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Executive Summary

A. Compensation

Competitive compensation and benefits are necessary for the recruitment and retention of an outstanding faculty. In recognition of the critical contribution that faculty compensation plays in building and maintaining a world-class faculty, the Academic Plan set forth an **initial** goal of increasing the overall faculty average salary at Ohio State to become, at least, equal to the average of our ten benchmark universities in three to four years.

From academic year 2001-02 through 2004-05, considerable progress was made toward achieving this initial goal. In the academic year 2001-02, the average faculty salary at Ohio State was 6.1% below the benchmark average, in 2002-03 it was 4.4% below the benchmark average, in 2003-04 the gap narrowed to 1.7%, and in 2004-05 the average faculty salary at Ohio State was only 0.5% below the benchmark average.

Academic year 2005-06, however, has shown a loss of forward momentum with the overall average faculty salary at OSU falling to 1.6% behind the benchmark average. Despite this back-sliding, Ohio State's ranking for overall average faculty salary remains unchanged at the 6th position within the benchmark and CIC comparison groups and at 38th with the AAU; however, the positions of the average salaries for the Assistant and Associate Professor ranks were down in all three groups.

One apparent reason for the decline in overall average faculty salary in 2005-06 is that the University departed from the policy pursued in 2003-04 and 2004-05 of awarding average faculty salary increases that were 1.0% above the estimated average of the benchmark institutions' budget pools. Thus, in 2005-06, the average faculty salary

increase at Ohio State was only 3.4% compared to the benchmark average increase of 3.9%.

The 2005-06 data indicate that, despite an improvement in salary position since 2001-02, Ohio State cannot afford to become complacent. Our benchmark institutions do not make salary decisions in isolation but must react to the changes made by their peers; consequently, the benchmark average salary is a moving target. Last year the FCBC warned that any gain made against our peers might be very fleeting. This year, unfortunately, that warning proved to be true. We must now renew our commitment to reach and to remain at or above the benchmark average faculty salary in the very near future.

The FCBC acknowledges the challenges facing the University in the current uncertain fiscal environment. Nonetheless, if OSU is to continue to recruit and retain the very best faculty, it cannot settle for the initial goals of the Academic Plan but must progress toward the next interim goal. **The average faculty increase for the benchmark group of institutions over the last three years was 3.0%. Using this benchmark rate, the FCBC has projected that a 4.7% increase in the average faculty salary would bring the average faculty salary at Ohio State up to the benchmark average. The FCBC, therefore, recommends that the average salary increase for 2006-07 be 4.7%. The FCBC further recommends that the University renew its commitment to fund the total salary budget pool at a rate of 1.0% above the benchmark average at least until the compensation goal of the Academic Plan has been achieved. These recommendations were given the highest priority of the compensation recommendations for this year.**

Faculty at a number of the colleges at Ohio State have historically been compensated at rates well below their college benchmark averages making it difficult for them to compete with their peers. **This year the FCBC recommends that the University Administration make an especial effort to encourage/assist colleges in which faculty salaries have historically been below both the university benchmark and the self-selected college benchmark averages to move the average faculty salaries up to, at least, the self-selected college benchmark averages. Such an effort would also constitute a strategy that, together with the recommendations described above, should help Ohio State to achieve the compensation goal of the Academic Plan.**

In 2005-06 a Phase II committee will be assembled to determine the next compensation goal of the Academic Plan. Creation of this committee constitutes recognition by the University Administration that the initial compensation goal of the Academic Plan is not to be viewed as an end, but rather as a beginning. To remain competitive, Ohio State must offer compensation comparable not only to the benchmark group, but also to a broader category of institutions that compete for the same pool of faculty. It is the opinion of the FCBC that the AAU consists of our strongest competitors. Among the 60 AAU institutions in the United States, Ohio State's average faculty salary currently ranks 38th. In FY 1997, OSU ranked 32nd among AAU institutions and in 1984 it ranked 14th. **As the next interim compensation goal, the FCBC once again recommends that Ohio State should work to bring its average faculty salary to the midpoint 30th position (at present held by Penn State) of the AAU.** Currently, Ohio State is 3.3% or \$3,020 below this position in the AAU.

Salary disparity, defined as large differences in the compensation for individuals with the same rank and in the same unit, also remains a major concern of the faculty. This disparity is exacerbated by the practice of awarding merit increases as a percentage of the base salary rather than on a fixed dollar amount basis. Due to the compounding effect of percentage increases, even small initial differences in salary can become quite large over time. **Therefore, the FCBC reiterates in this report the recommendation made the last three years, that salary increases should be based upon merit, and individuals that receive the same merit score should receive the same dollar raise regardless of their base salary.**

B. Benefits

Faculty compensation entails more than direct salary compensation. Benefits also contribute significantly toward the total compensation package. The FCBC has selected three benefits that it believes merit further consideration.

The FCBC believes that development of a Phased Retirement program at Ohio State could be valuable to both the faculty and academic departments for a variety of reasons. **The FCBC, therefore, recommends that a university committee or task force be assembled to look into the phased retirement issue; the committee would be charged with the tasks of studying other examples, research and literature on phased retirement programs, and of proposing a design that is optimal for Ohio State. This recommendation was given the highest priority of the benefits recommendations.**

The FCBC also recommends that the University formally adopt a life-span

approach to the changing dependent care needs of its faculty and staff that would include childcare, eldercare, tuition assistance, disability, and other forms of support. As a first step, the committee recommends that the Office of Human Resources investigate the feasibility of the various options described in this report to increase the availability of childcare at Ohio State, and perform a cost-benefit analysis for each of these approaches.

Finally, the FCBC applauded the changes that were implemented in 2005 to increase the security of personal information of Ohio State employees especially the limitation of the use of social security numbers as identifiers. In conjunction with the University Staff Advisory Committee, the FCBC this year also recommends that the University implement the suggestions in this report to increase further the safeguards for personal information and personal safety.

C. Additional Recommendations

Two additional efforts are supported/recommended by the FCBC. The FCBC commends the creation of an ad hoc committee of the University Senate to look into the question of growth of administrative overhead, and urge the Provost to support the committee as it investigates this pressing question. The FCBC also recommends formation of an ad hoc committee of the University Senate to investigate the pros and cons, precedents, and other questions related to the issue of faculty representation on the Board of Trustees of The Ohio State University.

I. Introduction

This 28th report on faculty salaries submitted to the University Senate by the Faculty Compensation and Benefits Committee (FCBC) summarizes the history of Ohio State's efforts to achieve its goal to increase its competitiveness in the area of faculty compensation compared to our benchmark institutions. Between 1983-84 and 2002-03, in terms of average overall faculty salary, Ohio State lost its position among the leadership and in 2001-02 became one of the lowest-compensating institutions among comparable universities, particularly among the AAU group. By 2001-02 the average faculty salary at Ohio State had fallen 6.1% below the average of its selected benchmark institutions. An effort was begun in 2002-03 to meet that portion of the University's Academic Plan that called for improving the competitiveness in faculty salaries. Investments in faculty salaries reduced the gap between the benchmark's average faculty salary and Ohio State's average to 4.4% below, 1.7% below, and 0.5% below in 2002-03, 2003-04, and 2004-05 respectively. In its report last year, FCBC recommended that in order for Ohio State to reach the benchmark average salary in the following three years, the salary increase for the next three years should exceed the average increase of the benchmark institutions by at least 1.2%. However, in 2005-06 the average salary increase for Ohio State was only 3.4% compared to an increase in the benchmark institutions average faculty salary of 3.9%. As a result, in 2005-06 the average faculty salary at Ohio State fell from 0.5% to 1.6% below the benchmark average, and, although Ohio State maintained its overall faculty salary ranking within the benchmark and its other comparison groups (the CIC and AAU), the average salary positions of the Assistant and Associate Professor ranks in all three comparison groups declined. In this

year's report FCBC recommends steps that it believes need to be taken to realize the compensation goal of the Academic Plan. To do this, the FCBC recommends a 4.7% average increase in faculty salaries in 2006-07, and a commitment to future yearly increases that are 1.0% above the average of the benchmark institutions until the goal is achieved. The FCBC also again recommends that Ohio State set as its next compensation goal to place itself in the AAU 30th position for faculty salaries. At the present time the average faculty salary at Ohio State is 3.3% (\$3,020) below this position.

The report also includes several recommendations regarding Benefits including investigation of the feasibility of a Phased Retirement program. Two additional recommendations to investigate the issues of administrative overhead growth and to investigate the question of faculty representation on the Board of Trustees at Ohio State were also included.

II. Faculty Salaries at The Ohio State University Compared to Similar Universities

Salary comparisons are presented in this report for three groups: (1) the ten benchmark institutions; (2) the twelve CIC institutions; and (3) the sixty American Association of Universities institutions.

A. Salary Comparisons with the Ten Benchmark Institutions

The ten benchmark institutions are a group of large, public-funded universities that are the primary research institutions in their geographic areas: Arizona, Illinois, Michigan, Minnesota, Ohio State, Penn State, Texas, UCLA, Washington, and Wisconsin. These ten institutions are the referent set of state universities the activities and structural characteristics of which closely compare to those of Ohio State University. All offer a wide diversity of academic programs for both undergraduates and graduate students, have productive graduate and research programs, and have strong professional colleges in many areas. All are regarded as the flagship universities of their home states. This comparison group was first included in the 1998 FCBC report.

The faculty compensation goal of the Academic Plan has been to have the overall average faculty salary at The Ohio State University reach the overall average faculty salary of the benchmark institutions. The salary comparisons for the benchmark institutions are set forth in Table A-1 in Appendix A. A plot of the overall salary rankings for the combined faculty ranks is given in Figure 1 below. **Ohio State dropped from 5th position in 2003-04 to 6th position in 2004-05 and 2005-06 for overall average salary. More importantly, although the overall average faculty salary at Ohio State in 2004-05 came within 0.5% of the target benchmark**

average salary, it lost ground in 2005-06 falling back to 1.6% below the benchmark average salary (Figure 2 below). Thus, not only has Ohio State not regained the third rank position it held in both 1992-93 and 1996-97, but even some of the progress made since 2001-02 to achieve the more modest goal of the Academic Plan has been lost.

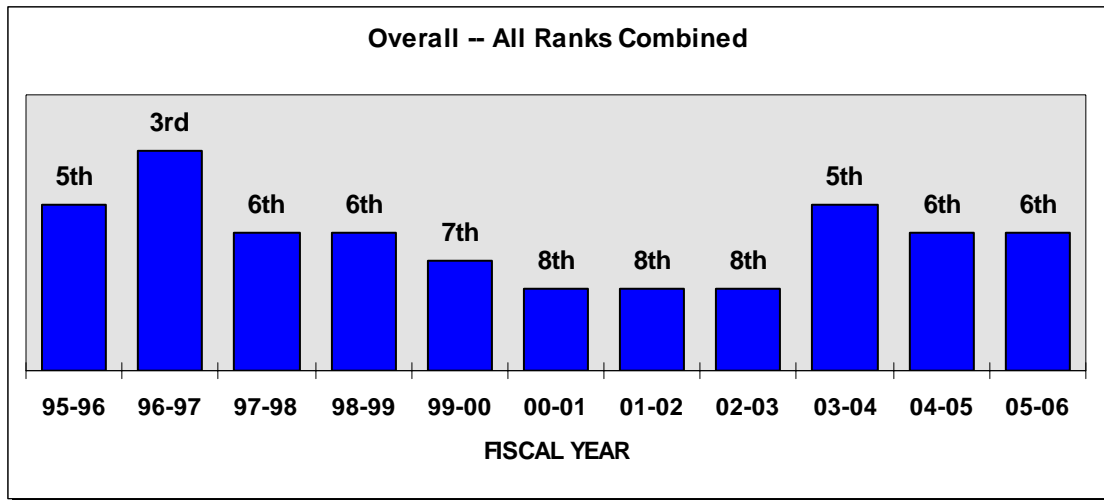


Figure 1. The Ohio State University History Since FY 95-96 of Overall Average Salary Ranking Compared to the Benchmark Institutions

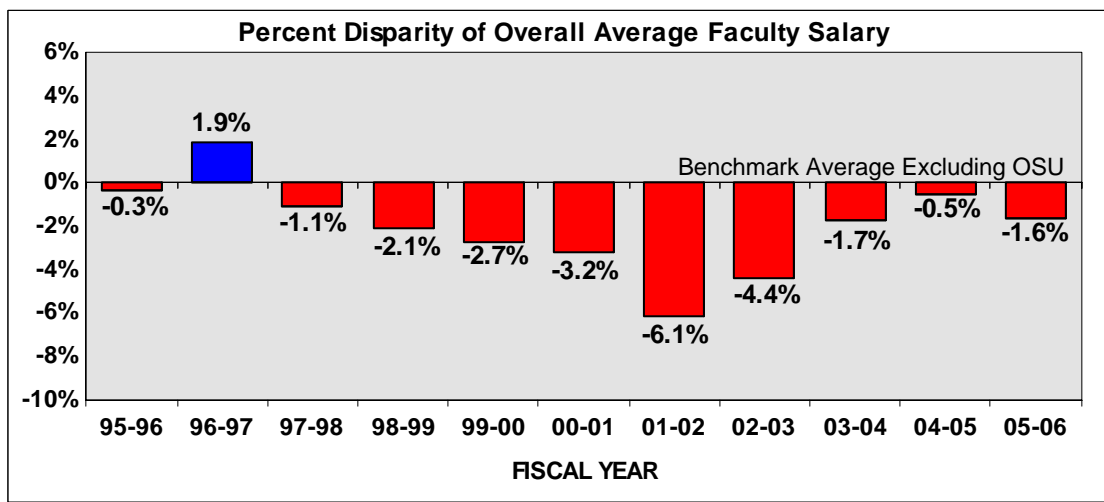


Figure 2. The Ohio State History Since FY 95-96 of Percent Disparity of Overall Average Faculty Salary at Ohio State from the Benchmark Average

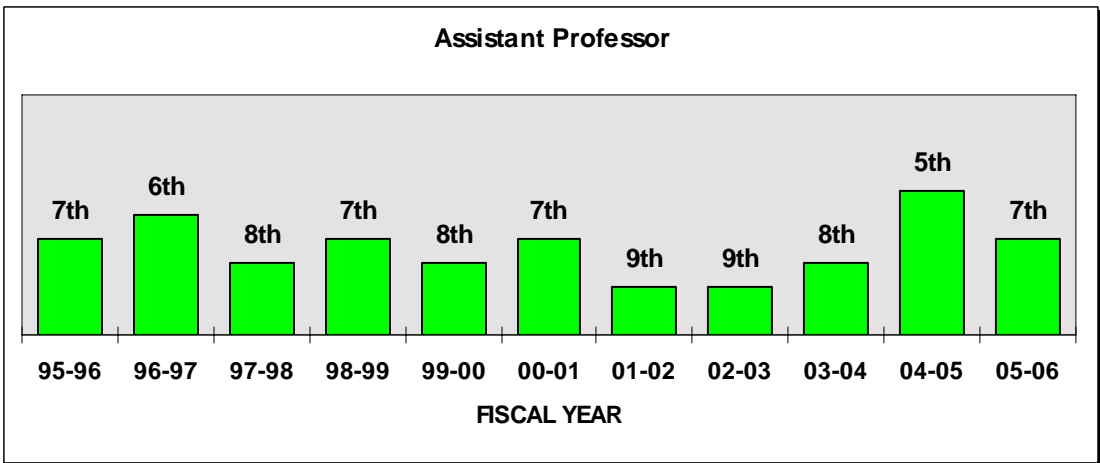
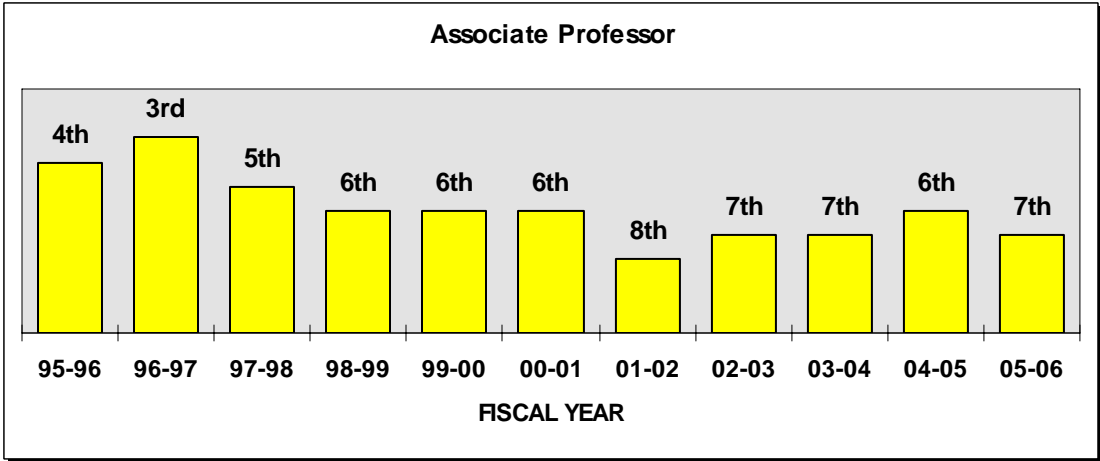
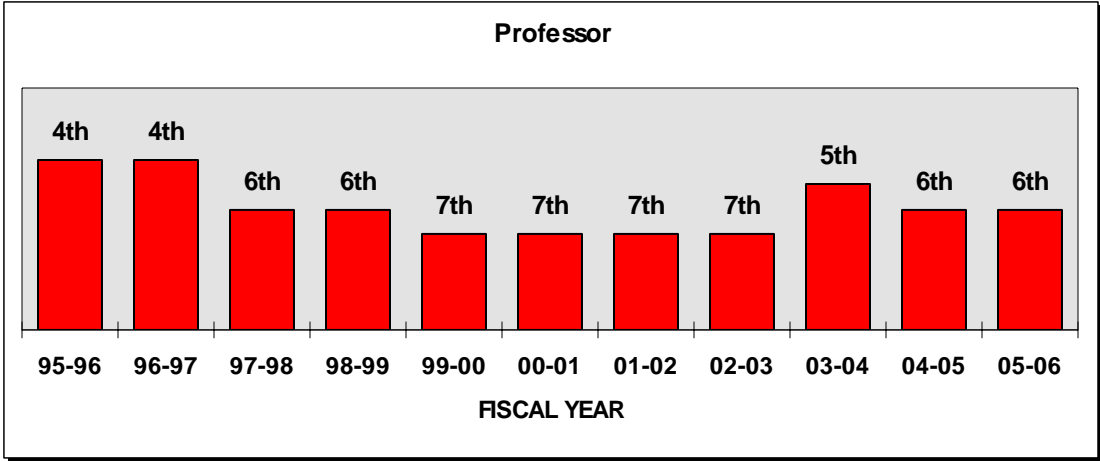


Figure 3. The Ohio State University History Since FY 95-96 of Average Salary Rankings for the Assistant, Associate and Professor Ranks Compared to the Benchmark Institutions

A comparison of average faculty salaries within the individual ranks to the benchmark averages for those ranks helps to elucidate the basis for the weakening of Ohio State's position relative to its benchmark institutions (Figure 3). **Although the 6th position ranking for professors remains unchanged from last year, the salaries for both assistant and associate professors rank 7th among this referent.** This is a drop of 2 places for assistant professors and of one place for associate professors compared with 2004-05. Furthermore, although the ranking for professors was unchanged at 6th, professors' salaries went from .08% above the benchmark average in 2004-05 to .4% below the benchmark average in 2005-06.

B. Salary Comparisons with the Twelve CIC Universities

The Committee on Institutional Cooperation (CIC) includes the eleven institutions in the Big Ten Conference plus the University of Chicago. Ohio State's similarity to these institutions includes common geography, reliance on state assistance (except for Northwestern and Chicago), and similar demographic and economic profiles. **The CIC universities also represent a major source of Ohio State faculty and competition for those faculty members.** The CIC institutions have a rich tradition of academic excellence and most are regarded in their own states as flagship institutions. The CIC represents that group of institutions with whom Ohio State competes directly on a daily and yearly basis.

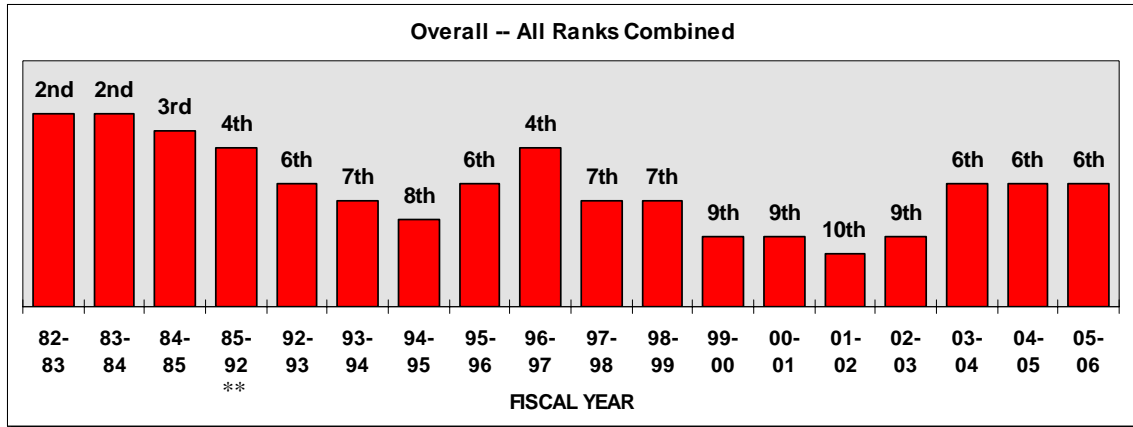


Figure 4. The Ohio State University History of Ranking with CIC Institutions Across Assistant, Associate, and Full Professor Ranks Combined

** Years 85-92 have been represented by a single bar as there was no change in rank during those years.

The salary comparisons for the CIC institutions are given in Table A-2 and Figure A-2 (in Appendix A). A plot of the salaries for the combined faculty ranks is given in Figure 4. The data reveal that Ohio State, for several years, lost its competitive position relative to the CIC institutions with regard to faculty salaries. In 1983-84, Ohio State was tied for second and was 7.3% above the CIC average (excluding Ohio State) however by 1996-97, Ohio State had slipped to fourth among CIC universities, and was 2.2% below the CIC average (excluding Ohio State). This decline continued in 2002-03 when the overall average salary became the ninth among the CIC universities and was 7.4% lower than the CIC overall average salary.

In 2003-04, however, Ohio State improved its position relative to the CIC institutions with regard to faculty salary. It became sixth, with an average salary of \$82,780, while the average salary of CIC universities (excluding Ohio State) was \$87,580 or 5.8% greater than Ohio State’s overall average salary for that year. Ohio State remained in the 6th position in 2004-05.

In 2005-06, Ohio State maintained its overall salary position relative to the

CIC institutions. However, its overall average salary of \$89,160 is now 4.4% lower than the overall average salary of \$93,270 of the CIC institutions (excluding Ohio State.). Furthermore, **as is the situation with the benchmark institutions, the weakening of Ohio State's position within the CIC is particularly evident in the Assistant and Associate ranks: the average salary for Assistant Professors fell from 5th in 2004-05 to 6th position in 2005-06 within the CIC group, and the average salary for Associate Professors fell from 8th position in 2004-05 to 9th position in 2005-06.**

C. Salary Comparisons with the Association of American Universities (AAU)

The Association of American Universities (AAU) consists of 60 major public and private research universities in the United States (excluding two Canadian institutions). **These 60 universities form a select group because of their outstanding faculty, high-quality students, and excellent academic programs. The AAU represents the national set of institutions with which Ohio State directly competes for faculty.**

The salary comparisons for the AAU institutions are set forth in Table A-3 and Figure A-3 in Appendix A. A plot of the salaries for the combined faculty ranks is given in Figure 5 below. As with the benchmark and CIC universities, Ohio State has lost ground compared to the AAU institutions. Specifically, in 1983-84 Ohio State was ranked 14th in the AAU, but since then there has been a dramatic decline in Ohio State's ranking. Between 1983-84 and 2002-03, Ohio State's ranking fell 32 places from 14th to 46th place. As the result of the university's recent effort to increase faculty salaries, Ohio State's overall salary rose to 38th place in 2004-05 and remained there in 2005-06,

however Ohio State remains 16.1% (\$17,110) behind the 14th ranked institution and 3.3% (\$3,020) below the midpoint 30th position of the AAU (currently held by Penn State University). Furthermore, **although a comparison of compensation within the separate faculty ranks (Figure A-3 Appendix A) shows an improvement from last year to the 36th position in the average salary for Professors, the salary positions for Assistant and Associate Professors' salaries show the same softening of Ohio State's position that was observed in the comparisons with the benchmark and CIC groups.**

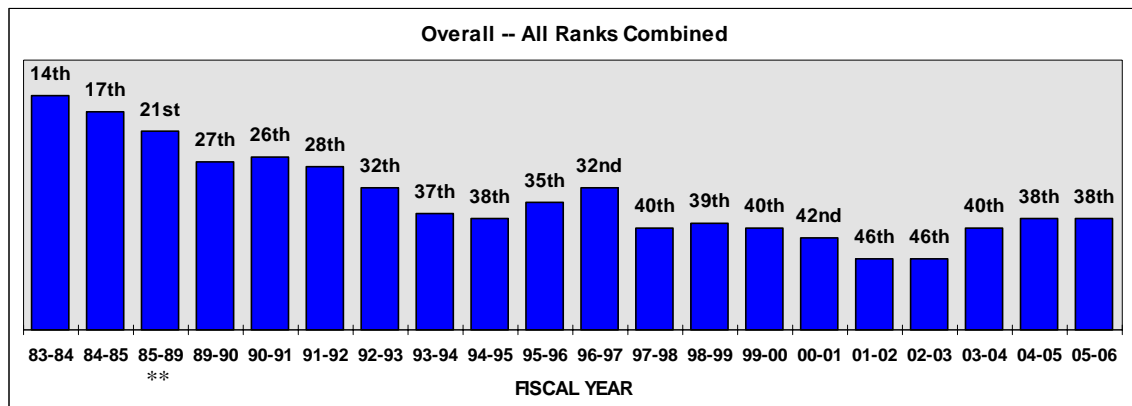


Figure 5. The Ohio State University History of Ranking with AAU Institutions Across Assistant, Associate, and Full Professor Ranks Combined

Note: the number of US AAU institutions increased from 56 to 60 in 1996-97, from 60 to 61 in 2001-02 and decreased from 61 to 60 in 2002-03.

** Years 85-89 have been represented by a single bar as there was no change in rank during those years.

D. Section II Conclusions

Clearly, a comparison of Ohio State's average faculty salaries with salaries at peer institutions illustrates a major erosion of Ohio State's rankings from the early nineties until 2001-02 and, **despite an effort from 2001-02 through 2004-05 to improve Ohio State's position, the modest salary increases in 2005-06 have resulted in back-sliding vis-à-vis all three comparison groups. To correct this loss of position and reach the compensation goal of the Academic Plan in 2006-07, the**

FCBC recommends an overall average salary increase for 2006-07 of 4.7%. This figure was arrived at based on a projected average salary increase of 3.0% for the benchmark institutions (the mean benchmark salary increase for the past three years).

Additionally, the FCBC recommends that all salary adjustments be merit based, with consideration of mitigating circumstances including discrepancies due to gender, minority status, or other inequities. These inequities might differentially affect faculty in each rank necessitating individually-based increases that differ from the average recommended above. Since salary levels are also determined by prevailing markets, attention should be given to salaries for faculty who are performing well and who are significantly below the market (discipline-specific benchmarks) for their rank and discipline.

Finally, when the compensation goal of the Academic Plan is achieved, the FCBC recommends once again that the Phase II Committee which will decide the next compensation goal for OSU consider the 30th position (at present held by Penn State University) of the AAU as the next compensation target. Adoption of this as the next compensation goal will also improve Ohio State's standing relative to the benchmark institutions because five of our higher ranked benchmark universities (Michigan, UCLA, Illinois, Penn State and Texas) are also ranked higher than Ohio State in the AAU. If Ohio State were to achieve this goal, it would be tied with Penn State University and one place behind the University of Illinois in the AAU.

III. The Faculty Salary Budget Pool at The Ohio State University Compared to the Benchmark Institutions

A. Compensation Initiative Goals

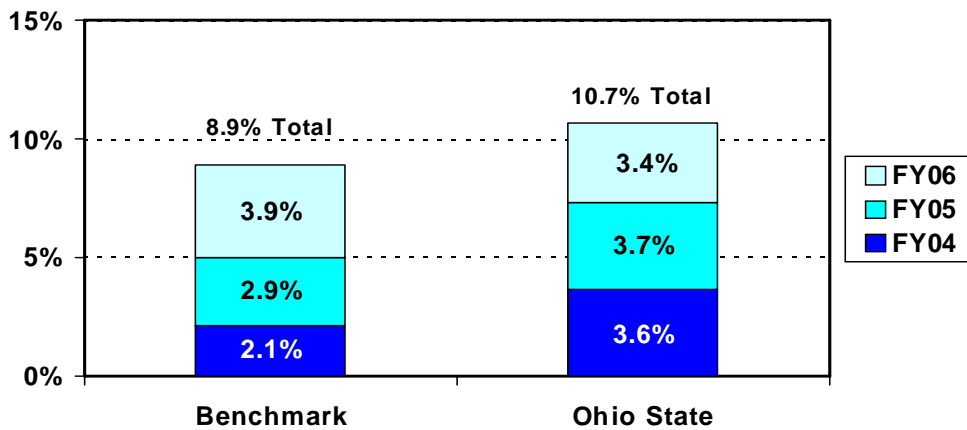
To plan their budgets, universities determine the funds that are allocated to the faculty salary budget for the next fiscal year. Information on the percent increase in the “Faculty Salary Budget Pool” is shared among peer institutions at varying times in the year making it difficult to establish the overall increase. It is important to note that the salary budget pool is for continuing faculty and excludes funds added to pay for increases due to promotions and counter-offers made to retain faculty. Unlike the salary budget pool, the “Total Faculty Salary” (the average salary of all faculty) is impacted by promotions, counter-offers, new hires, and departures. Information on the increases in total faculty salaries is also shared among institutions but usually much later in the fiscal year. In this FCBC report, Total Faculty Salaries (as defined above) were covered in Section II. Section III discusses the Faculty Salary Budget Pool (as defined above), which was used to plan for Market Increase in faculty salaries.

In 2001, the university administration made it a high priority to increase faculty and staff salaries “to the mean of our benchmark peers within three or four years.” Accordingly, the target average faculty salary increases for both 2003-04 and 2004-05 were set at 2.5% (the estimated average for our benchmark institution’s budget pool) plus at least 1.0%, excluding salary increases attributable to promotions, and equity/market adjustments. Ohio State appeared to be making progress towards this goal until this year.

B. Comparison of OSU's Faculty Salary Budget Increase with the Ten Benchmark Institutions

Figure 6 compares Ohio State to its benchmark institutions for increases in faculty salary budgets for the last three years. This period saw a combined increase in Ohio State faculty salary budgets of 10.7%, as compared with the benchmark increase of 8.9%, a 1.8% difference in favor of Ohio State. However, Ohio State's stated goal has been to increase the university faculty salary budget pool by 1.0% above the benchmark average each year, and in 2005-06 the average increase at Ohio State was actually below the benchmark average (3.4% vs. 3.9%). Thus, **in the last year Ohio State did not reach its stated goal of increasing the faculty salary budget pool by 1.0% above the benchmark average.**

Figure 6 The Ohio State University Faculty Salary Increase Budget Public Benchmark Institutions Comparison FY 2003-04 to FY 2005-06



C. Section III Conclusions

The data in Table A-1 illustrate that, as a result of the Academic Plan's salary initiative, during the last several years Ohio State has made substantial progress towards reaching the Plan's initial goal of increasing the overall average faculty salary to, at least, the average of its selected benchmark universities. Nevertheless, the initial goal of reaching the benchmark average by 2004 or 2005 has still not been achieved in 2006. Furthermore, the benchmark average salary is a moving target. Indeed, despite increases in the faculty salary budget pool that exceeded the benchmark average by 1.5% in 2003-04 and 0.8% in 2004-05, the average faculty salary at Ohio State in 2006 declined to 1.6% below the benchmark mean.

The FCBC recommends that in 2006-07 Ohio State renew its resolution to reach, and even exceed, the initial faculty compensation goal of the Academic Plan. The salary increases that the FCBC has projected will be necessary to achieve this goal (Section II) will require a commitment of adequate funds to the faculty salary budget pool. Only in this way can Ohio State continue to recruit and retain the very best faculty. The FCBC further submits that the faculty compensation goal of the Academic Plan is only a beginning. To remain competitive in the future, Ohio State must offer compensation comparable not only to the small benchmark group, but also to the national market average determined by a much broader category of institutions, such as those within the AAU, that compete for the same pool of faculty. As Figure 5 above shows, among the 60 AAU institutions in the United States, Ohio State's average faculty salary currently ranks only 38th. We must resolve to do better.

IV. Status of The Ohio State University Colleges Relative to Their National Benchmarks

The university has demonstrated its commitment to raising the average salaries of each college relative to that unit's self-selected benchmarks. Comparisons of each college's average faculty salary with respective benchmarks for 2004-05 are provided in Figure A-4 in Appendix A. These values for both 2003-04 and 2004-05, along with counts of benchmark institutions, are in Table A-4 in Appendix A. For example, in 2003-04, only 7 of 19 units (18 colleges plus the School of Public Health) had average salary levels that met or exceeded their respective benchmarks. Four of the twelve that lagged did so by double-digit percentages. In 2004-05, the number of colleges meeting benchmark averages had risen to 9 of 19. The increase of two colleges to benchmark levels must be viewed in a positive light; and the gains are even more notable considering that fourteen units actually narrowed the percentage gap with their own standard comparison groups.

The FCBC acknowledges the importance of these gains, but cautions that they are tenuous at best. The facts speak for themselves: OSU still has ten of its nineteen colleges/units below their own benchmarks. Five units actually slipped in comparison to their own yardsticks from 2003-04 to 2004-05.

For this report, a comparison of college-by-college gains and/or shortfalls is not possible because relevant data from AAU for 2005-06 had not been received by our deadline date. However, as the benchmark data in Section II delineate clearly, the university will not be able to recruit talented new faculty particularly at the Assistant and Associate Professor levels when compensation is not competitive on a college-by-college

basis. The university will not be able to retain many of its talented faculty when we fall below the institutions to which we compare ourselves on discipline-by-discipline measures.

The status of Ohio State's colleges relative to their national benchmarks reflects the realities of the market-driven compensation philosophy embraced by the University. This reflection ties directly to the Academic Plan and the goals of the University. Accordingly, it is incumbent upon the University to ensure that it is able to attract and retain the best academic and research talent in all of its respective colleges.

To add muscle to the forward movement by individual colleges, the FCBC recommends to college deans a two-part strategy: (1) allocation of sufficient resources to narrow the market gap in those colleges where the average salaries fall below both their own self-selected benchmarks and the University benchmark average salary; (2) secure the funding necessary to maintain and enhance the position of colleges that have matched or exceed their benchmarks.

The University's compensation philosophy of rewarding exceptional productivity through merit increases becomes operational at the college level where department chairs determine salary raises. Based on this performance-driven model, one strategy to enhance the overall status of a college is targeting individual faculty whose salaries are below market. Therefore, when warranted by performance, the committee recommends that deans allocate to chairs the funds they require to raise substantially the salaries of individual faculty in all ranks whose salaries are below both the college and the university benchmark averages.

V. Salary Disparity at The Ohio State University

The term “salary disparity” invites varied interpretations based on one’s perspective. To faculty in colleges and disciplines where tradition and market forces keep salaries at low levels, the perception of disparity becomes painfully clear each year by reading this report. This feeling is exacerbated when these faculty see others at the same rank across campus earning 25-60% more for doing similar work (teaching, publishing research, and serving their respective professional associations and campus committees.)

Another interpretation of salary disparity was offered in the FCBC 2005 report in which it defined the term as “large differences in the compensation for individuals with the same rank and in the same unit.” Perhaps some of that disparity is justified due to differences in performance and the subsequent accrual of differential merit increases. Some disparity may be explained by comparing earlier hires at lower salary levels with more recent hires at more competitive salaries driven by market realities. Especially when annual performance is equal, both reflect distinct conditions in which one is treated more favorably when salary increases are determined by a percentage rather than a dollar amount. This exacerbates disparity while underscoring the discriminatory nature of such a process.

A third interpretation of salary disparity was provided in the July, 2005 Provost’s compensation guidance letter to Vice Presidents, Deans, and Department Chairs. In that letter, Provost Snyder explained that salary disparity occurs when “the difference in salaries between higher-paid and lower-paid individuals is greater than justified by differences in market value and performance.” This also speaks to the growing problem

of salary compression where faculty in the same discipline who have been at OSU for lengthy careers actually earn less than newly hired faculty, sometimes at ranks lower than themselves. This problem, compression both between and within ranks, is one FCBC will examine with rigor next year.

The written evidence supports the observation that salary disparity remains manifest in several distinct forms for faculty at Ohio State. Anecdotal reports suggest that **in whatever form, salary disparity has an insidious and corrosive effect on faculty morale, and all appropriate steps should be taken to correct it, beginning with the most egregious cases.**

As the 2005 FCBC report made clear in sobering relief, one's starting salary has a dramatic impact on both annual salary increases and on the calculation of some retirement benefits particularly when measures of performance are similarly meritorious. Assuming a series of 5% annual merit raises for a professor hired at \$60,000 compared with one hired at \$75,000, the \$15,000 difference at the outset becomes a spread of \$24,434 after just 10 years and then grows to \$39,800 after 20 years. This epitomizes disparity.

One reliable source for addressing the problem of salary inequity can be found in the consistency of the compensation philosophy of FCBC and the evolution of consensus it has engendered. Previous FCBC reports are instructive in this regard. For example, the 2000 document from this committee argued that faculty quality and the faculty's determination to achieve excellence are vital prerequisites for the achievement of the university's mission. Recruiting, developing, and retaining the highest-quality faculty must therefore be a foremost priority for the university. This goal can be achieved with

compensation strategies that maximize performance, retention, and recruitment.

The 2000 report went on to identify relevant parameters for successful strategies, highlighting *decentralized decision-making*, pertinent *market considerations* with differential impact according to fields, a preeminent *merit base for compensation* and its adjustment, coupled with *incremental attribution of merit*, and the monetary expression of such merit (at least in part) in terms of *dollar amounts rather than (unqualified) percentage*.

If these recommendations of the 2000 FCBC report may have only been wishful at that time, current thinking, guidelines, and practice have evolved considerably toward a realization of these goals. Budget Restructuring produced the decentralization that allows Colleges to address salary issues in terms of market conditions and with the most effective allocation of their resources to support the strategic goals along the mentioned parameters.

Indeed, the Provost's 2006 Compensation Guidance statement to Vice Presidents, Deans, and Department Chairs, dated July 14, 2005, reinforces this compensation philosophy that now represents University policy:

“As the university's compensation philosophy provides a market-based, performance-driven framework for compensation, all recommended increases must be based on performance, market and/or equity considerations. The college/department compensation increase process should prevent salary disparity or take action to correct disparity where it may exist. Salary disparity exists when the difference in salaries between higher-paid and lower-paid individuals is greater than justified by differences in market value

and performance. Distributing raises in dollar increments rather than on a percentage basis is one method available to reduce the growth of salary disparity; another is to write guidelines which slow the growth of salaries for those above market, and increase the growth of salaries for those below market, with performance being equal.” (p. 2, sect. E. *Guideline Documentation*)

FCBC sees the approach outlined by the provost as a fruitful way of achieving a more equitable and effective salary structure indispensable for creating the university envisaged by the Academic Plan. The committee also acknowledges the importance of addressing salary inequity not only by individual deans and department chairs, but by central administration as well. **We continue to recommend, as we did in the 2005 report, that deans encourage department chairs to adopt a practice of assigning faculty annual merit scores. In principle, this means faculty with identical merit scores would receive the same dollar increase. This approach would soften the unfair impact and the growth of salary disparity.**

VI. Comparisons of Regional Campus Salaries at The Ohio State University to Other Regional Campuses

The Provost requested that the FCBC look into regional campus salaries. The Provost expressed particular interest in a comparison of regional campus salaries at The Ohio State University with salaries at other regional campuses in the state, and what may need to be done to address inequities in regional campus salaries. A subcommittee of the FCBC has been formed to look into this issue and will continue its work into 2006-07.

VII. Benefits

A. Phased Retirement

A Phased Retirement program involves a pre-determined option, or set of options, that can be exercised to transition from a regular full-time tenured faculty appointment to full retirement. We believe this is useful for faculty and for academic departments for reasons that include the following:

For Faculty

- a) For many faculty an abrupt change from full-time service to full retirement would be both unattractive and a very difficult adjustment. As a result, some may delay retirement longer than they should, and also may not plan well for an active and enjoyable retirement.
- b) Faculty will still have access to their colleagues and to the rich resources of the academic community.

For the Department

- a) It provides a way for Chairs to assist faculty in preparing for retirement
- b) When a faculty member enters phased retirement, he/she signs a contract to fully retire in a pre-determined number of years. This enables the Department to plan for a replacement.
- c) When a faculty member enters phased retirement, he/she phases down the FTE appointment, which may involve some savings to the department.
- d) Phased retirement may prove financially beneficial to the university where a retirement-eligible senior faculty member, who is bringing in direct and indirect dollars from grants or contracts, could be encouraged to continue

in such PI (principal investigator) roles for additional years.

- e) The additional years of faculty service could also lead to the attraction and retention of graduate students, ongoing academic and scholarly reputations and the continuity of senior administrative processes.

The Ohio State University needs to make program design decisions such as: eligibility criteria (usually age and service); workload responsibilities and FTE phase-down; salary; and benefit offerings, particularly when dropping below 75% FTE. One possible incentive for faculty participation is for the institution to continue health care coverage throughout the phase-out period. Often a range of program options are provided, for individual negotiation between the Chair and the faculty member (within the predefined limits). The Chair should be able to negotiate the options but not refuse access to any eligible faculty.

The FCBC strongly recommends that a university committee or task force be assembled to look into the phased retirement issue; the committee should study other examples, research and literature on phased retirement programs and propose a design that is optimal for OSU.

B. Dependent Care and Childcare

Statement of Philosophy Regarding Dependent Care

The FCBC believes that childcare should be viewed as part of a life-span approach to the various dependent care needs of its faculty and staff which include elder care, tuition fee waver, disability, etc. Such needs change throughout the lifespan of an employee and the University can and should play an important and

vital role in supplying benefits that accommodate university families during these changes.

The Need for Increased High Quality Childcare at Ohio State

In terms of childcare specifically, the FCBC recommends the University increase the availability of high quality childcare. The 2003 Faculty Work Environment and Work/Life Report (<http://hr.osu.edu/hrpubs/facultyworklifeinfo.pdf>) shows that 33% of faculty with children 0-14 years of age have great difficulty finding acceptable quality childcare and 37% have difficulty finding care for an infant or toddler. This need is felt most keenly by female faculty and staff who continue to have the primary responsibility for making the arrangements for childcare in their families. The committee views increasing the number of childcare spaces as an opportunity for the University to accomplish two tasks that are germane to its mission: 1) to attract and to retain highly qualified faculty and staff, and 2) to increase diversity within the faculty and staff populations.

The increase in childcare spaces may be accomplished in a variety of ways as discussed by the University Dependent Care Task Force. These options include construction of an additional campus childcare facility, the purchase by colleges of options in community childcare programs to secure a spaces for new hires, distribution of grant dollars by the University to qualifying area childcare programs to increase their accreditation standing in return for secure spaces for university employees, construction of a Gold-Standard childcare facility with top-dollar tuition required from non-OSU parents in order to off-set the cost of increasing the number of affordable childcare spaces for children of OSU employees, or a combination of all of the above. **The FCBC**

strongly recommends that the Office of Human Resources investigate the feasibility of each of the options listed above for increasing the availability of childcare at OSU, and perform a cost-benefit analysis for each of these approaches.

C. Security of Personal Information and Personal Safety

The FCBC applauds the changes that were implemented in 2005 to increase the security of personal information of OSU employees. In particular, steps taken to move away from the use of social security numbers in the payroll and other data systems are viewed as a significant deterrent to identity theft. The FCBC also commends the efforts of BuckeyeSecure to identify who may legitimately have access to personal information, to define legitimate and non-legitimate uses of personal information, and to bring about rapid deactivation of access to information by employees who leave the University.

In conjunction with USAC, the FCBC also strongly recommends that:

1. the use of social security as an identifier be further curtailed,
2. the University and OSU Medical Center strengthen and widely publicize the confidentiality policy governing the Personal Health Assessment and adopt a policy of not sharing health information with private companies, public employers, etc.
3. the University move towards adoption of biometric methods of identification in place of numeric identifiers wherever feasible.
4. efforts be made to improve safety of Faculty and Staff by more efficient regulation of access to University buildings.

VIII. Growth in Administrative Overhead at The Ohio State University

There is a widespread perception among the faculty of rapid growth in the administrative component of the University, including growth in relative terms to the growth of faculty. While there is recognition that administration is a necessary component of the university, it is also reasonable to expect the breadth and scope of administration should be balanced with respect to supporting the needs of faculty-based programs and activities. The perception of administrative growth includes a recognition that as administrative personnel increase, the number of new administrative initiatives also increase. As a consequence, there is a serious concern that the accompanying increase in administrative overhead (administrators' salaries, salaries of administrative support staff, associated new projects, etc.) constitutes a significant demand on university financial and personnel resources at a time when state and other sources of support are decreasing. This concern is also related to an interest in ensuring that students receive a quality level of instruction.

The charge of the Faculty Compensation and Benefits Committee is to assess the adequacy of faculty compensation vis-à-vis benchmark institutions and to recommend increases in compensation that guarantee that OSU remains competitive in the areas of faculty hiring and retention. **The FCBC is concerned, however, that if the committee's perception of a growing and costly administration in a time of reduced funding is accurate, the ability of the University to act on its compensation priorities may be significantly compromised. This concern has been heightened recently given the decline in 2005-06 in the university's faculty salary position relative to its benchmark and other comparison groups.** Assurance of adequate compensation and

benefits commensurate with the academic marketplace is not merely a practical or financial concern but relates to the larger issue of faculty morale. As such, the expectations established by resource-based funding coupled with a perception of declining faculty and expanding administration is having a significant impact on morale.

The FCBC commends the efforts of the ad hoc committee of the University Senate that is working with Human Resources to look into the question of the growth of administrative overhead at OSU. The FCBC once again emphasizes that the issue of administrative overhead is one of transparency, and urges the Provost to support strongly the ad hoc Senate committee as it investigates this pressing question. The support of Provost Snyder in the effort to determine accurately the changes in demographics that are occurring within the faculty and the administration and the financial impact of these changes will enable the University to make informed decisions that not only will improve faculty-administration relations, but, even more importantly, will ensure that the faculty and staff in academic units across the campus are well-positioned to meet the challenges outlined in the University's Academic Plan.

IX. Faculty Representation on The Ohio State University Board of Trustees

Background of FCBC Interest

Two considerations prompted the FCBC to consider the merits of faculty representation on the OSU Board of Trustees. The primary consideration was the fact that the FCBC is charged with “...studying the adequacy and attributes of the University’s policies and provisions for: (1) salaries...; [and] (2) ...benefits...” (University Senate by-laws, 2005, 12-60), and it was represented that having faculty representatives on the Board would increase the awareness of faculty views regarding the adequacy of compensation and benefits. A secondary consideration was a communication from the SCBC representative to the FCBC that USAC was considering an effort to get staff representatives on the OSU Board of Trustees.

The question of faculty representation on the Ohio State Board of Trustees was brought up to the Faculty Cabinet which charged the FCBC with considering the issue further and making recommendations on this question in its 2006 report.

Results of FCBC Deliberations

The FCBC has examined and debated at length the reasons justifying inclusion of faculty representatives on the OSU Board of Trustees. This list was presented to the Faculty Cabinet and is provided below.

1. Faculty are “the University” in terms of its academic programs and the quality of its graduates, its research productivity, and its public service.
2. Faculty implement and deliver the ultimate outcomes of budgetary and other constraints imposed year after year.

3. Faculty, as a whole, are the longest invested entity in the University (30+ year service model)
4. Faculty, as a whole, are the largest governance entity within the University Senate
5. Faculty are the “living” history of the University’s advances and accomplishments
6. Faculty representation at the Board of Trustee’s level is not a new precedent within the IUC

There are precedents for faculty representation on the Board of Trustees at OSU. An internet (and by-no-means exhaustive) search using the term “faculty trustee” revealed that there are quite a few universities and colleges that have faculty representatives on their boards. Most important for Ohio State is Cleveland State University which has had two faculty representatives on its Board of Trustees for over thirty years (please see letter from Dr. Edward Thomas in Appendix B). Thus, there is a precedent for faculty representation on the board of trustees of a public university in Ohio. Some examples of other universities with faculty on their boards are the University of Kentucky, University of Tennessee, Cornell, the University of Florida, California State University, and the University of Colorado.

The FCBC communicated with faculty representatives on the boards of the institutions mentioned above and asked them for their views on the value (or lack thereof) of having a faculty presence on their boards. The representatives at four of these institutions responded (see Appendix B). In general, whether they have voting rights or

not, the representatives at these institutions believe that the presence of faculty on their boards is a very positive thing. Guaranteed access to the highest level of decision-making at the university was identified as the principal advantage of formal faculty representation on their respective boards. The benefits to the faculty and the university of guaranteed access included:

1. improved communication of faculty concerns and positions on issues,
2. an ability to influence the decision-making process that sets university policies in at least an advisory capacity
3. a decrease in the likelihood of controversies resulting from inadequate communication or misunderstandings that can consume so much of the University's (Board of Trustee's, Faculty's, Administration's, etc.) time, energy and emotion.

FCBC Recommendations

The FCBC recommends establishment of an ad hoc committee of the Senate to investigate further the pros and cons, precedents, and other questions related to the issue of faculty representation on Ohio State's Board of Trustees. As point 3 above indicates, a faculty presence on the Board of Trustees at Ohio State could have advantages for the University as a whole. Therefore, the FCBC encourages Provost Snyder and the members of the Administration at Ohio State to participate in the conversation as the ad hoc committee considers this issue.

X. Recommendations

Compensation Recommendations

- 1.* The committee recommends that the compensation goal of the university be to meet or preferably to exceed the overall benchmark average faculty salary. **In order for faculty salaries at The Ohio State University to return to a suitable ranking related to our benchmark institutions, FCBC recommends an overall salary increase of 4.7%.** Moreover, FCBC recognizes that additional important considerations for Deans are the need to correct for salary compression between and within faculty ranks and to correct disparities in salary occurring because of race, gender, or other inequities. The FCBC recommends that all salary adjustments be merit based, with consideration of mitigating circumstances including discrepancies due to gender, minority status, or other inequities. These inequities might differentially affect faculty in each rank necessitating individually-based increases that differ from the average recommended above. Since salary levels are also determined by prevailing markets, attention should be given to salaries for faculty who are performing well and who are significantly below the market (discipline-specific benchmarks) for their rank and discipline. These considerations are in addition to the need to retain excellent faculty.
***THIS RECOMMENDATION IS GIVEN THE HIGHEST PRIORITY OF THE COMPENSATION RECOMMENDATIONS PUT FORWARD BY THE COMMITTEE.**

2. **The FCBC recommends that the compensation goal of the Academic Plan be**

interpreted more broadly. In essence, the committee recommends that the compensation goal of the university will be to meet or (preferably) to exceed both the overall benchmark average faculty salary and the average benchmark salaries for the separate faculty ranks (assistant, associate and professor). The FCBC believes that adoption of this broader interpretation of our goal will guard against declines in the average salaries of the separate ranks that could be obscured by focusing simply on the overall average salary. The FCBC also believes that this constitutes an additional safeguard that will help to stabilize Ohio State's faculty salary position within its chosen comparison group(s).

3. **The FCBC recommends that the University Administration renew its commitment to fund the total salary budget pool at a rate of 1.0% above the benchmark average at least until the initial faculty compensation goal of the Academic Plan has been achieved.**

4. **The FCBC recommends that the University Administration make an especial effort to encourage/assist colleges in which faculty salaries have historically been below both the university benchmark and the self-selected college benchmark averages to move the average faculty salaries up to, at least, the self-selected college benchmark averages.** Such an effort would also constitute a strategy that, together with Recommendation 1 (above), would help Ohio State to achieve the compensation goal of the Academic Plan.

5. **The FCBC recommends that the University Administration actively**

encourage academic units to award annual merit increases on a dollar rather than a percentage basis. The committee views percentage salary increases as an unfair practice in which merit awards for comparable performances to individuals within the same unit may vary greatly by virtue of a pre-existing condition (current salary).

6. The FCBC recommends that a subcommittee be established to compare faculty salaries at Ohio State's regional campuses with the salaries of faculty at other regional campuses.
7. When the compensation goal of the Academic Plan has been achieved, the FCBC once again recommends that the Phase II Committee to decide the next compensation goal for Ohio State consider the 30th of the American Association of Universities as the next compensation target.
8. The FCBC recognizes that the ultimate responsibility for allocating the funds to implement strategies to improve faculty compensation at Ohio State rests with the deans of its various colleges. **The committee, therefore, recommends that a copy of the executive summary of this report and these recommendations be sent to each dean with an electronic copy of the full report available upon request.**

Benefits Recommendations

- 1.* A Phased Retirement program involves a pre-determined option, or set of options,

that can be exercised to transition from a regular full-time tenured faculty appointment to full retirement. The FCBC believes that development of a Phased Retirement program at Ohio State could be valuable to both the faculty and academic departments for a number of reasons. **The FCBC, therefore, strongly recommends that a university committee or task force be assembled to look into the phased retirement issue; the committee should study other examples, research and literature on phased retirement programs and propose a design that is optimal for Ohio State.**

***THIS RECOMMENDATION HAS THE HIGHEST PRIORITY OF THE NON-COMPENSATION RECOMMENDATIONS PUT FORWARD BY THE COMMITTEE**

2. **The FCBC believes that childcare should be viewed as part of a life-span approach to the various dependent care needs of its faculty and staff which include elder care, tuition fee waver, disability, etc.** Such needs change throughout the lifespan of an employee and the University can and should play an important and vital role in supplying benefits that accommodate university families during these changes. The committee believes that adoption of such a philosophy and its expression in the various forms of support listed above would constitute a very powerful recruitment and retention strategy for Ohio State. **As a first step the FCBC strongly recommends that the Office of Human Resources investigate the feasibility of each of the options listed in Section VII B of this report for increasing the availability of childcare at Ohio State,**

and perform a cost-benefit analysis for each of these approaches.

3. **The FCBC applauds the changes that were implemented in 2005 to increase the security of personal information of Ohio State employees. In particular, steps taken to move away from the use of social security numbers in the payroll and other data systems are viewed as a significant deterrent to identity theft.** In conjunction with University Staff Advisory Committee, the FCBC also strongly recommends that the University implement the suggestions described in Section VII C to increase further the safeguards for personal information and personal safety.

Additional Recommendations

1. There is a widespread perception among the faculty of rapid growth in the administrative component of the University, including growth in relative terms to the growth of faculty. **The FCBC is concerned that, if the perception of a growing and costly administration in a time of reduced funding is accurate, the ability of the university to act on its recommendations may be significantly compromised. This concern has been heightened recently given the decline in 2005-06 in the university's faculty salary position relative to its benchmark and other comparison groups.** The FCBC commends the efforts of the ad hoc committee of the University Senate that is working with Human Resources to look into the question of the growth of administrative overhead at Ohio State. **The FCBC once again emphasizes that the issue of administrative overhead is one of transparency, and urges the Provost to support strongly**

the ad hoc Senate committee as it investigates this pressing question.

2. **The FCBC recommends formation of an ad hoc committee of the Senate to investigate the pros and cons, precedents, and other questions related to the issue of faculty representation on Board of Trustees of The Ohio State University.** As described in Section IX of this report, the committee believes that a faculty presence on the Board of Trustees at Ohio State could have advantages not only for the Faculty but for the University as a whole. Therefore, **the FCBC encourages Provost Snyder and the members of the Administration at Ohio State to participate in the conversation when the proposed ad hoc committee considers this issue**

Figure A-1
The Ohio State University
History of Ranking in Benchmark Institutions: 1995-96 to 2005-06

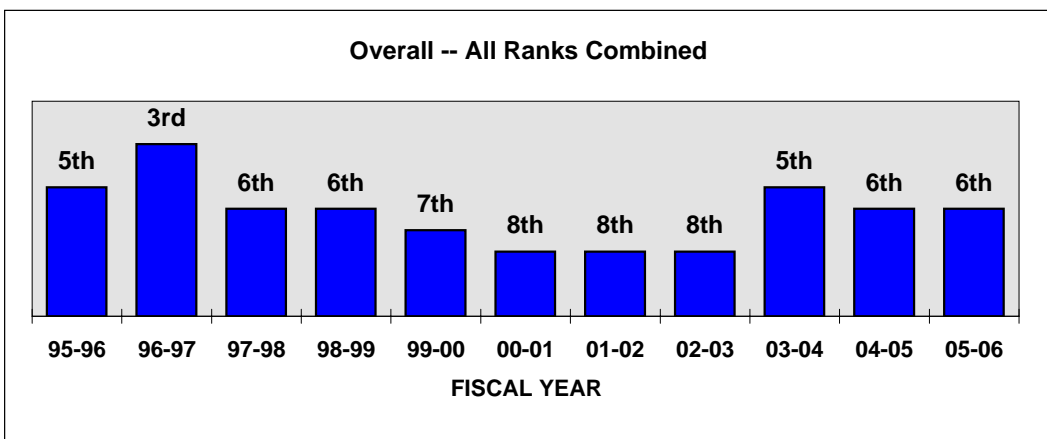
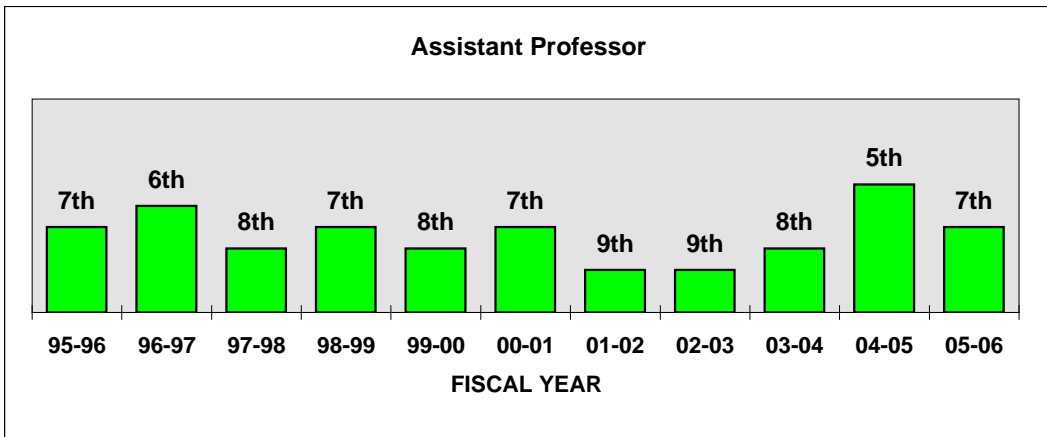
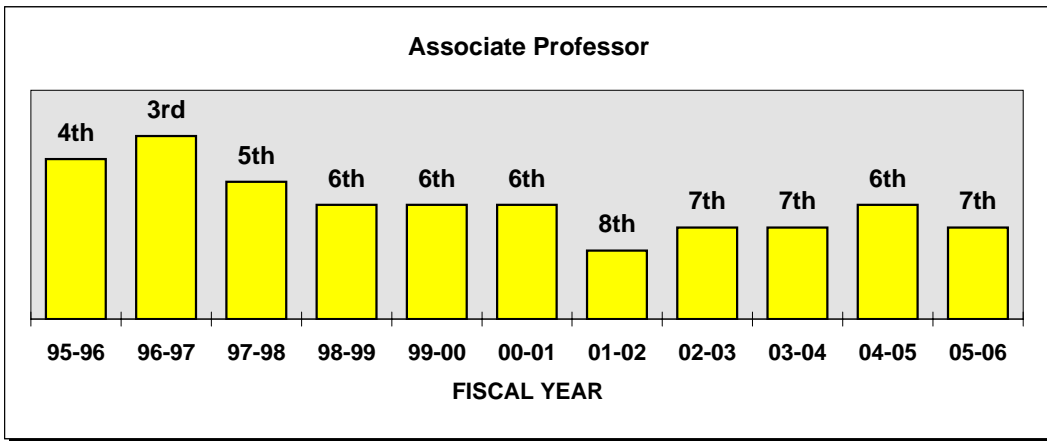
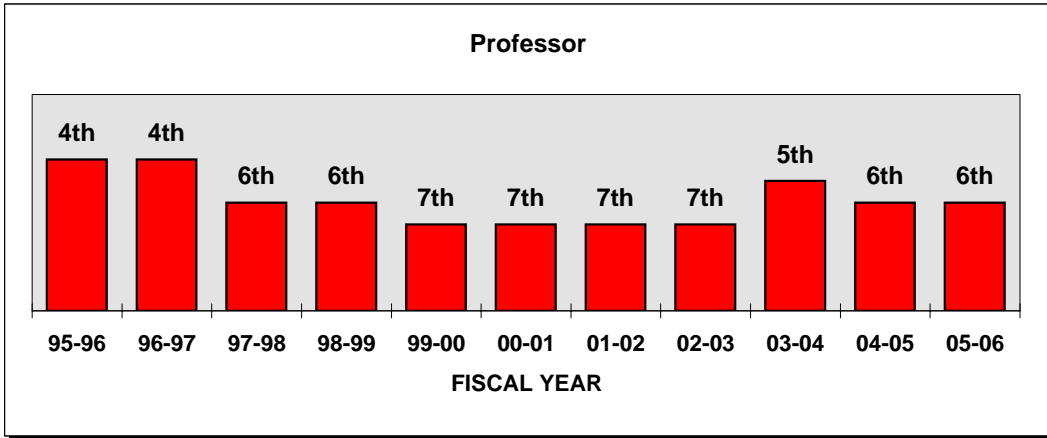


Table A-1

2005-06 Benchmark Comparison Ten Year Faculty Salary History

PROFESSOR																	
	05-06	04-05	03-04	02-03	01-02	00-01	99-00	98-99	97-98	96-97	95-96	1 YEAR		5 YEAR		10 YEAR	
												%	Rnk	%	Rnk	%	Rnk
UCLA	128.37	123.33	122.40	117.90	115.70	112.70	106.10	101.40	92.60	86.10	84.54	4.09	7	2.64	9	4.27	3
MICHIGAN	125.62	120.17	117.80	114.80	108.90	105.20	100.90	96.70	91.90	88.00	84.97	4.53	4	3.61	7	3.99	6
ILLINOIS	116.62	111.82	107.00	101.40	100.90	95.60	91.60	86.80	83.60	78.80	75.21	4.29	5	4.06	4	4.48	1
PENN STATE	116.51	112.58	108.00	102.70	98.10	93.80	89.90	86.10	83.10	80.20	77.56	3.49	9	4.43	1	4.15	5
TEXAS	115.70	109.94	103.20	102.90	98.80	94.10	89.40	84.40	82.40	79.60	76.09	5.24	2	4.22	2	4.28	2
OHIO STATE	112.65	108.42	103.53	98.18	93.75	92.20	88.80	84.91	81.85	80.14	76.35	3.90	8	4.09	3	3.97	7
MINNESOTA	110.31	105.36	102.00	101.30	97.60	93.60	89.50	85.60	81.00	74.80	73.03	4.70	3	3.34	8	4.21	4
ARIZONA	102.27	95.88	92.50	90.60	87.70	84.90	81.90	78.10	75.00	72.10	70.92	6.67	1	3.79	5	3.73	9
WASHINGTON	102.15	98.10	93.20	91.20	90.10	85.50	80.60	75.60	73.00	70.50	70.23	4.12	6	3.62	6	3.82	8
WISCONSIN	100.53	97.82	96.20	96.40	92.90	90.40	84.50	77.60	73.90	71.10	70.43	2.77	10	2.15	10	3.62	10
<i>Average excl OSU</i>	113.12	108.33	104.70	102.13	98.97	95.09	90.49	85.81	81.83	77.91	75.89	4.42		3.53		4.07	

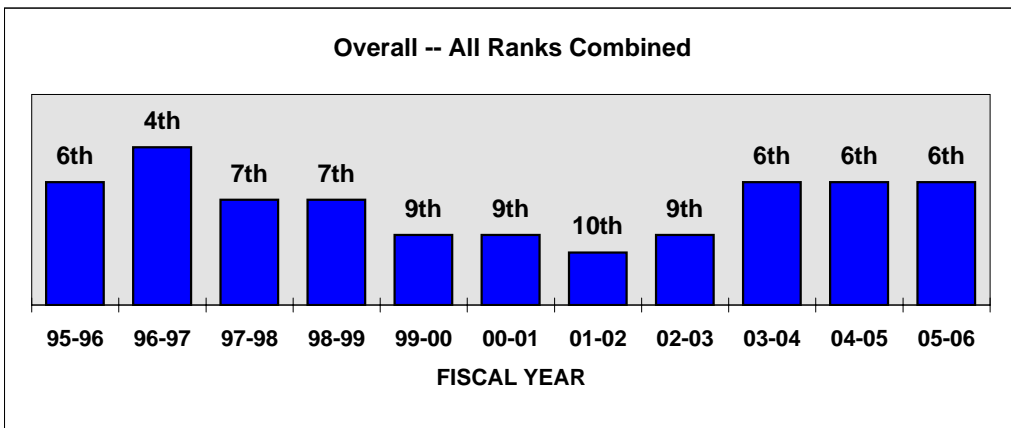
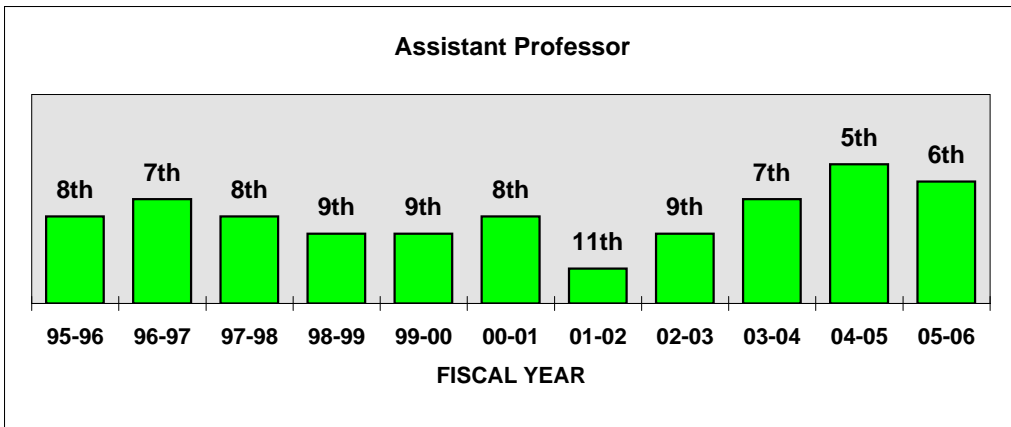
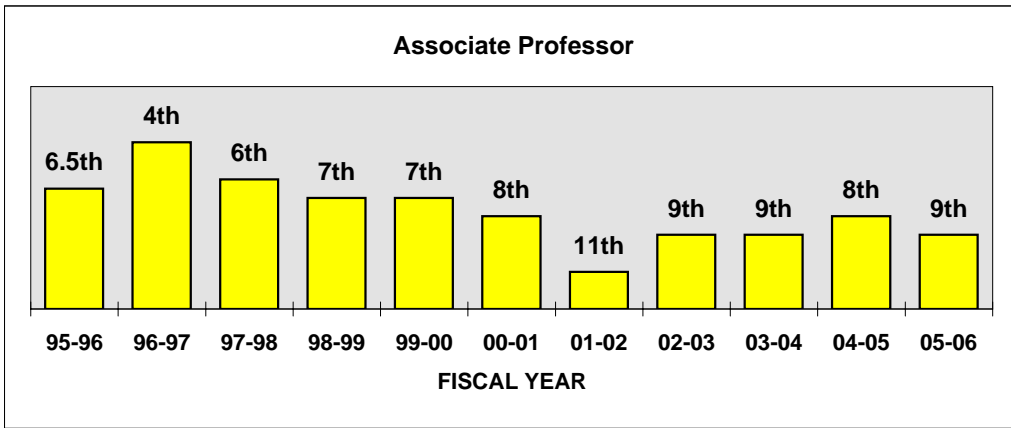
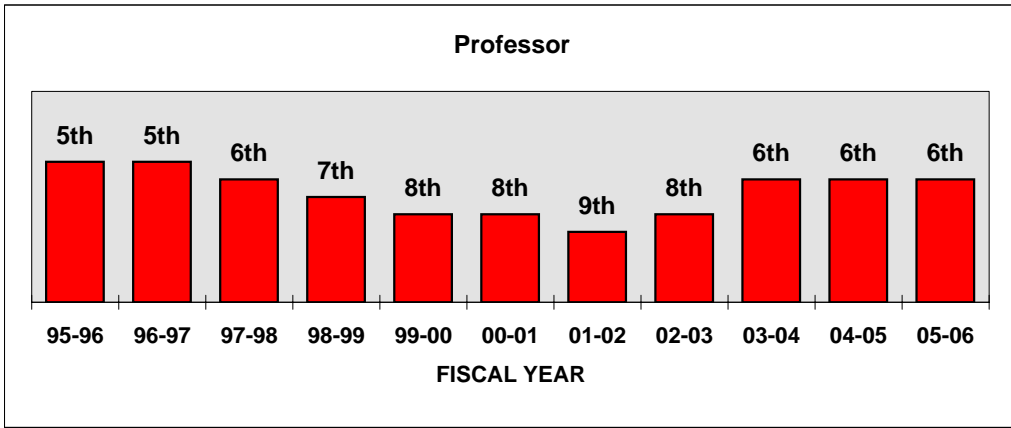
ASSOCIATE PROFESSOR																	
	05-06	04-05	03-04	02-03	01-02	00-01	99-00	98-99	97-98	96-97	95-96	1 YEAR		5 YEAR		10 YEAR	
												%	Rnk	%	Rnk	%	Rnk
MICHIGAN	83.73	81.57	80.90	78.90	76.30	73.30	71.80	68.20	65.90	63.40	62.04	2.65	10	2.70	8	3.04	10
UCLA	81.97	78.06	77.00	74.60	73.20	72.40	67.40	65.40	60.70	56.90	56.81	5.01	3	2.51	9	3.73	7
PENN STATE	77.75	75.42	72.40	70.30	66.50	63.40	60.40	58.00	56.00	54.90	53.50	3.09	8	4.16	1	3.81	5
ILLINOIS	77.57	75.06	72.00	69.40	69.90	66.30	63.40	60.60	58.40	54.80	53.42	3.34	7	3.19	4	3.80	6
WISCONSIN	76.52	73.44	73.30	73.70	70.20	68.00	64.80	58.70	55.50	53.50	52.52	4.19	4	2.39	10	3.84	4
MINNESOTA	75.63	70.68	69.90	70.90	69.20	66.10	63.90	61.70	57.50	52.60	51.47	7.01	1	2.73	7	3.92	2
OHIO STATE	74.19	72.13	69.08	66.27	63.53	63.80	61.10	58.12	56.26	55.60	53.42	2.86	9	3.06	6	3.34	9
WASHINGTON	72.91	70.21	66.70	65.80	65.50	62.60	58.40	55.10	52.90	49.90	49.93	3.85	5	3.10	5	3.86	3
TEXAS	72.90	70.27	64.90	66.10	63.50	60.80	58.20	54.60	53.70	51.60	49.33	3.74	6	3.70	2	3.98	1
ARIZONA	71.44	67.23	64.90	64.20	61.80	60.00	57.20	54.00	52.50	50.60	49.54	6.26	2	3.55	3	3.73	8
<i>Average excl OSU</i>	76.71	73.55	71.33	70.43	68.46	65.88	62.83	59.59	57.01	54.24	53.17	4.30		3.09		3.73	

ASSISTANT PROFESSOR																	
	05-06	04-05	03-04	02-03	01-02	00-01	99-00	98-99	97-98	96-97	95-96	1 YEAR		5 YEAR		10 YEAR	
												%	Rnk	%	Rnk	%	Rnk
MICHIGAN	72.78	67.06	66.70	65.30	61.70	59.70	57.70	54.50	53.00	50.90	50.10	8.52	1	4.04	6	3.80	6
TEXAS	70.67	66.89	62.30	61.50	60.00	57.30	54.20	50.60	49.70	47.60	44.90	5.66	3	4.28	3	4.64	1
ILLINOIS	69.63	68.18	64.50	61.00	60.40	56.80	54.10	52.30	51.20	48.90	46.63	2.13	8	4.16	4	4.09	4
WASHINGTON	67.22	64.67	63.20	60.20	58.30	53.60	51.40	48.10	47.60	45.20	44.60	3.95	5	4.63	2	4.19	3
UCLA	67.02	65.48	63.70	63.80	63.50	63.00	58.30	54.70	52.00	49.20	48.39	2.36	7	1.25	10	3.31	10
PENN STATE	66.28	64.04	62.50	59.50	56.00	52.70	50.20	47.40	45.80	44.30	43.63	3.49	6	4.69	1	4.27	2
OHIO STATE	65.78	64.77	62.25	59.08	55.20	54.40	51.00	48.73	47.37	46.24	44.88	1.57	9	3.87	7	3.90	5
MINNESOTA	65.39	62.53	60.60	61.90	58.20	55.40	53.60	51.30	48.60	45.90	45.54	4.57	4	3.37	8	3.68	8
WISCONSIN	64.30	63.57	63.60	62.00	59.80	59.80	55.40	52.10	50.60	47.70	46.35	1.14	10	1.46	9	3.33	9
ARIZONA	63.54	59.75	57.60	56.30	54.20	52.00	49.80	48.10	46.50	44.30	43.90	6.34	2	4.09	5	3.77	7
<i>Average excl OSU</i>	67.42	64.68	62.74	61.28	59.12	56.70	53.86	51.01	49.44	47.11	46.00	4.24		3.53		3.90	

OVERALL -- ALL RANKS COMBINED																	
	05-06	04-05	03-04	02-03	01-02	00-01	99-00	98-99	97-98	96-97	95-96	1 YEAR		5 YEAR		10 YEAR	
												%	Rnk	%	Rnk	%	Rnk
MICHIGAN	99.64	95.40	94.12	91.89	87.25	83.99	80.72	76.69	73.40	69.79	67.58	4.45	4	3.48	7	3.96	8
UCLA	98.98	95.22	94.15	91.44	89.56	87.66	81.48	77.62	71.51	66.22	65.54	3.95	5	2.46	9	4.21	5
ILLINOIS	92.90	89.70	85.80	81.76	81.29	76.79	73.05	69.38	66.87	62.57	59.90	3.57	7	3.88	3	4.49	2
PENN STATE	92.18	89.28	85.96	82.33	77.93	74.10	70.38	67.03	64.55	62.02	59.91	3.25	8	4.46	1	4.40	3
TEXAS	91.13	86.92	81.19	81.37	78.10	74.37	70.32	65.81	64.28	61.37	58.17	4.84	3	4.15	2	4.59	1
OHIO STATE	89.16	86.46	82.78	78.84	74.84	73.93	70.35	66.89	64.50	62.73	59.75	3.13	9	3.82	5	4.08	7
MINNESOTA	88.55	84.14	82.05	82.43	79.12	75.55	72.23	69.07	64.90	59.48	58.09	5.24	2	3.23	8	4.31	4
WASHINGTON	84.45	81.25	77.61	75.83	74.61	70.45	66.07	61.85	59.75	56.66	56.07	3.94	6	3.69	6	4.18	6
WISCONSIN	84.33	82.03	81.32	81.27	77.77	75.81	70.87	64.89	61.76	58.84	57.56	2.81	10	2.15	10	3.89	10
ARIZONA	83.19	78.19	75.49	74.19	71.39	68.93	65.82	62.47	60.15	57.31	56.46	6.39	1	3.83	4	3.95	9
<i>Average excl OSU</i>	90.60	86.90	84.19	82.50	79.67	76.41	72.33	68.31	65.24	61.58	59.92	4.25		3.47		4.22	

Note: The overall salaries are derived using Ohio State's rank distribution for the appropriate year.

Figure A-2
The Ohio State University
History of Ranking in CIC: 1995-96 to 2005-06



**Table A-2
2005-06 CIC Ten Year Faculty Salary History**

	PROFESSOR											1 YEAR		5 YEAR		10 YEAR	
	05-06	04-05	03-04	02-03	01-02	00-01	99-00	98-99	97-98	96-97	95-96	%	Rnk	%	Rnk	%	Rnk
U OF CHICAGO	155.08	148.43	141.30	134.70	129.20	124.80	118.50	112.00	106.00	101.60	96.53	4.49	3	4.44	2	4.86	1
NORTHWESTERN	140.80	136.33	131.90	127.70	122.30	116.20	111.20	106.60	101.40	96.10	92.00	3.28	9	3.91	6	4.35	4
MICHIGAN	125.62	120.17	117.80	114.80	108.90	105.20	100.90	96.70	91.90	88.00	84.97	4.53	2	3.61	7	3.99	7
ILLINOIS	116.62	111.82	107.00	101.40	100.90	95.60	91.60	86.80	83.60	78.80	75.21	4.29	4	4.06	5	4.48	2
PENN STATE	116.51	112.58	108.00	102.70	98.10	93.80	89.90	86.10	83.10	80.20	77.56	3.49	8	4.43	3	4.15	6
OHIO STATE	112.65	108.42	103.53	98.18	93.75	92.20	88.80	84.91	81.85	80.14	76.35	3.90	6	4.09	4	3.97	8
MINNESOTA	110.31	105.36	102.00	101.30	97.60	93.60	89.50	85.60	81.00	74.80	73.03	4.70	1	3.34	10	4.21	5
MICHIGAN STATE	105.89	101.85	98.30	95.00	89.70	85.20	81.50	77.50	74.20	71.30	68.85	3.97	5	4.44	1	4.40	3
IOWA	105.34	102.81	100.80	99.40	97.10	94.30	89.60	84.50	80.70	77.10	74.34	2.46	12	2.24	11	3.55	11
INDIANA	104.92	101.77	99.10	96.80	94.20	88.20	85.00	80.80	77.40	75.90	72.39	3.09	10	3.53	9	3.78	9
PURDUE	104.32	100.66	97.20	93.10	90.50	87.40	86.90	84.60	80.80	78.50	75.70	3.64	7	3.60	8	3.26	12
WISCONSIN	100.53	97.82	96.20	96.40	92.90	90.40	84.50	77.60	73.90	71.10	70.43	2.77	11	2.15	12	3.62	10
<i>Average excl OSU</i>	116.90	112.69	109.05	105.75	101.95	97.70	93.55	88.98	84.91	81.22	78.27	3.74		3.65		4.09	

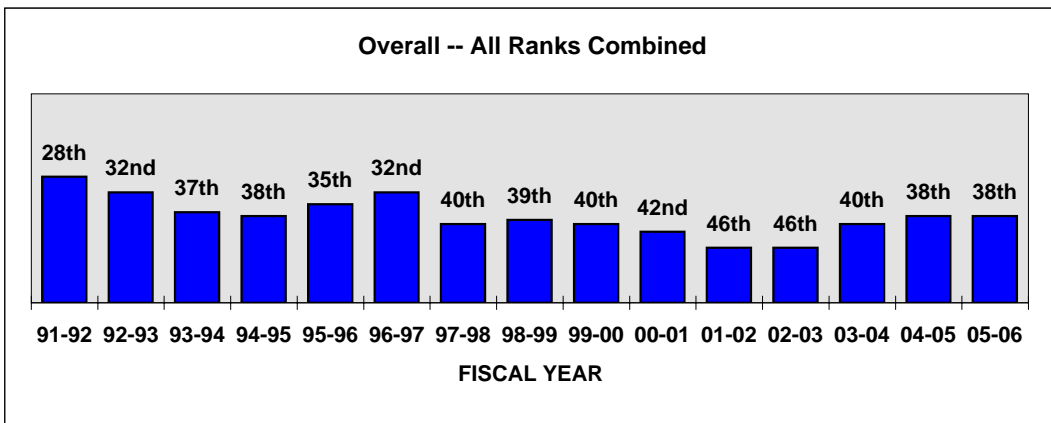
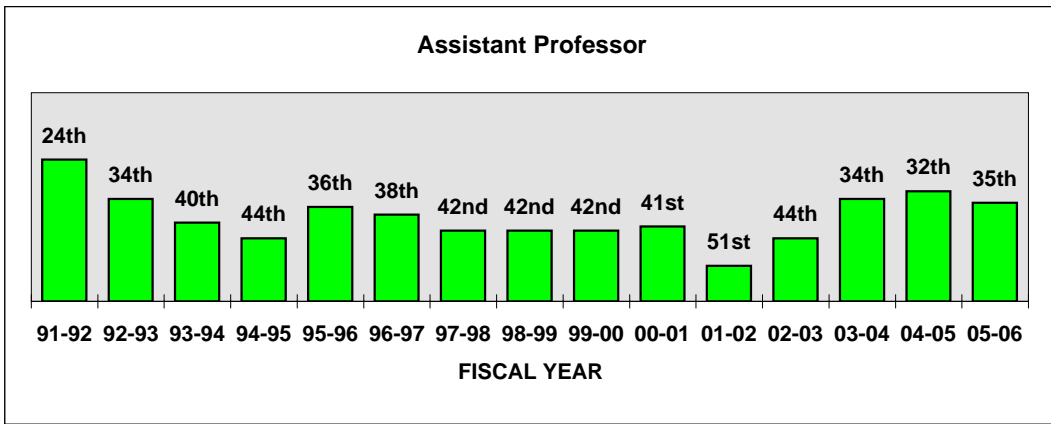
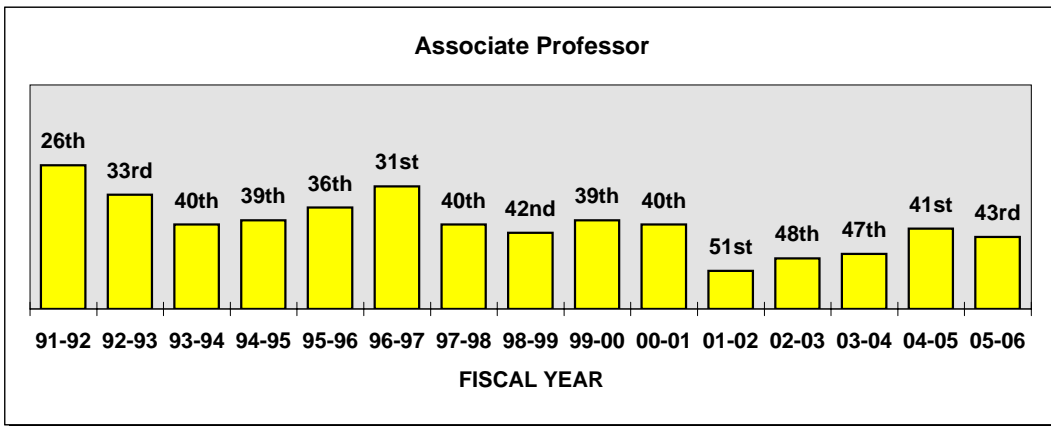
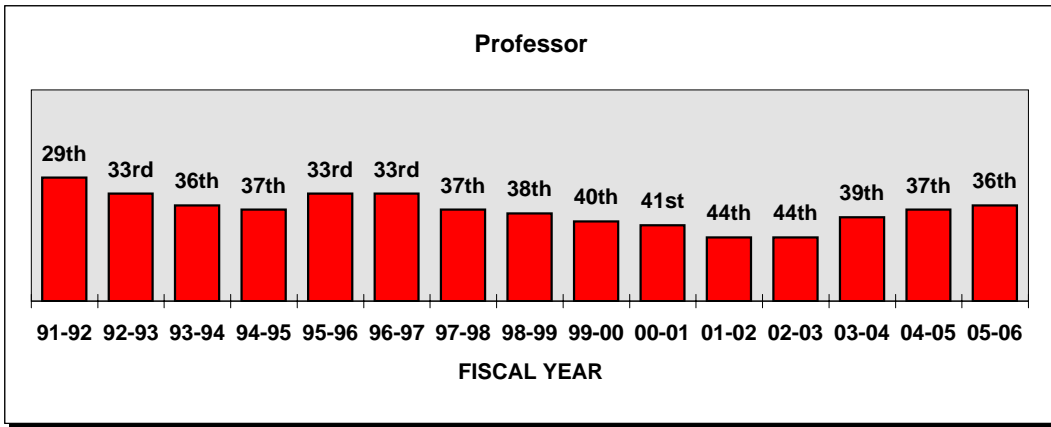
	ASSOCIATE PROFESSOR											1 YEAR		5 YEAR		10 YEAR	
	05-06	04-05	03-04	02-03	01-02	00-01	99-00	98-99	97-98	96-97	95-96	%	Rnk	%	Rnk	%	Rnk
NORTHWESTERN	93.73	90.67	86.90	83.90	80.30	78.50	73.40	70.80	67.40	65.20	64.48	3.38	4	3.61	4	3.81	5
U OF CHICAGO	93.61	92.29	89.30	88.10	81.70	79.50	75.70	72.30	68.00	63.60	62.05	1.43	12	3.32	6	4.20	1
MICHIGAN	83.73	81.57	80.90	78.90	76.30	73.30	71.80	68.20	65.90	63.40	62.04	2.65	10	2.70	10	3.04	11
PENN STATE	77.75	75.42	72.40	70.30	66.50	63.40	60.40	58.00	56.00	54.90	53.50	3.09	7	4.16	1	3.81	6
ILLINOIS	77.57	75.06	72.00	69.40	69.90	66.30	63.40	60.60	58.40	54.80	53.42	3.34	5	3.19	7	3.80	7
WISCONSIN	76.52	73.44	73.30	73.70	70.20	68.00	64.80	58.70	55.50	53.50	52.52	4.19	2	2.39	12	3.84	4
MICHIGAN STATE	76.45	73.72	72.40	69.90	67.60	63.90	60.40	58.00	55.80	54.10	52.27	3.70	3	3.65	3	3.88	3
MINNESOTA	75.63	70.68	69.90	70.90	69.20	66.10	63.90	61.70	57.50	52.60	51.47	7.01	1	2.73	9	3.92	2
OHIO STATE	74.19	72.13	69.08	66.27	63.53	63.80	61.10	58.12	56.26	55.60	53.42	2.86	9	3.06	8	3.34	10
PURDUE	72.92	70.58	68.80	64.50	62.70	60.60	60.10	57.70	55.20	53.60	51.23	3.33	6	3.77	2	3.59	8
INDIANA	72.85	70.69	68.50	66.20	64.00	61.10	58.80	56.60	54.20	53.10	51.18	3.06	8	3.58	5	3.59	9
IOWA	70.88	69.07	67.50	65.80	63.70	62.50	60.80	58.00	55.90	55.00	54.29	2.62	11	2.55	11	2.70	12
<i>Average excl OSU</i>	79.24	76.65	74.72	72.87	70.19	67.56	64.86	61.87	59.07	56.71	55.31	3.38		3.24		3.66	

	ASSISTANT PROFESSOR											1 YEAR		5 YEAR		10 YEAR	
	05-06	04-05	03-04	02-03	01-02	00-01	99-00	98-99	97-98	96-97	95-96	%	Rnk	%	Rnk	%	Rnk
NORTHWESTERN	81.21	79.26	76.80	73.40	69.10	65.80	62.40	59.80	58.50	56.20	54.70	2.46	7	4.30	3	4.03	3
U OF CHICAGO	77.75	73.43	72.30	70.30	69.60	67.10	68.50	65.50	61.40	58.50	55.45	5.87	2	2.99	11	3.44	10
MICHIGAN	72.78	67.06	66.70	65.30	61.70	59.70	57.70	54.50	53.00	50.90	50.10	8.52	1	4.04	6	3.80	6
ILLINOIS	69.63	68.18	64.50	61.00	60.40	56.80	54.10	52.30	51.20	48.90	46.63	2.13	9	4.16	5	4.09	2
PENN STATE	66.28	64.04	62.50	59.50	56.00	52.70	50.20	47.40	45.80	44.30	43.63	3.49	6	4.69	2	4.27	1
OHIO STATE	65.78	64.77	62.25	59.08	55.20	54.40	51.00	48.73	47.37	46.24	44.88	1.57	10	3.87	7	3.90	5
MINNESOTA	65.39	62.53	60.60	61.90	58.20	55.40	53.60	51.30	48.60	45.90	45.54	4.57	3	3.37	8	3.68	7
PURDUE	65.26	62.95	60.50	57.10	55.70	53.00	51.40	48.80	46.80	45.40	44.49	3.67	5	4.25	4	3.91	4
WISCONSIN	64.30	63.57	63.60	62.00	59.80	59.80	55.40	52.10	50.60	47.70	46.35	1.14	11	1.46	12	3.33	11
IOWA	63.93	61.66	59.80	59.30	56.10	54.60	52.70	49.30	48.40	47.80	45.46	3.68	4	3.21	10	3.47	9
INDIANA	62.63	61.27	59.60	58.80	55.30	49.80	48.40	45.90	43.60	43.40	43.99	2.22	8	4.69	1	3.60	8
MICHIGAN STATE	60.21	59.70	58.90	57.00	53.90	51.20	49.10	47.50	46.50	45.20	43.70	0.85	12	3.29	9	3.26	12
<i>Average excl OSU</i>	68.12	65.79	64.16	62.33	59.62	56.90	54.86	52.22	50.40	48.56	47.28	3.55		3.67		3.72	

	OVERALL -- ALL RANKS COMBINED											1 YEAR		5 YEAR		10 YEAR	
	05-06	04-05	03-04	02-03	01-02	00-01	99-00	98-99	97-98	96-97	95-96	%	Rnk	%	Rnk	%	Rnk
U OF CHICAGO	117.01	112.87	108.57	104.94	99.70	96.24	91.93	86.91	81.72	76.94	73.13	3.66	3	3.99	3	4.81	1
NORTHWESTERN	111.56	108.24	104.55	101.02	96.10	91.90	86.67	82.87	79.00	74.86	72.81	3.07	9	3.96	4	4.36	4
MICHIGAN	99.64	95.40	94.12	91.89	87.25	83.99	80.72	76.69	73.40	69.79	67.58	4.45	2	3.48	9	3.96	9
ILLINOIS	92.90	89.70	85.80	81.76	81.29	76.79	73.05	69.38	66.87	62.57	59.90	3.57	4	3.88	5	4.49	2
PENN STATE	92.18	89.28	85.96	82.33	77.93	74.10	70.38	67.03	64.55	62.02	59.91	3.25	6	4.46	1	4.40	3
OHIO STATE	89.16	86.46	82.78	78.84	74.84	73.93	70.35	66.89	64.50	62.73	59.75	3.13	8	3.82	7	4.08	7
MINNESOTA	88.55	84.14	82.05	82.43	79.12	75.55	72.23	69.07	64.90	59.48	58.09	5.24	1	3.23	10	4.31	6
MICHIGAN STATE	85.76	83.06	80.94	78.28	74.17	70.22	66.62	63.55	61.07	58.53	56.19	3.24	7	4.08	2	4.32	5
PURDUE	84.97	82.13	79.53	75.57	73.25	70.44	69.30	66.63	63.56	61.15	58.57	3.46	5	3.82	6	3.79	11
INDIANA	84.63	82.30	80.07	78.15	75.22	70.24	67.36	64.02	61.10	59.48	57.31	2.83	10	3.80	8	3.98	8
IOWA	84.42	82.27	80.51	79.26	76.56	74.43	70.97	66.81	64.14	61.72	59.59	2.62	12	2.55	11	3.55	12
WISCONSIN	84.33	82.03	81.32	81.27	77.77	75.81	70.87	64.89	61.76	58.84	57.56	2.81	11	2.15	12	3.89	10
<i>Average excl OSU</i>	93.27	90.13	87.58	85.17	81.67	78.16	74.56	70.71	67.46	64.13	61.88	3.48		3.60		4.19	

Note: The overall salaries are derived using Ohio State's rank distribution for the appropriate year.

Figure A-3
History of Ranking in AAU: 1991-92 to 2005-06



NOTE: The number of U.S. AAU institutions increased from 56 to 60 in 1996-97.
 The number of U.S. AAU institutions increased from 60 to 61 in 2001-02.
 The number of U.S. AAU institutions decreased from 61 to 60 beginning in 2002-03.

Table A-3
2005-06 Average Faculty Salaries (In Thousands)
AAU Institutions

		OVERALL	PROFESSOR	ASSOCIATE PROFESSOR	ASSISTANT PROFESSOR	2004-05 OVERALL RANKING	
1	HARVARD	126.30	168.75	97.12	87.34	1	HARVARD
2	STANFORD	123.83	156.24	106.13	86.95	2	CAL TECH
3	CAL TECH	122.42	147.78	106.47	96.81	3	STANFORD
4	PENNSYLVANIA	119.47	149.92	100.71	88.12	4	PRINCETON
5	PRINCETON	118.61	156.78	97.06	76.27	5	PENNSYLVANIA
6	U OF CHICAGO	117.01	155.08	93.61	77.75	6	U OF CHICAGO
7	MIT	111.80	140.27	94.13	82.70	7	COLUMBIA
8	NORTHWESTERN	111.56	140.80	93.73	81.21	8	NORTHWESTERN
9	YALE	111.38	151.15	85.34	72.84	9	MIT
10	CORNELL-ENDOWED	111.26	136.98	96.64	82.89	10	YALE
11	COLUMBIA *	110.24	140.39	94.51	74.80	11	CORNELL-ENDOWED
12	NEW YORK	109.93	144.02	88.28	75.86	12	NEW YORK
13	DUKE	108.28	136.37	91.32	78.84	13	DUKE
14	WASHINGTON UNIVERSITY	106.27	135.20	90.46	73.37	14	EMORY
15	EMORY	106.22	136.96	86.21	76.28	15	WASHINGTON UNIVERSITY
16	SOUTHERN CALIFORNIA	103.54	128.98	88.47	76.42	16	SOUTHERN CALIFORNIA
17	CARNEGIE-MELLON	102.39	123.78	89.09	80.54	17	RICE
18	RICE	102.19	127.00	87.27	76.07	18	CARNEGIE-MELLON
19	BROWN	100.14	129.24	80.97	72.11	19	BROWN
20	MICHIGAN	99.64	125.62	83.73	72.78	20	VANDERBILT
21	CALIFORNIA-BERKELEY	99.54	126.16	81.92	74.06	21	CALIFORNIA-BERKELEY
22	UCLA	98.98	128.37	81.97	67.02	22	MICHIGAN
23	VANDERBILT	97.92	126.57	81.87	65.98	23	UCLA
24	VIRGINIA	97.13	123.07	82.74	67.98	24	VIRGINIA
25	JOHNS HOPKINS	96.25	120.74	83.15	67.95	25	JOHNS HOPKINS
26	MARYLAND	94.80	115.69	80.29	75.86	26	CASE WESTERN RESERVE
27	CASE WESTERN RESERVE	94.09	117.38	84.50	62.69	27	MARYLAND
28	RUTGERS	93.08	116.76	80.70	65.29	28	NORTH CAROLINA-CHAPEL HILL
29	ILLINOIS	92.90	116.62	77.57	69.63	29	RUTGERS
30	PENN STATE	92.18	116.51	77.75	66.28	30	ILLINOIS
31	NORTH CAROLINA-CHAPEL HILL	91.48	115.35	77.89	65.19	31	PENN STATE
32	CALIFORNIA-SAN DIEGO	91.40	118.09	73.59	66.09	32	SUNY-STONY BROOK
33	TEXAS	91.13	115.70	72.90	70.67	33	ROCHESTER
34	SUNY-STONY BROOK	90.47	110.56	81.05	65.21	34	CALIFORNIA-SAN DIEGO
35	ROCHESTER	90.03	108.76	78.36	70.96	35	PITTSBURGH
36	PITTSBURGH	89.62	113.24	75.55	64.56	36	TEXAS
37	SUNY-BUFFALO	89.18	111.57	76.94	63.74	37	SUNY-BUFFALO
38	OHIO STATE	89.16	112.65	74.19	65.78	38	OHIO STATE
39	CALIFORNIA-IRVINE	89.11	112.21	74.59	65.78	39	CALIFORNIA-IRVINE
40	TULANE	88.78	109.84	76.97	65.31	40	CALIFORNIA-SANTA BARBARA
41	CALIFORNIA-SANTA BARBARA	88.69	115.13	70.87	63.88	41	MINNESOTA
42	BRANDEIS	88.56	106.68	77.01	70.52	42	TULANE
43	MINNESOTA	88.55	110.31	75.63	65.39	43	BRANDEIS
44	MICHIGAN STATE	85.76	105.89	76.45	60.21	44	MICHIGAN STATE
45	TEXAS A&M	85.05	104.15	73.03	65.82	45	COLORADO
46	PURDUE	84.97	104.32	72.92	65.26	46	INDIANA
47	COLORADO	84.82	102.76	74.51	65.20	47	IOWA
48	CALIFORNIA-DAVIS	84.71	106.97	70.16	63.10	48	CALIFORNIA-DAVIS
49	INDIANA	84.63	104.92	72.85	62.63	49	PURDUE
50	WASHINGTON	84.45	102.15	72.91	67.22	50	WISCONSIN
51	IOWA	84.42	105.34	70.88	63.93	51	TEXAS A&M
52	WISCONSIN	84.33	100.53	76.52	64.30	52	WASHINGTON
53	ARIZONA	83.19	102.27	71.44	63.54	53	FLORIDA
54	FLORIDA	82.47	101.42	71.71	61.56	54	SYRACUSE
55	SYRACUSE	81.23	97.88	72.17	62.25	55	IOWA STATE
56	IOWA STATE	80.87	97.20	72.31	61.72	56	ARIZONA
57	NEBRASKA	79.77	97.50	69.85	59.98	57	NEBRASKA
58	KANSAS	79.47	98.04	68.66	59.36	58	MISSOURI
59	MISSOURI	77.62	96.68	67.35	55.72	59	KANSAS
60	OREGON	72.68	88.02	63.12	57.08	60	OREGON

Notes: Benchmark Institutions are in **bold** type. Canadian institutions McGill and University of Toronto are excluded.

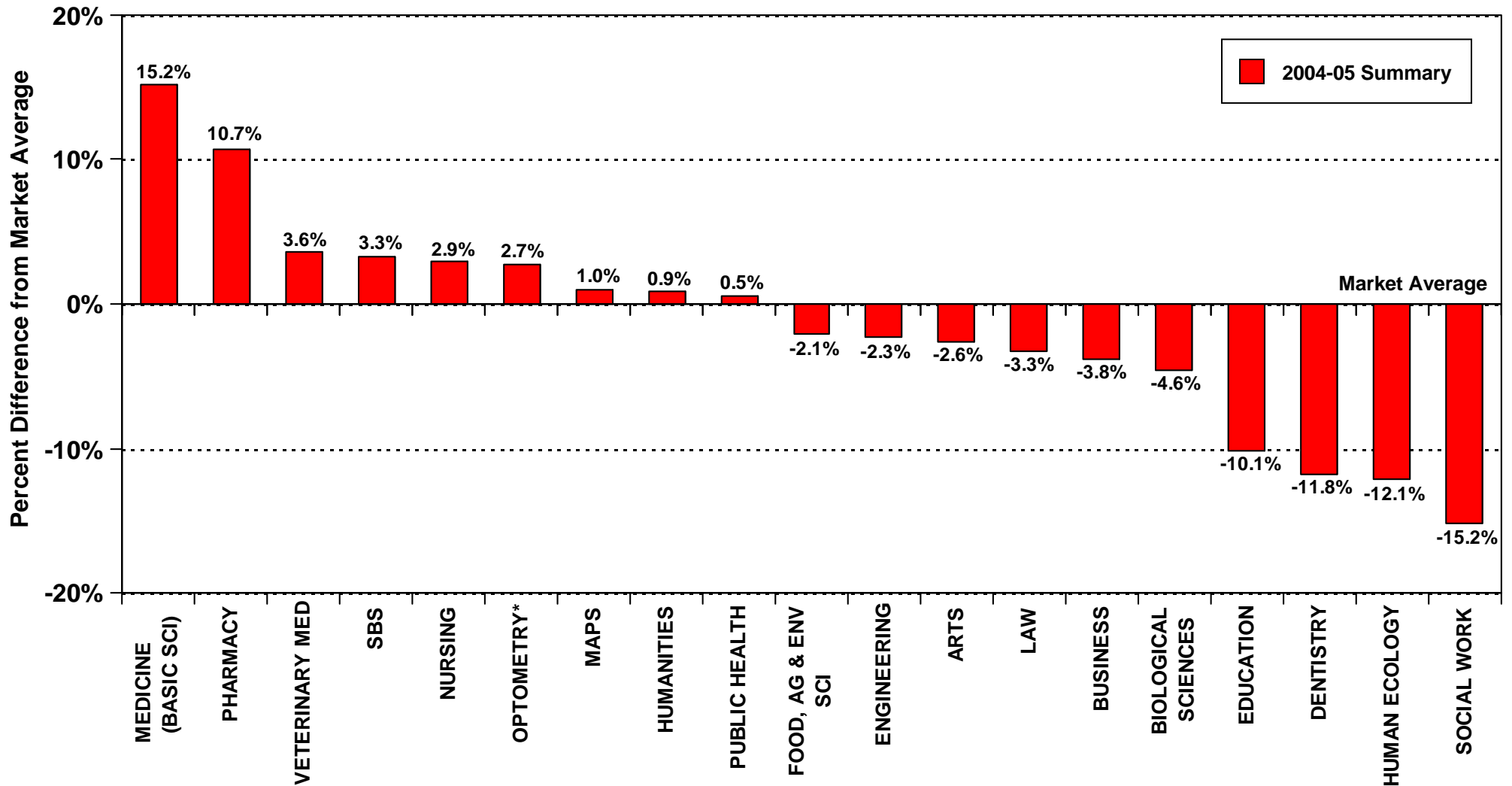
Overall salaries represent a weighted average of rank salaries using OSU's rank distribution as weights.

All 12-month salaries have been converted to a 9-month basis.

* FY0506 data for Columbia is unavailable so FY0405 data used.

Number of AAU Institutions changed from 61 to 60 in 2002-03. (Catholic University was removed)

Figure A-4
The Ohio State University Faculty Salary by College
2004-05 Comparison with Benchmark Institutions**



Notes: Percentage > 0 indicates average salary above market average.

Departments that don't appear on the report don't have matches to other institutions.

* Optometry value for 2004-05 includes ASCO data collected in 2003-04.

** See college summary for list of benchmark institutions.

Table A-4
The Ohio State University
Faculty Salary by College Comparison with Benchmark Institutions
2003-04 and 2004-05

Differences between 2004-05 and 2003-04

College Description	2004-05	2003-04	Diff
College of Optometry*	2.7%	-12.6%	15.3%
College of Veterinary Med	3.6%	-5.2%	8.8%
College of Medicine (Basic Sciences)	15.2%	9.8%	5.4%
Biological Sciences	-4.6%	-8.5%	3.9%
College of Engineering	-2.3%	-5.8%	3.5%
College of Human Ecology	-12.1%	-15.0%	2.9%
College of Nursing	2.9%	0.3%	2.6%
College of Pharmacy	10.7%	8.2%	2.5%
Food,Agricultrl & Env Sci	-2.1%	-3.8%	1.7%
College of Social Work	-15.2%	-16.8%	1.6%
College of the Arts	-2.6%	-3.8%	1.2%
Social & Behavioral Scien	3.3%	2.4%	0.9%
College of Humanities	0.9%	0.6%	0.3%
Mathematicl & Physicl Sci	1.0%	0.9%	0.1%
College of Dentistry	-11.8%	-11.5%	-0.3%
College of Education	-10.1%	-9.3%	-0.8%
College of Law	-3.3%	-2.0%	-1.3%
College of Business	-3.8%	-0.8%	-3.0%
School of Public Health	0.5%	7.1%	-6.6%

* Optometry changed benchmarks in 2004-05 to use ASCO (market data from 2003-04).

College-Specific Benchmark Institutions for 2004-05 and 2003-04

College Description	2004-05	2003-04	Comments
College of Optometry*	*	3	* See footnote above
College of Veterinary Med	8	9	Cornell no longer available
College of Medicine (Basic Sciences)	14	16	Northwestern no longer avail, Cal-Irvine dropped of
Biological Sciences	20	22	Cornell no longer avail, UCLA dropped off
College of Engineering	10	12	Cornell and Northwestern no longer available
College of Human Ecology	13	14	Michigan State dropped off
College of Nursing	8	8	
College of Pharmacy	9	9	
Food,Agricultrl & Env Sci	16	17	Cornell no longer available
College of Social Work	12	12	
College of the Arts	14	15	Northwestern no longer available
Social & Behavioral Scien	22	24	Cornell and Northwestern no longer available
College of Humanities	24	25	Cornell no longer available
Mathematicl & Physicl Sci	13	13	
College of Dentistry	6	6	
College of Education	9	9	
College of Law	16	16	
College of Business	15	15	
School of Public Health	6	6	

Appendix B. Letters from Faculty Representatives on Boards of Trustees at Other Universities

Cleveland State University

From Dr. Edward Thomas:

Dr. Lucas: I may have inadvertently sent you a partial reply to your questions yesterday. So, let me try again. By the way, I am copying Sheldon Gelman, who is the other faculty rep to the Board by virtue of his being the President of Faculty Senate.

1. What is the history of faculty representation on the Board of Trustees at CSU? Why and how did it come about?

Faculty and students have been represented on the CSU Board of Trustees since 1972, when the Board of Trustees passed Resolution 72-25 on April 13, 1972. I can't answer the question of "why?", but I would guess it was simply to have a Board with representatives from different stakeholder groups.

The current By-laws of the Board of Trustees contain the following language: The Board of Trustees of Cleveland State University designates the president of Faculty Senate, and a second representative to be elected each year by the Faculty Senate, as non-voting advisors to the Board of Trustees. Two student representatives will be appointed by the governor as non-voting advisors. The aforesaid student advisors and the foregoing faculty advisors are assigned as non-voting representatives to the Committee on Academic, Student, and Minority Affairs. (Amended June 26, 1991). Although I could find no language in the by-laws of the Board or the by-laws of Faculty Senate concerning "term limits" for the elected faculty rep to the Board, the practice that is currently followed is to allow a faculty member to serve for no more than three consecutive years. I am in my third one-year term of service and will not be eligible to run for an additional term. The by-laws of Faculty Senate allow the president of Faculty Senate to serve for up to two consecutive two-year terms. Thus, the president of Faculty Senate might end up serving for four years as a faculty rep to the Board. By the way, although the Board's by-laws mention appointment by the Governor for the student reps, my guess is that the governor has delegated that to the university.

2. Can you speak to the pros and cons of faculty on the Board? Is there anyone who might be able to describe the situation before and after faculty were included as board members at CSU and whether communication and the situation of faculty at CSU improved as a result?

I am in my 33rd year at CSU, so my institutional memory does not extend back to the days before faculty reps were members of the Board. Obviously, most faculty (at least those who realize that there are faculty reps) feel that having two faculty members on the Board is a good thing, or at worst a neutral thing. One thing to understand is that the "non-voting" part of the position means that the faculty (and student) members are

excluded from all the meetings that go into "executive session," where the Board members are ostensibly discussing personnel matters or matters of pending litigation. The "advisor" part of the position depends heavily on the attitudes of the Board members, and especially the chairperson of the Board. At times in the past, Board members have taken the attitude that faculty reps are best seen and not heard. Currently, the chairperson is expressing an interest in hearing more from the faculty and student reps. In fact, at last Friday's Board meeting, he introduced a change to the by-laws that actually places reports from the faculty and students on the standard agenda for Board meetings, and the revision was passed by the Board members present.

As to the question of whether a particular faculty member rep might do more harm than good, that is always a possibility, especially if the faculty member has his or her own agenda. My experience with the CSU Board for the past three years is that some Board members don't care what faculty members think, and will never ask for input from them. Others are more interested, and some even speak privately to faculty reps to "find out what is really going on." So, there are a number of possible behaviors and responses. Personally, I have never seen a faculty rep be as "undiplomatic" as a couple of our appointed Board members tend to be.

3. How are faculty representatives selected to be on the CSU Board of Trustees?

As indicated above, the president of Faculty Senate is automatically a faculty rep to the Board. The other rep is elected by Faculty Senate for a one-year term, with the limitation that the faculty member may serve no more than three consecutive one-year terms.

4. Any other information you think might be pertinent.

I can't think of any, but I would be happy to speak to you or anyone else about this issue. My telephone number is 216-687-4766. By the way, are you sure CSU is the only state university that has faculty reps to the board?

University of Tennessee

From Dr. Richard Rice:

I will try to briefly answer what I can, but this is a personal response and not necessarily the views of the UTC Senate or faculty. On the other hand, my election was contested and my proactive views were well known. We have had some unpopular decisions on this campus, but both the Chancellor and Provost I began with two years ago are now gone. That may or not be a victory depending on the quality of the replacements. That said, here is my response to your questions as I am the faculty representative on the Board of Trustees this year, which is chosen by rotation among the Senate Presidents of our four campuses. I was actually unaware of the process when asked to serve last summer (it is a one-year appointment and the rest of the board have six year terms, so there is an issue of continuity and knowing people...but I doubt if a faculty member could or should serve more than a year). I do not know how long this has been in place, some time I think. In addition, two years ago the Trustees established a new policy whereby the four Presidents sit and vote on the Academic Affairs and Student Life Sub-Committee (as do the SGA Presidents of the four campuses) and this gives us new input at that level. So I serve this year in both capacities. In addition there is another faculty appointee on that committee, but I do not know how they are chosen.

This year, the Presidents and Senates of the four campuses have formed a state-wide Senate Council, which will include the Senate Presidents and one other representative from each campus. It is our aspiration to meet 2-3 times a year directly with the UT President to discuss issues of state-wide concern without the mediation (and possible confusion) of local administration. This is just being set up, and we are issuing a request to the President. The word is that he is willing to meet with this group, but it is not institutionalized yet.

The immediate catalyst was his decision last year to divide the state employee 3% raise and use half of it for merit rewards, thus giving many only a 1.5% raise. As you can well imagine, this ill-considered zero sum game has divided faculty and put paid to collegiality. We are waiting to see if he will again divide the 2% anticipated raise this year.

Returning to your main question, election at the local level to Senate President puts local leaders on the Board in the subcommittee or on the Full Board on a campus rotation basis. Since UTC is the only campus (god knows why) that has a two-year service for the President, I have a better opportunity to see the system work and possible to influence policy.

Are faculty listened to? This is a tough one to answer, but at least we do articulate our positions in a way I doubt the administration can do, given that they have their own agendas and interests at stake. This is not to say they are bad or dishonest (although the UT system has had its share recently) but it is my view that they do not always present the faculty as well as they might.

Some Trustees (and legislators) seem more aware of issues in higher education and receptive to discussion, while others seem interested in the athletic program. Perhaps this is because some of them give millions of dollars for football stadiums, etc. But it is hard to generalize, and overall I have been impressed with the Trustees I have met and talked with. Since they do spend a lot of time and effort over a six year period, I think the great majority want the institution to succeed and serve the needs of students. Trustees are not our enemies, but they need to be fully informed from all constituencies.

Your fourth point, on the "danger" of an undiplomatic representative I think is perhaps not a major issue in the UT system as we Presidents have to be seen by our campus faculty as worthy of service and articulation of faculty interests and in some cases grievances. I am much more direct than past UTC Presidents, and I admire Dr. Pheffer, who also does not hesitate to speak out for his campus, but I think we must do so in a frank but polite way. Sometimes it is difficult to be civil when dealing with uncivil policy decisions.

There are some on this campus whose skepticism, fed by many years and waves of administrators, has turned to cynicism. One Provost told me these are "anti-administration" types, and I think their hatred can be disruptive to a frank dialogue, but on the other hand -- we are in the paternalistic South -- I disagree with a former Senate President who assumed that administrators always have faculty and students best interest in their hearts. Maybe cynicism is the price of experience (Mencken?). Sometimes I think that administrators, who serve at the pleasure of their bosses (not that tenure means much here anymore), would like to speak out against ill-advised policy decisions, but cannot.

Let me give you an example: when the Board met here last year (we rotate campuses for meetings, although two a year are on the main campus in Knoxville), I had the duty and pleasure of greeting them and summarizing faculty concerns. I strongly disagreed with the recent Tennessee Higher Education Commission policy of down-grading our "peer institutions" (this means faculty compensation % goes up without actually spending any money) even though the Director was there. At the break a while later, several campus administrators quietly thanked me for taking THEC to task, which I could do in my position.

So, overall I think the benefits of having a faculty representative are far greater than not having a voice. There is a need for bridging the gap between Trustee perceptions of how things work and the faculty who are doing the work of the institution in teaching and research. We cannot rely solely on the good will of the administration to bridge this gap, as much as we would like to entrust them with this task.

Good luck with your plans,

Richard Rice

You are quite welcome. Since I sent you my reply, I came across an article by Derek Bok, former and soon to be interim President of Harvard University, "Seizing the Initiative for Quality Education," in *Trusteeship* March/April 2006, pp.9-13. This magazine is published by the Association of Governing Boards of Universities and College.

The article is advocating greater attention by boards to the actual learning and teaching on campus, suggesting ways they can and should be monitoring and encouraging education without meddling with faculty decisions. On page 13 he makes the comment, "...boards might suggest that their membership include experienced educators..." which could mean a faculty member, as a means of keeping in touch with education and improving it (as opposed, say, to monitoring the budget and hiring a winning coach). You might cite this in support of faculty representation.

Best wishes,

Richard Rice

University of Kentucky

From Dr. Roy Moore:

Thanks for your note. I'm glad to share the information I have and will try to track down the rest for you from my reliable sources. Please give my regards to President Holbrook. She was a fabulous mentor for me when I was an American Council on Education Fellow at the University of Georgia during 2001-2002. First, I send you the history of faculty representation on the BOT a bit later. One of my colleagues is the university archivist and an expert on this history. I'll ask him to send me a summary to forward to you. Second, eligible full-time faculty elect our two faculty representatives. (There are 20 members on the Board, including two elected faculty trustees, an elected staff trustee and a student trustee -- the elected president of the Student Government Association.) In fact, we are currently in the process of electing someone to fill out the remaining year of my 3-year term because I'm leaving the university to become the new associate Vice President for Academic Affairs at Georgia College & State University. I'll have the Chair of our Rules and Elections Committee forward the specific rules to you. Voting is done electronically, with a provision for filing a handwritten ballot if requested. To win, a candidate must obtain a majority of all votes cast. A runoff is conducted if that does not occur the first time. Third, our two faculty trustees are voting members, as are all 18 of the other members.

Finally, during the 20 years I have been at UK, including two years now as trustee and two years previously as chair of the university Senate Council, the faculty trustees have always played a positive role in university governance, including policy decisions. During my tenure as Senate Council Chair, the trustees played a critical role in convincing other board members to vote to rescind a previous vote to extend the contract of the president past the mandatory retirement age of 65. The final vote was 10-10, technically a victory for the president because it took 11 votes to override. However, the president ultimately agreed to step down at the end of his original contract period. In the search for the new president, the faculty trustees played an active role, as did the faculty reps on the Search Committee. I do not ever recall having a faculty trustee on our board who was undiplomatic or who did not represent the university well. I'll ask our other faculty trustee, Jeff Dembo, to give you his take as well. During my two years on the board, I have always felt I was an equal to my fellow trustees and, in fact, Dr. Dembo and I often find the other board members look to us when they want to know the faculty perspective on an issue. One of the hot issues, for example, right now is the president's proposed staff/faculty pay differential under which faculty would receive average pay increases under our Top 20 Business Plan of 5.5% next year and in future years, while the staff would receive 3% with an additional \$5 million pool for benefits. Dr. Dembo and I are constantly asked by the other board members about our perspectives on this issue. Hope this is helpful. More info will be on the way. If you want to call to chat about all of this, just give me a call at 859-257-8204 (office) or 859-263-9079 (home). Hope this is helpful.

Sincerely,

Roy L. Moore
Professor and Faculty Trustee
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From Dr. Davy Jones:

Roy,

Your question coincidentally comes on the day that Sheila Brothers and I were discussing how to collate information on the various faculty election processes into a single web site. In answer to your specific questions here,

1. A History of the UK Senate containing material relating to the "how" of the 1960 law that gave us the two Faculty Trustee slots is posted at the link below, with the specific event of 1960 being on page 23.

http://www.uky.edu/~djones/Hist_Faculty_Senate.htm

2. I have also prepared a history of the periodic changes to the state Faculty Trustee election law (including gaining of voting status), and associate Attorney General opinions, as well as the changes in the implementing Board of Trustees Governing Regulations and University Senate Rules. That history is on pages 2-4 of the document posted at the following web site:

http://www.as.uky.edu/biology/faculty/djones/PDF/4/4.I.C.viii_FacTrustElect/All_UKFacultyTrustees_ChangesFacTrusteeElectionLaw60_present.pdf

3. The recently updated (Feb 2006) University Senate Rules for the election process are on page 55-56 of the document posted at:

<http://www.uky.edu/USC/New/SenateRulesMain.htm>

In a very brief sketch of the overall framework, the state law (KRS 164.240) identifies a body, "the faculty of the university," but leaves it to the Board of Trustees to define what persons constitute "the faculty." The state law concerning Faculty Trustee election further limits that the election is performed by those members of the UK faculty body who are at or above the rank of Assistant Professor. The Board in its June 2005 revised Governing

Regulations has provided implementing interpretation of these statutory provisions as follows. The membership of the body "the faculty of the university" (or, in short, the University Faculty) is comprised collectively of the memberships of the faculty bodies of the colleges (which itself has a definition). Finally, the Board of Trustees has further interpreted that the state law intends that the election exercise apply to those members of the college faculty bodies who are full-time faculty employees (not part-time or temporary, nor with an administrative assignment of 50% or more [this last provision arose from an Attorney General opinion]).

4. Finally, in further coincidence, today the Senate Rules and Elections Committee adopted the scheduling and mechanics for how the upcoming Faculty Trustee election is going to be run. I have attached here the minutes of that meeting.

Davy

From Dr. Jeff Dembo:

Dear Professor Lucas,

I'll add just a few things to what my colleague has already expressed very accurately. (We faculty never pass up the opportunity to offer opinions...)

As you may know, the Association of Governing Boards' (AGB) has taken a position on faculty trustees – in a publication called "Effective Trusteeship: A Guide for Board Members of Public Colleges and Universities," by Richard T. Ingram (2004), there is a passage on p. 43 addressing the concept of faculty trustees:

*"How should I view the practice of student and faculty trusteeship?
Probably with mixed feelings. Although a high percentage of public boards have students in voting or nonvoting capacities, faculty trusteeship is much less prevalent, and is more widely recognized as a conflict of interest. About 40 percent of public boards have at least one student with voting privileges...and only 9 percent have voting faculty members. Almost universally, trustees report that student and faculty members serve their trusteeship responsibly... They often bring useful insights and perspectives to discussions and debates.the boardroom. However, such trusteeships are inconsistent with a basic principle of trusteeship. All board members should be expected to adhere to the same fiduciary and other responsibilities. Trustees should not "represent" special interests if they are to serve a broad public trust."*

Roy is truthful when he reports that other trustees rely heavily on input from the faculty (and staff and student) trustees. Their questions range from "what is really going on with issue X" to "how would choosing solution A or B to question X impact the university" to simply informing the other trustees of current campus sentiment and activities. When an item is forwarded to the Board from the University Senate (e.g. name change of a college, rules change that affects faculty) Roy and I verify to our other trustees that the process by which the resolution was brought to the Board did, indeed, go through all the correct

steps and that the Senate endorses the proposal. There are rare occasions when the faculty trustee vote on the Board may be at odds with the University Senate vote, and that is the strongest proof that we can truly think like trustees in the broadest sense, even when it means voting differently than our faculty colleagues would like. Finally, there are a very few times when there is (as the AGB anticipated) a true conflict of interest: for example, I teach in the Medical Center and every quarter the budget for my college is adjusted to reflect a change in the clinical income, some of which goes into our salaries. For those Board votes, I recuse myself because my salary would be directly affected by my vote at the Board and all the Board members understand (and I hope respect) that. It goes a bit deeper than merely being an “inside source” for the Board. Candidly, and I have said this to many of my faculty colleagues, a Board can only work as well as the information it is given. Not that any administration would EVER try to be selective about that which is shared with a board, but sometimes there can be some spin or omissions for which the board really should not have to translate or read through the lines. Typical board members are busy and successful individuals who don’t always have the time to interpret nuances, analyze intricate details, or read into something that, in reality, needs to be read into. So, Roy and I see our job as one of ensuring the Board is given the complete picture. Frequently, this is done through a confidential email to the President or an administrator alerting him or her that “the board really needs to know X or Y” because it will, in the end, sound better coming straight from the President beforehand rather than someone asking the question during a public meeting.

From the standpoint of the Faculty Body of a College or University, having a faculty trustee guarantees ongoing access to the President and all administrators. Roy and I meet every month with the President and, separately, the Provost to discuss a small number of issues. This means that we can either be reacting to something going on or we can be proactive and make suggestions for their consideration. Because relationships between faculty senates and the presidents can be so variable, ranging from close and collegial to stilted and dysfunctional, having a faculty trustee can help ensure that faculty concerns do, in fact, make their way to the President or Provost outside the “formal” channels of communication.

One more thing – many board members don’t fully understand the culture of the Faculty and shared governance, and some don’t even understand what a Faculty Senate is and why it exists. When there is a faculty trustee on the board, these conversations can occur early in the game so the questions never arise because these issues become a built-in feature of the board’s understanding. However, at private or public institutions without a faculty trustee, these issues may still be mysterious or misunderstood.

Regarding having a faculty who is a “loose cannon” on the board, it has been my experience that board members are smart enough to understand that faculty, staff, and student trustees are elected by a constituency to which they have a loyalty. However, I believe most board members have the maturity and insight to understand and appreciate when an elected trustee is able to transcend from being a “faculty member” to becoming a “board member”. As well, they would quickly perceive when somebody cannot effectively make that transition, and the individual would likely lose credibility at the board level. Hence, I believe it would be a self-limiting problem.

I know Roy would be pleased to talk with you further, as would I – please don't hesitate to call me at 859-323-5997 to chat some more about this.

Thanks again for your inquiry and best wishes for success as you continue to discuss the issue of faculty trusteeship.

Best wishes,

Jeff Dembo
Professor, Oral and Maxillofacial Surgery
and
Faculty Trustee

Cornell

From Ms. Kirsten McHenry

Dear Professor Lucas,

The Cornell University Board of Trustees does include two members of the University Faculty (full voting privileges, two-year staggering terms). Faculty-elected trustees are voted into the position by members of the faculty. Elections are conducted through the Office of the Dean of Faculty and by the Faculty Senate. Faculty serving on the Board of Trustees is a long standing tradition and pre-dates 1971 (this is the farthest I've researched back in the minutes).

As requested, I will relay your e-mail message to the current faculty-elected trustees, Professor Elizabeth Earle and Professor Kathleen Rasmussen.

Sincerely,

Kristin

From Dr. Kathy Rasmussen

Dear Professor Lucas,

I just wanted to add a few things to the information that Ms. MacHenry sent you. Faculty-elected trustees each serve a 4-year term and can be re-elected by the faculty only under specific, limited circumstances (although they can be elected directly to the Board following a recommendation by the Board Membership Committee, which occurs only rarely). The election is by direct ballot of the entire Ithaca-based faculty (about 1560 members).

We are full voting members of the Board and serve on our share of the Board committees. Our opinions are taken very seriously. The members of the Cornell Board of Trustees really want to know what we think. We are not charged with carrying the faculty's opinion to the Board; that is done by the Dean of the Faculty and the President. Nonetheless, we provide a point of view that you might imagine is invaluable when discussing student life, academic priorities, what to build and where to build it, etc. We live here and know things that the other Board members don't and they know that they don't.

Yes, indeed, the faculty is quite capable of electing as its representatives to the Board those who behave, in the words of one of my predecessors, "like potted palms." The faculty is also quite capable of electing individuals who are not team players. This isn't effective on the Cornell Board, whose other members are selected with this characteristic in mind.

I hope that these replies are helpful to you.

Kathy Rasmussen