty committee on this issue. The point of this initiative is to explore and discuss how we can make the undergraduate experience better for our students. He and the Provost would like to move with some alacrity, because we have open right now the positions of both the Vice President for Student Affairs and the Dean of Undergraduate Education, making this a good opportunity to reshape those positions to fit the task at hand.

LCV Initiative. Last April the President gave a progress report on the Leadership, Community and Values Initiative. There was an extraordinary response rate of 50% from faculty and 2000 pages of comments. The data was analyzed over the summer, three forums were held early this autumn meeting with leadership of the Faculty Senate, administrative teams and staff councils and staff members. Final reports from these groups will suggest actions enable us as a university community to begin to address the concerns and opportunities generated from these considerations of the findings.

It is the President’s intention “first and foremost” to make sure that the work that was done leads directly to specific actions, the effectiveness of which can be assessed, so that we can make this as cycle of assessment and renewal across all three of our campuses. More information on the LCV Initiative is available at <http://www.washington.edu/president/leadership/>.

Update on Searches.

- Dean, College of Architecture and Urban Planning: The search is nearing the final phase. The initial round of interviews is complete, and the Committee is in the process of inviting four or five finalists for public interviews in November. Their goal is to recommend three names to the President by the end of November.
- Dean, College of Engineering: The search is progressing on schedule with the completion of the first round of off-campus interviews on October 24. The candidate pool was strong
candidates). The Committee anticipates that on-campus interviews of the top candidates from the first round of interviews will be completed by the end of November.

- Dean, School of Social Work: The Committee intends to invite nine candidates to Seattle for interviews in November. Their goal is to narrow the list to four or five candidates, who will be invited to campus in December to meet with the School of Social Work and the University community.

- Dean, The Information School: This is an internal search, in which public meetings for the three finalists were held on October 17, 19, and 21. The finalists are:
  
  - Judith Ramey, Professor and Chair, Technical Communication.
  - Harry Bruce, Associate Professor and Associate Dean, The Information School.
  - Sherrilynne Fuller, Professor, Medical Education and Biomedical Informatics, and Director, Health Sciences Libraries.

- Chancellor and Dean, UW Bothell – The Committee has held a series of campus meetings with students, faculty and staff, and the community to get a sense of the issues and opportunities that the new Chancellor will face. The review of the large pool of candidates began in late October. During November the Committee expects to reduce the pool to eight or nine candidates to bring to campus.

**Appointment of a Regent.** The Governor has appointed a new member to the Board of Regents to fill the vacancy that was created by the departure of Dan Evans. Given Dan’s stature, that is an enormous loss. He will be replaced by Herb Simon, who is a UW graduate from Tacoma, played a role in the Tacoma campus formation, and is involved in our capital campaign. I think he’ll be a splendid addition to the Board of Regents. I look forward to working with him.

**Questions and Answers.**

**Salary issues.** In response to a questions about the recent court decision awarding faculty the 2% salary increase from two years ago and about the two million dollars that has been committed to salary compression, the President noted that these questions are two subsets of the broader issue of making sure that we have competitive pay for all of our faculty in all of our departments and colleges. Not having received any formal communications from the judge, it is not appropriate for him to comment at this time. As we get more information, he’ll have more to say. The two million dollars that we set aside in the last budget cycle – monies that are in addition to merit pay and the recruitment and retention funds—are intended to address compression. Because the severity of the salary compression problem varies widely across the University and even within departments, the question becomes one of how to distribute these funds. The deans, the Provost, the SEC and the Faculty Senate leadership have all been involved and a committee with faculty representation has been working on the issue. Ross Heath, the chair of the Senate Committee on Planning and Budgeting, has been serving on the committee on salary compression and will be reporting later in this meeting. The President said that he recognizes fully that the most important thing we have to do budgetarily is to make sure that our faculty and staff are appropriately compensated for the great work that they do. He said, “I will continue to work very, very hard on that issue.”

**Compression funds for lecturers?** In response to a question regarding whether lecturers would be included in the distribution of salary compression funds, the President reported that he did not know the answer. He noted that not all salary compression can be addressed in this the first year of the commitment to working on the problem, but that his intent is to follow up this year’s funds with increments as we can generate resources to deal with the issue. This time his concern is that the resources go to those situations where the problem is the most significant and of the greatest concern to the faculty.

**Status of the Faculty Code.** A senator reported that in the wake of the court verdict regarding the 2% salary raise, some are wondering if some legal changes would be made so that the Faculty
Code would no longer be legally binding. The President repeated that it would be inappropriate for him to comment on the lawsuit before he is fully informed. The Faculty Code is an agreed upon document that controls the way we manage the institution. He said that it was his understanding that the position of the University has always been that the Faculty Code was legally binding for both sides.

4. Report from the Senate Committee on Planning and Budgeting – Professor G. Ross Heath, Committee Chair.

The SCPB has begun to discuss the Compression salary increase budgeted for this year. The special committee appointed by Acting Provost Thorud has considered data on salary compression and inversion, as well as the funds needed to provide average salary trajectories of 2% per year real growth plus 7.5% per promotion (this results in a professor with 30 years experience having a salary roughly twice that of a starting assistant professor), and the funds needed to bring UW salaries into line with our peer institutions. The first data set underestimates the magnitude of the problem. The second two are comparable for some departments, but not for others. A first look suggests that $2 million per year for six or seven years will be needed to break the back of this problem. In considering the implementation of the salary increase, it appears that some departmental faculty have been following Section 24-55 of the Faculty Code, whereas others have been voting on merit increases without having access to the full cumulative records of the candidates or their current salaries, both Code-required factors in awarding merit salary increases. Prof. Heath urged senators to remind their colleagues of the importance of being aware of and adhering to Section 24-55 of the Faculty Code, which is available online at http://www.washington.edu/faculty/senate/handbook/handbook/Volume2.html.

Questions and Answers.

A question was raised about whether lecturers would be included in the salary adjustment for compression, to which Prof. Heath responded that this year the focus would likely be on more senior faculty. Another senator wondered if the A/B salary plan had been taken into account in the discussions regarding salary compression, to which Prof. Heath answered that the committee did not spend time trying to tease out this pattern. A third senator asked for clarification regarding Prof. Heath’s response about lecturers; he responded that the committee provides to the Provost factors to be considered in making the policy regarding the expenditure of the funds intended to work on the problem of salary compression.

5. Legislative Report – Professor David Lovell, Faculty Legislative Representative.

The State of Washington operates on a biennial budget, which just passed this last year. Hence, the Legislature is approaching its “off-year” or short session:

- It is presumed that outlines of the biennia l budget will not be changed, but supplemental budget requests can be made to handle emergent situations;
- Drastic budget cuts have occurred during short sessions (e.g., in 2002), but the revenue forecast this year is more encouraging.
- The UW supplemental request covers mostly infrastructure improvements, along with several educational and research initiatives.

Legislative work begins in the fall before the session, but the education committees in the House and Senate have not been meeting. There is also a legislatively mandated Comprehensive Education Study under way, focusing on financing plans, with a first draft expected November 15.

The Higher Education Coordinating Board (HEC Board), a 10-member appointed citizen board, is responsible for administering public financial aid funds and for coordinating policy analysis in higher education.
• The HEC Board’s Strategic Master Plan has generated a needs assessment comparing projected enrollments and projected employment possibilities in high-demand areas, such as Nursing.

• Members of the Council of Faculty Representatives (consists of institutional legislative representatives from the State’s universities) are planning to respond to this and other initiatives with written pieces defending the humane values of a liberal arts education, over and above its economic functions, and also by describing how institutions take changing circumstances into account in their curriculum and budget planning.

The Council of Faculty Representatives is also planning to pull together submissions from its members describing some of the work that faculty are doing that advances the welfare of Washington residents or improves the effectiveness of its public institutions. Senators are invited to send me brief descriptions of special research or other faculty projects that fit under this heading.

Question and Answer.

In response to a question regarding what kinds of stories are needed about faculty research projects, Prof. Lovell offered the example of a group of faculty who have been studying the deterioration of fishing streams and are coming up with recommendations and further research that affects the welfare of citizens and the State.

   a. Minutes of the 2 May 2005 Senate Executive Committee meeting and 12 May 2005 Faculty Senate meeting were approved. b. The agenda for the October 27, 2005 Faculty Senate meeting was approved for distribution. c. Chairs of Faculty Councils continued presenting 2004-05 committee updates. The conversations initially began at the September 26 SEC orientation. d. The SEC is currently considering the creation of a special committee to review the scope and focus of the Faculty Councils in order to consider modifications that may strengthen shared governance. This will be an action item at the November 14 SEC meeting.

7. Announcements.

Chair Emery announced that nominations for the position of Vice Chair of the Faculty Senate are now being received and noted that in light of the President’s and Provost’s commitment to shared governance, this position offers an extraordinary opportunity.

Candidates to SEC at Nov. 14 meeting.

8. Requests for Information.
   a. Update regarding the oversight of funds from non-state sources – Daniel Luchtel, Chair, Faculty Council on Faculty Affairs.

   I would like to briefly review two reports, available as follows:


   One is a report by the Faculty Council on Faculty Affairs (FCFA, April 2005) that described the Council’s findings on the billing fraud case known as the ‘Winn affair’ or more generally as the ‘Medicare overbilling case.’ The Federal investigation of this case resulted in criminal felony convictions of two nationally prominent physicians in the UW School of Medicine, payment of $35 million by UW Medicine to settle this case with the Federal government, and payment of an additional $27 million for legal and other costs. There was also a controversial severance payment of $3.7 million to Dr. Richard Winn.
The FCFA was asked by the Faculty Senate to investigate this settlement because of its possible financial impact on the faculty in the School of Medicine. With a few exceptions, faculty were not financially impacted although the FCFA found numerous administrative deficiencies, including lack of transparency of administrative decisions, lack of shared governance, and an atmosphere of intimidation. While there were difficulties in interpreting the ‘facts’ of this issue and understanding the ‘culture’ of the UW School of Medicine, it became clear that a core problem for faculty in the School of Medicine is their split allegiance; that is, on the one hand, they are UW faculty members but on the other hand, they are employees of UW Physicians (UWP), a non-profit corporation that controls the budget within the School of Medicine.

The FCFA report was largely substantiated by a second report issued in July 2005 by an administrative committee, the UW Medicine Board Review Committee. The emphasis of this report was on the compliance and auditing problems in the School of Medicine. This committee also concluded that a flawed administrative structure resulted in numerous deficiencies in the compliance and audit functions of UWP. Errors of all types were made: innocent mistakes, reckless errors, and some rare instances of deliberate fraud. But, overall, the vast majority of physicians and staff made honest efforts to comply with complex billing regulations.

These reports have stimulated, at least in part, substantial improvements in the administrative structure of the School of Medicine, including greater involvement and oversight by the UW central administration, and by President Emmert in particular.

I met with Dean Paul Ramsey earlier this week to review progress on the recommendations made in these two reports. And I am pleased to report that Dean Ramsey has taken the recommendations of both reports seriously and he reviewed with me the progress to date on satisfying these recommendations. But it is a journey, and I would conclude that, “progress has been made, but much remains to be done.”

Questions and Answers.

In response to questions, Prof. Luchtel said that the $3.7 million dollar settlement in the Winn case was a business decision. When asked about the timing of the settlement, he responded that the FCFA did not have the expertise to make a recommendation.


Established in 2003, the UW Office of Emergency Management (<http://www.washington.edu/emergency>) focuses on planning and training for emergency response and is designated to serve as the primary coordination point for all operational (not research) homeland security grants for the UW. Its mission is “to administer a campus-based comprehensive emergency management program in partnership with UW academic departments, operating units, staff, administration and neighboring jurisdictions in order to save lives, protect property and safeguard the environment.”

Some of the programs and actual benefits provided to the UW community are as follows:

- UW Emergency Response Management Plan, which is our campus disaster response plan. This is a model plan that other universities have copied as well.
- OEM Website. We have over 8,000 hits daily.
- UW Hazard Mitigation Plan and Hazard Identification and Vulnerability Analysis Study.
- Over 1,500 Multi-colored Emergency Procedures Posters have been placed in public areas throughout the campus.
- The Special Events Mobile Operations Command Vehicle as purchased by the UW last year. This articulated bus has been retrofitted to act as state-of-the-art mobile command van for the UW.
- The new Campus Emergency Response Team (CERT) is another program that is new. Only 2 universities in the US have a similar program: The UW and Brigham Young University. This program is currently in 5 buildings and is grant-funded.
• Campus-wide Advisory Committee formed (EMPC) with over 30 members.
• Annual emergency drills begun.
• Over $2 million in federal grants received.
• The UW was the first university to participate in FEMA training academy last August in rural Maryland. We sent over 70 UW and local officials to this disaster exercise and training event, including Dr. Emery.
• In 2003, OEM conducted a Campus Risk Survey. This survey was sent to over 44 academic departments and units. Here are just 2 of the many results of this survey . . .

The Campus Risk Survey (2003) shows that a strong majority of the respondents ranked earthquake as the greatest threat to the university, followed by loss of utilities, severe storms and fires. It also showed that while most campus units do some type of training, but very few do off-site data backup. This is somewhat disturbing, especially in light of all the data lost recently at such universities as Tulane, Xavier, and Dillard Universities.

“The OEM cannot be effective unless we have the active involvement of the faculty and researchers. They are our main conduit to students, ultimately are the ones responsible for classroom and laboratory safety, and we hope that they can “Lead by Example” with their students. We also continue to encourage active participation and information sharing by Deans to as our conduit to the members of the faculty and hope that the faculty senate can provide support for the ongoing efforts of OEM.”

The OEM staff stands ready to meet with any of your departments and staff and provide information and guidance. In conclusion, an efficient and effective Disaster Response program is key to saving lives, and Disaster Recovery must begin immediately to restore critical facilities, services and public infrastructure. As the recent natural cataclysmic events have demonstrated, disaster planning and recovery is everyone's responsibility. Each person must take the lead before, during and after an emergency or disaster.

Emergency management programs must be in place in every UW academic department to:
• To protect the population, property and the environment
• To return our campus community to normal as quickly as possible after a disaster event

The OEM recommends that emergency “drop, cover, and hold” drills take place for 10-15 minutes once a year, usually in April, for all faculty, staff and students. Following these very basic actions may one day save not only your life, but many of those around you!

Questions and Answers.

One question regarded the lack of firm plans to deal with disabled staff and students in the wake of hurricane Katrina. Charvat responded that the OEM is working on a special needs study with Environmental Health and Safety. A second concern regarded the lack of communications both with sites off-campus and on-campus during the Nisqually earthquake. Charvat said that communications are the first victim of virtually any disaster and that, accordingly, the OEM is working to develop a system of communications off-site, including an emergency Web site operated outside of the Puget Sound area. For on-site purposes, there will be eight mass-assembly locations that will rely on runners. Further, each dean’s office is now equipped with communications capability.


Action: Nominees for Faculty Councils and Committees were approved attached as {Exhibit A}. 
10. Memorial Resolution.

Vice Chair Gail Stygall presented the memorial resolution. **BE IT RESOLVED** that the minutes of this meeting record the sorrow of the entire faculty upon its loss by death of these friends and colleagues:

Professor Emeritus Robert Bostrom of Geological Sciences who died on July 12, 2005 after having served the University since 1964. Associate Professor Emeritus Norma M. Dimmitt of Education who died on May 18, 2005 after having served the University since 1969. Professor Emeritus Everett George DuPen of Art who died on May 25, 2005 after having served the University since 1945. Affiliate Professor Everett Lincoln Ellis of Forest Resources who died on July 1, 2005 after having served the University since 1981. Professor Emeritus Milton Gordon of Biochemistry who died on July 5, 2005 after having served the University since 1959. Professor Emeritus Edwin Roy Hammarlund of Pharmaceutics who died on April 30, 2005 after having served the University since 1960. Professor Peter Hobbs of Atmospheric Sciences who died on July 25, 2005 after having served the University since 1963. Professor Emeritus Lawrence Leney of Forest Resources who died on June 25, 2005 after having served the University since 1960. Professor Emeritus Cliff Lunneborg of Psychology and Statistics who died on August 10, 2005 after having served the University since 1962. Lecturer Emeritus Rosalie R. Miller of Oral Medicine who died on October 17, 2005 after having served the University since 1971. Professor Emeritus Ronald Pyke of Mathematics who died on October 22, 2005 after having served the University since 1960. Research Associate Professor Anthony Qamar of Earth and Space Sciences who died on October 4, 2005 after having served the University since 1983. Associate Professor Emeritus Hubert M. Radke of Surgery who died on June 11, 2005 after having served the University since 1960. Professor Emeritus James Erwin Rosenzweig of Management and Organization who died on September 2, 2005 after having served the University since 1956. Lecturer Elsa Winners Sherwin of Germanics who died on February 11, 2005 after having served the University since 1942. Professor Emeritus Ramona Solberg of Art who died on June 13, 2005 after having served the University since 1955. Professor Sammy Edward Solberg of American Ethnic Studies who died on April 25, 2005 after having served the University since 1975. Clinical Associate Professor James Amo Tremann of Medicine who died on October 2, 2005 after having served the University since 1968. Professor Lesnick Westrum of Neurological Surgery who died on May 14, 2005 after having served the University since 1966.

**BE IT FURTHER RESOLVED,** that the senate chair be directed to communicate to the immediate survivors the action taken, together with the condolences and sympathy of the faculty.


There was no new business.


The meeting was adjourned at 4:15.

Submitted by: Donna H. Kerr, Secretary of the Faculty
Approved by: Ashley F. Emery, Chair, Faculty Senate
Faculty Council Nominations:

Nominate, for Senate appointment, effective immediately, representative members of Faculty Councils and Committees for terms ending September 15, 2006, with voting rights to be determined by the SEC through the faculty councils:

I. Representatives from the Retirement Association:

   Academic Standards…………………….. Jody Nyquist
   Benefits & Retirement………………… Ernest Henley
   Educational Outreach……………. Fred Campbell
   Educational Technology…………… Alan Shaw
   Faculty Affairs………………………. John Price
   Instructional Quality………………… Dean McManus
   Research……………………….. Samuel Dworkin
   Student Affairs…………………. Edgar Winans
   Tri-Campus Policy………………… Bill Weitkamp
   University Facilities & Services…. Martha Fales
   University Libraries…………………… Larry Bliquez
   University Relations……………… Brewster Denny
   Women in Academia………………… Nancy Robinson

II. Representatives from the Professional Staff Organization:

   Academic Standards…………………….. Mariko Navin
       Michelle Trudeau, Alternate
   Benefits & Retirement…………………. Marilyn Gray
   Educational Outreach……………… Alison Stevens
       Robert Corbett, Alternate
   Educational Technology……………… Cris Mesling
       Elizabeth Campbell, Alternate
   Faculty Affairs……………………… Bridget Warbington
   Instructional Quality…………………. Michelle Trudeau
       Elizabeth Campbell, Alternate
   Multicultural Affairs……………….. Bob Roseth
       Judith Yarrow, Alternate
   Research…………………………… Suzette Ashby-Larrabee
   Student Affairs…………………. Carrie Perrin
       Bryce Hanson, Alternate
   Tri-Campus Policy…………………. Robert Corbett
       Michelle Hall, Alternate
   University Facilities and Services…… Mark Schoen
   University Libraries……………… Laurel Sercombe
       Jeanette Mills
   University Relations……………….. Marina Ferguson
       Suzette Ashby-Larrabee, Alternate
   Women in Academia…………………. Suzanne St. Peter
       Alison Stevens, Alternate

III. Representatives from the Association of University Librarians (ALUW):

   Academic Standards………………….. Eileen Llona
   Benefits & Retirement……………….. Paul Constantine
   Educational Outreach……………….. Thom Deardorff
Educational Technology..........................Jennifer Ward  
Faculty Affairs ......................................Paula Walker  
Instructional Quality...............................John Holmes  
Multicultural Affairs..............................Laura Lillard  
Research.................................................Susan Kane  
Student Affairs......................................Jill McKinstry  
Tri-campus Policy.................................Cynthia Fugate  
University Facilities & Service...............Charles Chamberlin  
University Libraries..............................Jessica Albano  
University Relations..............................Carole Svensson  
Women in Academia.................................Susanne Redalje  

IV. Representatives from the Associated Students of the University of Washington (ASUW):

   Academic Standards............................Jonathan Lee  
   Benefits and Retirement.......................Angela Wallace  
   Instructional Quality.........................Jonathan Lee  
   Faculty Affairs......................................Jonathan Lee  
   Multicultural Affairs.........................Inigo Esteban  
   Student Affairs......................................Jonathan Lee  
   Tri-campus Policy.................................Alvin Chen  
   University Libraries............................John Evans  
   University Relations............................Jonathan Lee  
   Women in Academia...............................Tricia O’Konek