

**WASHINGTON STATE TORT CLAIM FORM**

General Liability Claim Form #SF 210

For Official Use Only

Pursuant to Chapter 4.92 RCW, this form is for filing a tort claim against the state of Washington. Some of the information requested on this form is required by RCW 4.92.100 and is subject to public disclosure pursuant to RCW 42.56.

**PLEASE TYPE OR PRINT CLEARLY IN INK**

**Mail or deliver original claim to** Department of Enterprise Services  
Office of Risk Management  
1500 Jefferson Street SE, MS 41466  
Olympia, Washington 98504-1466  
Phone: (360) 407-9199  
Fax: (360) 507-9251  
Email: Claims@des.wa.gov

Business Hours: Monday – Friday 8:00 a.m. – 5:00 p.m.  
Closed on weekends and official state holidays.

1. Claimant's name: Marshall, Gillian 10/23/1972  
Last name First Middle Date of birth (mm/dd/yyyy)
2. Inmate DOC number (if applicable): N.A.
3. Current residential address: 3248 S. Edmunds St # A Seattle, WA 98118
4. Mailing address (if different): c/o John P. Sheridan 705 2nd Ave. Ste. 1200 Seattle, WA 98104
5. Residential address at the time of the incident: N.A.  
(if different from current address)
6. Claimant's daytime telephone number: N.A. c/o John P. Sheridan (206) 381-5949  
Home Business or Cell
7. Claimant's e-mail address: c/o John P. Sheridan jack@sheridanlawfirm.com
8. Date of the incident: N.A. Time:  a.m.  p.m. (check one)  
(mm/dd/yyyy)
9. If the incident occurred over a period of time, date of first and last occurrences:  
from See Attached Time:  a.m.  p.m.  
(mm/dd/yyyy) (mm/dd/yyyy)  
to See Attached Time:  a.m.  p.m.  
(mm/dd/yyyy) (mm/dd/yyyy)
10. Location of incident: Washington, Pierce Tacoma University of Washington Tacoma  
State and county City, if applicable Place where occurred

11. If the incident occurred on a street or highway:

N.A.

Name of street or highway	Milepost number	At the intersection with or nearest intersecting street
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12. State agency or department you believe is responsible for damage/injury:

See Attachment

13. Names and telephone numbers of all persons involved in or witness to this incident:

See Attachment

14. Names and telephone numbers of all state employees having knowledge about this incident:

See Attachment

15. Names and telephone numbers of all individuals not already identified in #13 and #14 above that have knowledge regarding the liability issues involved in this incident, or knowledge of the Claimant's resulting damages. Please include a brief description as to the nature and extent of each person's knowledge. Attach additional sheets if necessary.

See Attached

16. Describe how the state of Washington caused your injuries or damages (**if your injuries or damages were not caused by the State, do not use this form. You must file your claim against the correct entity**). Explain the extent of property loss or medical, physical or mental injuries. Attach additional sheets if necessary.

See Attached

17. Has this incident been reported to law enforcement, safety or security personnel? If so, when and to whom? Please attach a copy of the report or contact information.

N.A.

18. Names, addresses and telephone numbers of treating medical providers. Submit copies of all medical reports and billings.

N.A.

19. Please attach documents which support the allegations of the claim. See Attached

20. I claim damages from the state of Washington in the sum of \$See Attached.

This Claim form must be signed by one of the following (check appropriate box).

- Claimant
- Person holding a written power of attorney from the Claimant
- Attorney in fact for the Claimant
- Attorney admitted to practice in Washington State on the Claimant's behalf
- Court-approved guardian or guardian ad litem on behalf of the Claimant

I declare under penalty of perjury under the laws of the state of Washington that the foregoing is true and correct.

  
Signature of Claimant

1/24/2019 3248 S. Edmunds St #A  
Seattle, WA (King)  
Date and place (residential address, city and county)

Or

\_\_\_\_\_  
Signature of Representative

\_\_\_\_\_  
Date and place (residential address, city and county)

\_\_\_\_\_  
Print Name of Representative

\_\_\_\_\_  
Bar Number (if applicable)

## **NARRATIVE: GILLIAN L. MARSHALL**

### **SUMMARY**

I am a black woman. The racial composition of the Tacoma Social Work Department and administration is as follows:

Mark Pagano, Chancellor UW-Tacoma campus, (white male)

Jill Purdy, PhD, Vice Chancellor for Academic Affairs, (white female)

Diane Young, PhD, Director of the Social Work and Criminal Justice Program (white female)

Charles Emlett, PhD, Full Professor, Social Work, (white male)

Richard Furman, PhD, Full Professor Social Work, Former Director demoted based on a vote of no confidence (white male)

Marian Harris, PhD, Full Professor, Social Work (black female)

Melissa Lavitt, PhD, Full Professor, Social Work (white female) – former Vice Chancellor

Erin Casey, PhD, Full Professor, Social work (white female)

Michele Garner, PhD, Associate Professor, Social Work (white female)

JaeRan Kim, PhD, Assistant Professor, Social Work (Asian adoptee to white parents)

Claudia Sellmaier, PhD, Assistant Professor, Social Work (white female)

Tom Diehm, PhD, Director of Field Education/Lecturer, Social Work (white male)

Teresa Holt-Schaad, MSW, Field Education/Lecturer, Social Work (white female)

Jeffrey Cohen, PhD, Associate Professor, Criminal Justice (white male)

Eric Madfis, PhD, Associate professor, Criminal Justice (white male)

Randy Meyers, PhD, Associate Professor, Criminal Justice (white male)

Janelle Hawes, PhD, Assistant Professor, Criminal Justice (white female)

Barbara Toews, PhD, Assistant Professor, Criminal Justice (white female)

Andrea Hill, PhD, Lecturer, Criminal Justice (white female)

Diana Falco, PhD, Lecturer, Criminal Justice (white female)

Tarna Debry-McCurtain, MIM, Lecturer, Criminal Justice (white female)

I intend to file a law suit against the University of Washington Tacoma campus because the Tacoma campus suffers from institutional racism as referenced by the faculty of color report (Appendix 0001 - 16), and as described below. My claims and damages are as follows:

- The facts set forth above state a claim for intentional discrimination against the Plaintiff in violation of the Washington Law Against Discrimination, RCW 49.60 et. al. and for harassment owing to her race.
- The facts set forth above state a claim for retaliation against the Plaintiff in violation of the Washington Law Against Discrimination, RCW 49.60.210.
- The facts set forth above state a claim for harassment in retaliation for opposing discrimination in violation of the Washington Law Against Discrimination, RCW 49.60.210.
- The facts set forth above state a claim against Diane Young for aiding and abetting the discrimination, harassment, and retaliation in violation of the Washington Law Against Discrimination, RCW 49.60.220.
- The facts set forth above state a claim against the State of Washington for whistleblower retaliation in violation of RCW 42.40, *et seq.* and RCW 49.60. *et seq.*

I will seek damages that include:

- Back pay, front pay, lost benefits, and loss of promotional opportunity in an amount to be proved at trial;
- Prejudgment interest in an amount to be proved at trial;
- Damages for emotional harm including, but not limited to, loss of enjoyment of life, pain and suffering, mental anguish, emotional distress, injury to reputation, and humiliation;
- Reasonable attorney's fees and costs;
- Injunctive relief;
- Declaratory relief;
- **Instatement into a tenured position or other such relief;**
- Compensation for the tax penalty associated with any recovery; and
- Whatever further and additional relief the court shall deem just and equitable.

I joined the faculty at the University of Washington Tacoma, as an Assistant Professor in September 2015. My role and responsibility as a faculty member is three-fold: research/scholarship, teaching, university/community service. I am asserting a claim of race discrimination against the University of Washington owing to the treatment of Director Diane Young and the director of field education regarding issues of teaching assignments, research, performance evaluations, which will lead to me being working in a hostile environment and with a threat of not being reappointed for another term. I am also, asserting a claim of wrongful discharge in violation of public policy for retaliating against me for protecting the integrity of my NIH grant, and for opposing UW-Tacoma management's efforts to

bring the grant to the Tacoma campus even though the Tacoma campus had no person assigned to manage the grant. This is also improper governmental action the actions of UW-Tacoma management constitute a gross waste of public funds or resources, a gross mismanagement of funds, and a violation of NIH rules.

My decision to bring the grant to the Seattle campus has been met with hostility, that and my race, has led to a concerted effort by UW-Tacoma management to sabotage my efforts to be reappointed and potentially obtain **tenure**. Since arriving at the Tacoma campus, I have become aware that this campus has a documented history of mistreating persons of color who seek **tenure**, which will be outlined below.

## **BACKGROUND**

After obtaining my MSW from the University of Washington in 2002, I worked as a social worker at the City of Seattle, Children's Hospital, and at Harborview Medical Center. I returned to UW and obtained my Ph.D. in Social Work. There, I was mentored by Doctors Nancy Hooyman (nationally well-known gerontologist), David Takeuchi (nationally known for his work in mental health and health disparities) and Karl Hill (nationally known for his intervention work with at risk youth).

After completing my doctoral program in 2011, I entered a post-doctoral program at Group Health Research Institute, now Kaiser Permanente Washington Research Institute (KPWRI). After that, I was offered an Assistant Professor tenure track position in the Mandel School for Applied Social Sciences at Case Western Reserve University (CWRU), Cleveland, OH. Due to family reasons, I chose to seek employment opportunities in the pacific northwest and along the west coast.

At UW-Tacoma, faculty who teach are often hired as tenured, tenure-track faculty, lecturers or adjunct/part-time faculty. Tenure track faculty are expected to have a PhD, with a research agenda, ability to teach and do some service. Typically, faculty who do research have a Ph.D. and are in a tenure track position. **Faculty who are tenure track, with a few exceptions, are hired as assistant professors. The goal of this group is to be promoted to a tenured position.** Tenure is granted to faculty members of such scholarly and professional character and qualifications that the University, so far as its resources permit, can justifiably undertake to employ them for the rest of their academic careers. See UW Faculty Code § 25-41. Faculty with tenure usually hold the title of associate professor or professor. Lecturers and part-time faculty are not required to have a Ph.D. and their primary responsibility is to teach.

The University of Washington is one of the nation's largest universities with over 57,000 students located on three campuses, including UW-Tacoma, which was created in 1990 according to the UW-Tacoma website, and is accredited as a unit of the University of Washington by the Northwest Commission on Colleges and Universities.

One of the ways that UW supports the cost of faculty, staff, and students is through dollars supporting research. According to the UW website:

- The UW receives more federal research dollars than any other public university in the nation—in FY17, the UW received \$1.63 billion in total research awards (federal and non-federal sources)
- According to the 2014 UW Economic Impact Report, the UW is one of the top five largest employers in Washington, supporting over 79,000 jobs, with an annual economic impact of \$12.5 billion

Billions of dollars of research grants are awarded each year by the National Institute of Health (“NIH”). According to its website:

NIH is the steward of medical and behavioral research for the Nation. Its mission is to seek fundamental knowledge about the nature and behavior of living systems and the application of that knowledge to enhance health, lengthen life, and reduce illness and disability.

The goals of the agency are:

- to foster fundamental creative discoveries, innovative research strategies, and their applications as a basis to advance significantly the Nation’s capacity to protect and improve health;
- to develop, maintain, and renew scientific human and physical resources that will assure the Nation’s capability to prevent disease;
- to expand the knowledge base in medical and associated sciences in order to enhance the Nation’s economic well-being and ensure a continued high return on the public investment in research; and
- to exemplify and promote the highest level of scientific integrity, public accountability, and social responsibility in the conduct of science.

In realizing these goals, the NIH provides leadership and direction to programs designed to improve the health of the Nation by conducting and supporting research:

- in the causes, diagnosis, prevention, and cure of human diseases;
- in the processes of human growth and development;
- in the biological effects of environmental contaminants;
- in the understanding of mental, addictive and physical disorders; and
- in directing programs for the collection, dissemination, and exchange of information in medicine and health, including the development and support of medical libraries and the training of medical librarians and other health information specialists.

See, <https://www.nih.gov/about-nih/what-we-do/nih-almanac/about-nih>. Both of my grants are NIH grants that focus on behavioral research.

## **THE INTERVIEW PROCESS**

I applied for the tenure track position with UW-Tacoma, in part, because my husband and I wanted to move back to the Pacific Northwest to be closer to family and friends. UW-Tacoma seemed to offer a social work program and a commitment to developing and supporting research that would allow me to pursue my passion for research in a supportive environment. I applied for an assistant professor position and was interviewed by a search committee made up of the following faculty: Erin Casey, Associate Professor, Teresa Holt-Schaad, lecturer and field faculty, and Diane Morrison, Seattle campus as an advisor and since retired.

During the interview, I was transparent with the search committee that although I enjoy teaching, I had a strong research agenda that I intended to pursue. I shared with the search committee and chair (Dr. Erin Casey) that I am currently a Principal Investigator (PI) for a grant through the National Cancer Institute (NCI) at the National Institutes of Health (NIH) that I would bring with me. The terms of this grant were that I would engage in research for at least 50% of my time as the grant pays for 50% of my salary. In additional, I shared there is a 95% chance that a second grant would be funded (“K01 Grant”) and if so, it would buyout 75% of my time from teaching and service work to focus on my research agenda. I asked if that would be an issue. The chair of the search committee (Dr. Erin Casey) said she would have to discuss this with the director (Dr. Diane Young). Erin followed-up with me

and said that Director Young said that it would not be a problem and that it “would look good for the program.” This statement was also reiterated to me by Dr. Charley Emlett. Then we moved forward with the interviewing process. During my campus interview, I met with Director, Diane Young (who would become my immediate supervisor) and provided her with a list of courses I was interested in teaching if I were hired. I also stated my preference to be assigned multiple sections of the same course so that I would have less teaching preparations, and more time to focus on my research. None of the courses on my list included: 1) Cultural Diversity & Social Justice (CDSJ), or 2) Research Methods. I was ultimately offered a position in December 2015.

I accepted the offer of employment with UW-Tacoma for several reasons. First, I was told that although they were still building their research infrastructure, they had mechanisms in place to support me and my work. I was also told that I could submit my grants through UW-Seattle and it could also be managed there. However, after I took the job, I was told transfer grants must go through UW-Tacoma (Appendix 0017-19). Second, although the department focused on teaching, I was told that they were moving toward a more research-intensive focus which would be a good fit for me. Third, I was told that being part of the UW system I would have access to all UW resources. Fourth, I liked that the student population included a number of students of color and first-generation students, much like myself. They also stated that they were committed to recruiting faculty of color.

### **RESEARCH/GRANT FUNDING**

Although my appointment didn't officially start until September 2015, I negotiated an early start in June 2015, so I could get my first grant transferred. Since accepting this position, I had a lot of challenges working with Director Diane Young. Diane Young has misrepresented both to me and NIH about the support available on this campus, she has verbally insulted me about the decisions I made, and on a number of occasions, subverted my efforts in research.

I am the principal investigator on the grant which has a specific meaning to NIH grants. The principal investigator (“PI”) conceives and writes the application. The grants follow the PI, so when I move from one university to another, the grant follows me as the PI. The names of other faculty may be listed on a grant as “co-investigator,” or “consultants” but those persons do not have control of the grant, nor are they responsible for the grant and the grant does not follow those persons. The first grant was a two-year grant awarding \$200,000.00 in funding. I am the principle investigator on that grant. After all indirect costs were paid out to Case Western Reserve University, I transferred \$65,783 to UW-Tacoma and they received 54.5% in indirects costs to manage this **NCI Grant**.

Prior to transferring this grant, the Director Young and her program assistant, Terri Simonsen, requested a lot of detailed information about my grant (Appendix 0020-21). I asked who specifically would be managing the grant because I wanted to speak with that person about coordination. I was denied access to anyone and initially told by the Director Young on 2/12/2015 (Appendix 0022 - 24) that I could not talk to anyone until all my employment paperwork was in. I later learned that there was not a policy in place supporting that statement. Director Young stated that “Leo Augiling” would initially enter my grant information into the UW system and that my post award person would be someone else (Appendix 0024). I asked again who the post-award person might be? She later stated that “Lisa Izosaki” will be the post award person managing the grants and Director Young wrote a letter to NCI to that effect (Appendix 0025). I later learned that this was untrue because Lisa Izosaki assisted with pre-awards and there was no one on the Tacoma campus who worked on post-awards. In speaking with other faculty who received smaller grants, they said they had to manage their grants themselves. This is problematic as it is unethical to be a PI on a grant while also managing it.

The **NCI Grant** arrived at UW-Tacoma on 9/16/2015. I asked Lisa a number of questions about the grant over several weeks after the grant arrived. I received conflicting, and unclear information and I was not clear about who was doing what, so on (11/4/2015) I requested a meeting with Lisa Izosaki (supposed post-award grants manager) and Terri Simonsen (social work program assistant) to gain clarification on the grant #1 management. I asked each of them what their roles were. Lisa stated that her role was to transfer the grant from Case to UW-Tacoma. Once it's here, she would get grant entered into the system and get a budget number. However, the grant had been transferred since June and I did not get a budget number until September after I asked a number of times. When I asked about details pertaining to my grant, Lisa informed me that she only handles pre-awards (working with faculty who apply for grants or transferring grants from other institutions), and Terri informed me that she is not a grants manager. In response, I asked who manages grants, and they replied they did not know. I looked into this further and it was confirmed that there was no post-award person on the Tacoma campus (at the time of my hire I was told there was such a person on the Tacoma campus). The campus received 54.5% in direct costs for grant management, yet I had to manage the grant myself, which I later learned was in violation of NIH Rules. [see <https://youtu.be/1XvVibv2opQ>] I discussed my concerns with Dr. Charley Emllett (my appointed mentor), and (former) Vice Chancellor for Academic Affairs Melissa Lavitt. I also discussed this issue with my supervisor, Director Young, who asked a lot of questions and admitted that this was new to her and she didn't understand what I was talking about. Charley told me to pick my battles. Melissa said she is working to make some changes, but that it will take time.

During the summer of 2015, I was informed that I would be awarded a career development grant (K01) funded by the National Institutes of Health (Appendix 0026-32). The K01 Career Development award is designed for junior faculty who wish to build their individual line of inquiry with the goal of becoming an independent researcher leading to an R01 funding mechanism. The K01 is a highly competitive funding mechanism funded. My K01 was funded through the National Institutes of Aging (NIA) at the NIH ([5K01AG048416-03](#)). The purpose of this funding mechanism is to have protected time (75%) from teaching and service responsibilities for 5-years to focus on my research agenda. The rationale for this protected time is to attend workshops, take additional methods and statistics courses for analysis to answer the proposed research questions, to meet with national mentors, to write papers, to present findings from this project at national and international conferences. The expectation from NIH is that I am productive, meet/accomplish the goals set out in the proposal and to write an independent research grant (R01) upon completion of the grant.

Director Young sent me an email (Appendix 0033) asking about the status of my K01 grant submission. I told her it looks like it would be funded and reminded her that it would be a 75% course release. During a meeting (6/30/15) I reiterated that the grant provided a 75% buy-out of teaching load and service, thus 25% of my time would be allocated for teaching and service responsibilities. I also explained in detail what the grant is (career development award). She replied that she was "irritated." When I asked why, she said because she now has to find someone to cover my classes. I asked if she was informed about this before my campus interview and she admitted that the chair of the search committee (Erin Casey) did discuss this with her, so she knew about this before I was even hired. Director Young then asked if UW-Tacoma would receive the full indirect costs (54.5%)? I informed her that career development awards provide 8% in indirect costs. Director Young appeared upset by that news and asked what UW-Tacoma would get, I replied that 75% of my salary and benefits would go to Tacoma. Diane informed me that my grant would be processed at UW-Tacoma, so I simply listened. She wanted me to speak with Lisa Isosaki (pre-award grants person), and I informed her that according to my discussion with my program officer that I needed to get a relinquishing statement from Case Western Reserve University (CWRU) for the proposal and then I would be in touch. Since I applied for this grant while at CWRU, I needed to work with them to route the new K01 grant to the

UW. Director Young asked if she could speak with my NIH program officer, I said that would not be necessary or appropriate.

On 7/10/2015 Director Young sent an email (Appendix 0034) stating that she could not move forward with making alternative plans for my courses without confirmation related to the K01 grant. I informed Director Young that nothing will be confirmed until the notice of the award is issued which may take several months and that when I receive it, I would let her know and understand is she is unable to move forward with planning courses.

On (7/14/2015) email from Lisa Isozaki (Appendix 0035) stated the supplement grant from CWRU is considered a "new award" and not a transfer grant. Based on the UW policy I am required to take the FCOI training as a UW PI and employee. Once I complete the training the Office of Sponsored Programs (OSP) could issue the NCI grant a budget number.

On (July 2015), I discussed my experience at UW-Tacoma to date about my NCI grant with Dr. Karina Walters (Associate Dean for Research in Seattle) and I decided to put my grant through the Seattle campus. Especially, since I learned there was not a post-award person on staff at UW-Tacoma. I did not realize this when I transferred my first grant from NCI, but now that I knew, I worked with the grants staff to move my grant to UW-Seattle. I felt I could do this because, a) this was classified as being a "new grant" and b) there was an existing established arrangement with the School of Social Work in Seattle to allow faculty in the social work program in Tacoma, to put grants through, and c) that there was a grants manager who had experience managing this type of grant in Seattle.

On 7/21/2015, in an email I informed both the Director Young and the pre-award grants person, Lisa Isozaki, that the signed relinquishing statement was received and that I had initiated being my K01 grant to the UW-Seattle campus, rather than the UW-Tacoma campus. In an email on 7/22/2015, Director Young stated she was surprised. She also made several calls to the Grants Director (Cy Talabi) asking why I submitted it in Seattle. Director Young stated that when grants go through UW-Seattle it is most often because the UWT faculty member on the grant is working with a faculty member from UW-Seattle who also is a co-PI or the PI (there is no policy that states that). There is an established agreement with Seattle that UW-Tacoma social work faculty can submit grants through them. However, the policy did not specify whether the PI is working with someone in Seattle or not. In addition, in a previous email (Exhibit #63 1/8/2015) she stated that transfer grants must go through UW-Tacoma and this was not a transfer grant. On 7/23/2015, is my response. On (7/21/2015), Director Young requested a meeting after 8/10/2015 to discuss this further. I scheduled a meeting for 9/8/2015 @11:00am (Appendix 0036-39).

On 9/8/2015, I met with Director Young in her office. She expressed how upset she was that I processed my grant through Seattle and accused me of "not forthcoming with information" and being "deceptive." I reminded her that during my interview she told me as well as two other faculty members (Eric Casey and Charles Emlett) that I could submit my grants through Seattle School of Social Work. I was questioned several times about who I was working with in Seattle, who my doctoral students were. I told her that because we do not have a post-award person on the UW-Tacoma campus, I want my grant to remain in Seattle. I ended the meeting by stating that I want the grant to remain in Seattle, but this was an administrative issue and should be handled at that level. I recapped our meeting in an email dated 9/14/2015 (Appendix 0036-39).

In her response to my email dated 9/14/2018 Director Young informed me that my grant will remain in Seattle. She also stated that "any equipment purchased from my grant funds (such as a computer-related equipment) will need to be authorized and purchased through UW-Tacoma technology

services. She also indicated that if I used UW-Tacoma basic supplies, that she would need to “transfer funds for those expenses.”

I understand from Cy Talebi (grants manager) that behind the scenes Director Young called the Office of Sponsored Programs (OSP) and the SSW grants office to try and get the grant moved to Tacoma. With a lack of success, she sent me this email dated (9/16/15). She also called the grants manager (Cy) in Seattle since UW-Seattle SSW were keeping the 8% in indirects to manage my grant, Director Young asked what will she get? Cy told her she would receive 75% in salary and benefits. She also asked for my budget number so she could charge me for paper and office supplies to which he informed her that as an employee I am entitled to basic office supplies and she could not change my grant. Director Young was essentially attempting to charge my grant for basic supplies that everyone else at UW-Tacoma has access to. When she spoke to the Director of Grants management (CT), he informed her that she could not do that.

On 9/30/15 Director Young emailed my grants manger to ask about clarification about my grant by stating that I had questions about these items which was not true. Essentially, I was asking clarification from Director Young based on an email she sent me earlier.

On 10/1/2015 in an email Director Young was attempting to split some of the responsibilities for my grant between both campuses (UW-Seattle and UW-Tacoma). I told her that grants management will occur in Seattle only.

On 10/1/2015 an email from Director Young asking if I opted to be paid out in salary instead to the course release that came with the grant. After speaking with Lisa Isosaki, she informed me that the 11% I absorbed in my salary was a course release but did not tell me that. So, I lost the course release that I thought I had from this grant #1. This is an example of poor post-award management. If Lisa Isosaki was a post-award grants manager, this error would never have occurred.

On 1/4/2016, Director Young send out an email (Appendix 0040-48) to me and three other colleagues (Charley, Erin and Eric) about changing the bi-campus agreement. There is no coincidence that this discussion comes just 3-4 months after I chose to submit and have my grant #2 managed in Seattle. She also forwards a previous email dated (12/18/2015) involving (Bill Kunz, Joel Baker, Lisa Isozaki, Terri Simonsen, Jan Rutledge and Leo Aguilling). The only person engaged in research on this list is Joel Baker. Director Young suggested the following for the bi-campus agreement:

“The director of the Tacoma program is responsible for supporting the research of Tacoma faculty. The UW-Tacoma faculty member is responsible for coordinating with the UWT offices of research and finance, which assist with preparing and submitting proposals and managing awards after they are received. The Associate Dean for Research (Seattle), in coordination with the Research Development Office (Seattle), will collaborate in both the submission and post-award phases of research projects by consulting with the director of the Tacoma program and/or faculty on matters related to preparing budgets, developing content for proposals, or addressing human subjects and IRB considerations. Gants led by UWT faculty will be administered by the UWT social work program and UWT office of research unless otherwise arranged by approved by the director of the Tacoma program.”

Because both Erin and Charley raised concerns, as they both co-PI grants with individuals in Seattle, Director Young changed the wording to reflect the following:

The Director: Diane Young (Appendix -0040-48)

This new policy was problematic for me for a number of reasons. First, the Director Young is not knowledgeable about the grant funding process. When I arrived at UW-Tacoma, I learned as a faculty member Director Young had received \$10,000 in grant funding. She is constantly calling Seattle for help. Second, they still had not hired a post-award person, even though the policy states that grants would be managed by a post-award person. And third, it placed me at a disadvantage because I was not working on a grant with anyone in School of Social Work in Seattle. It appeared to me, once I committed to coming and arrived at UW-Tacoma, Diane worked with others who do not write grants (with the exception of Joel Baker) to change the policy around grant submissions without the proper infrastructure to support this change. I bring in the most money in grants in our unit, I am curious why I was not invited to a meeting about grants?

On 2/19/2016, I sent Director Young and Melissa Lavitt an email requesting to have my grant transferred to Seattle to be managed since we still did not have a post-award staff person hired and in place. I was asked to meet with Diane and Jan to discuss what support they could offer related to my grant. Diane, Jan Rutledge and I met on 3/16/2016. During this meeting I was asked what I needed for grants manager and to explain what a grants manager does. I asked, "what does your office offer?" There was no mention of post-award support. I stated that I have never functioned as a full-time post-award staff member and it would be better served to speak with someone in Seattle who does this for a living and they can give you more detailed information. Director Young asserted that, "oh so you cannot tell us what a grants manager does because you, yourself do not understand what they do and don't know what you need." I did not respond. Jan stated that she and Leo will call NIH tomorrow to get a clearer understanding of what a grants manager does and what it means to be out of compliance. The same day, I met with Melissa Lavitt (former Vice Chancellor) and explained to her what happened at the meeting and shared that Jan and Leo planned to call NIH the next day. Melissa Lavitt freaked out, she said the assumption was that with the indirects being paid from my grant #1, we would already have a grants manager. So if they called, that would be a red flag to a possible university-wide audit. She said "I need to hurry and preempt that call."

From July 2016 to June 2017, the Director Young was on sabbatical and Dr. Tom Diehm served as the interim director. Before going on sabbatical, Director Young appointed Tom without taking a faculty vote. Melissa Lavitt instructed Director Young to take a vote which she did. Director Young claims it was a majority vote to appoint Tom. However, we later learned that the vote was not anonymous and she could see how everyone voted and the comments made. Tom Diehm is the director of field education and a lecturer at UW-Tacoma. **He is not a tenured member of the faculty, nor has he gone through the tenure process.** I voiced my concerns to Charley Emllett (former appointed institutional mentor) about Tom being a non-tenured person reviewing my file, making recommendations about whether I should be reappointed or not, and essentially in charge of my career. I felt Charley ignored my concerns. He said that Tom has done this before and knows what to do. I had never heard of a case where someone below in rank can make a recommendation about someone above them in rank. I consulted with faculty at the UW-Seattle campus and with other colleagues across the US and they were shocked that the UW was allowing a lecturer to review and make recommendations on a tenure-track faculty member.

On 5/2/2018, after a discussion with one of my national mentors (Dr. Jacqui Smith) at the University of Michigan, I learned that I was eligible to apply for an administrative supplement to my existing grant. I also received confirmation that this is possible from NIH and was encouraged to apply. I submitted an external funding form to Director Young. Director Young said she could not support additional release time since I already have a 75% release. After communications with the Chancellor (who supported the application, without additional by-out), and the vice chancellor (Jill Purdy – who was not initially supportive), I replied to Director Young that I would lower the FTE on my existing

grant #2 so that I would not exceed the 75%. She asked me to re-do the form and then stated "...I will not be able to make a final decision until the reappointment process is complete..." That made no sense, since she was aware that the appointment process could take up until 6/15/2018 and the grant was due by 6/8/2018. This is evidence of another barrier that Director Young intentionally created so that I could not submit this proposal. I was relieved to later learn that Director Young's authorization was not required for the submission of this grant and it went through on time. On 9/6/2018 I learned that the grant was funded for almost \$260,000. Compared to all my colleagues, I have received the most funding in my unit at my level and above. Now I have received over \$1 million dollars of grant funding through NIH as an Assistant Professor. This is a huge accomplishment which has never been celebrated by Director Young. Instead, my accomplishment have been portrayed as a burden to the program.

8/31/2018 (Appendix 0049), I submitted a new external funding faculty form for a R21 grant proposal through NIH I had planned to submit for the October 15<sup>th</sup>, 2018 deadline. Director Young's response included a copy of the new faculty research policy, which she changed shortly after I arrived. She requested I a response to a number of questions such as: "1) what percentage will the faculty release time be? I believe the K01 will be finished at that time; 2) If you would like to submit the grant through the SSW, how will that benefit our Program, its students, and the UW-T campus? And 3) What specific concerns do you have about submitting the grant through UW-T? What might address those concerns? Alternatively, what specific benefits are there to submitting the grant through the SSW?"

My response was the following (Appendix 0050-52):

To answer your last question first, my concerns in submitting the grant through University of Washington, Tacoma (UW-T) and my rationale for submitting grants through University of Washington, Seattle School of Social Work have remained the same. Please refer to the numerous emails and conversations we have had on this issue dated (7/22/2015, 7/23/2015, 9/8/2015, 9/14/2015). As you know, I have filed a formal internal race discrimination, harassment, and retaliation complaint against both you and Tom because both of your actions have worked to subvert and derail my work at UW-T and harm my chances for getting tenure since I arrived. Some of your actions include making up reason after reason for not approving my requests, treating me differently than other faculty based on race, and specifically, you have worked against my efforts to obtain additional external funding (it appears that I am not the first person of color to have been the focus of different treatment by white faculty at UW-T). This matter is being investigated by UCIRO, and I submit that you are not an appropriate person to be making decisions about the grant or about the future of my career. Having said that, I respond to your remaining questions as follows.

1) **What deadline are you working with?**

The original internal deadline for the R21 was September 26<sup>th</sup>. In lieu of recently being awarded the National Institutes of Health (NIH) supplement grant, this may change based on discussions with my mentors. Thank you for sharing the bi-campus agreement. I note that there have been a lot of changes made to this document since my hire.

2) **For year 2 of the proposed grant, what percentage will the faculty release time be? I believe the K01 will be finished at that time.**

The release time for Year 1 will be 10% during the academic year and 50% during the summer and Year 2 will be 25% during the academic and 50% during the summer.

3) **If you would like to submit the grant through the SSW, how will that benefit our Program, its students, and the UW-T campus?**

Benefits to Program and campus - I am not sure how to respond to this question since any grant submitted to NIH, especially if it is funded, benefits the entire UW system. My research includes

older adults of color from the greater Puget sound area and across the U.S. I deem this especially relevant given our “urban serving” mission here at UW-Tacoma.

Benefits to students - I am always looking for opportunities to include students in my research which is why I always include funding (full-tuition, stipend, insurance) for a master’s level student in my grant proposals. When I requested work space for the student, you told me that you would need to charge my grant for space. I explained that I could not charge the grant for student work space and on 5/21/2018 your response was “Because Seattle will not do a sub-award for space, the Tacoma campus will not be able to provide work space for a student.” Please note, this was not a UW-Seattle decision, it is a NIH policy (see attached link below) and by charging my grant for space would be violating this NIH policy and I could potentially lose my funding.

<https://www.washington.edu/research/policies/gim-13-facilities-and-administrative-fa-rates/>

Over the years Director Young continued to move the goalpost and create rules for me not to meet requirements and misrepresented on several occasions her inability to approve requests due to policies, but when asked to see the policy, the policy did not exist. She also treated me differently from other faculty based on my race. I reminded her that both she (DV) and Tom Diehm are currently under investigation with UCIRO. I cc’d the Chancellor, Beth Louie from UCIRO and the secretary of the faculty senate.

Since joining the faculty, I have been awarded three National Institutes of Health grants, and the loan repayment program. To date, I have been awarded over **\$1 million dollars** in external funding for the University. Instead of celebrating my success as an individual and a contributor to the program, I am consistently penalized for my success. An overview of the funding mechanisms and a brief detailed description of each can be found (Appendix 0053-56).

<b>Funder/Type/Amount</b>	<b>Title</b>	<b>Status</b>
NIH/NCI Diversity Supplement \$214,746	Neighbourhood Characteristics and Health Care Utilization in Cancer Screening	Funded (2014-2016)
NIH/NIA K01 Award \$653,910	Financial Strain on Mental and Physical Health: Does Race/Ethnicity Matter?	Funded (2015-2020)
NIH/NIA Admin. Supplement \$259,000	Racial Differences in Cognitive Decline and Financial Strain	Funded (2018-2019)
NIH/NIMHD Loan Repayment \$70,000	Financial Strain and Health Trajectories in Older Adults	Funded (2017-2019)

### **RESEARCH QUARTER LEAVE**

On 12/12/2016, I was informed by Tom Diehm that “even with your K-award...you would be eligible for a research quarter off...” (Appendix 0057). I applied on 3/17/2017 and it was approved 3-22-2017. During my reappointment review meeting with Tom and Melissa, one of the recommendations was to

“postpone” my research quarter leave from 2017-2018 to 2018-2019 to teach one additional class before I go up for reappointment review again.

On June 12, 2017 Tom Diehm requested that I meet with Charley Emlett regarding next steps. During my meeting with Charley Emlett, she suggested that I forfeit my research quarter leave (Appendix 58-59). I chose not to forfeit my research quarter leave, but rather postpone my research quarter leave as previously discussed with Tom and Melissa. On 7/6/2017 I emailed Tom Deihm (interim director) that I would be available to teach the SW 503 course winter 2018. He said he would be in touch with Michelle Garner to see how he could “utilize her in other ways.” He requested that I send him an email/memo to “rescind” my research quarter leave, which I did not. On 7/14/2018 I received an email from Tom confirming that I could teaching SW 503 and he again requested that I send him a memo rescinding my research quarter leave, and I did not as this was not part of the agreement.

While Director Young was on Sabbatical, my former colleague Jerry Flores (my former Mexican-American colleague) announced that he was leaving UW-Tacoma. Although he liked the school and the larger Tacoma area, he openly stated that he left due to the unfair and biased treatment he received by both Tom and Diane. Prior to his announcement, Jerry applied for and was awarded a research quarter leave. When he announced that he was leaving, in our faculty council meeting, Tom tried to get a policy passed that if you leave the university within a year you are no longer eligible for a research quarter leave. This was directly targeted at Jerry with the deliberate attempt to take away his research quarter leave that was already approved. When I realized what was happening, I spoke with other faculty members and we voted against Tom’s recommendation.

When I first discussed my research quarter leave with Director Young she initially stated that I forfeited it, which I did not, than she stated that the policy stated that I had to reapply and attached a copy of the research support program description and process which does not indicate that if approved and postponed that I would be required to reapply. I revisited this discussion over several emails as there was no policy stating that I was required to reapply.

On 12/3/2018 I received an email from Director Young asking if I would like to take my research quarter leave during Spring quarter.

As requested, I revisited the winter teaching schedule (2019) to see whether you could be moved to a different course or even relieved from the course. I contacted the faculty members I thought might be able to make a switch or take on an additional course, but they all felt that they could not take on the hbse course at this time. Therefore, I do not have a substitute to cover hbse II and need you to continue with it this winter.

I was able to find a part-time lecturer who is willing to take on the Intro to SW course this spring quarter (2019) if you would like to take this quarter off for research. The lecturer will need to make arrangements with his fulltime employer, and I told him that I hope to let him know within a week whether we need him to teach. Please confirm whether you want to use spring quarter for pre-tenure faculty research leave.

This was surprising since Director Young stated that the “policy” indicates that I needed to take it the year it was approved or I needed to re-apply. There was no such policy which is why Diane Young had to give me my research quarter leave. Below was my response:

Thank you for your email. I am surprised that you were unable to find anyone to take the HBSE II course since, as I mentioned during our meeting on 11/21, there are a number of

lecturers (below me in rank) who could also teach this course. My preference would be to use my research quarter leave during winter quarter as planned. But I am willing to be flexible and take it during spring quarter.

Although it has taken over a year, I am pleased that a resolution regarding the research quarter leave has been made and is in line with policy. I look forward to seeing how we resolve the other pending issues (1 course release for being a new faculty member, grant submissions through Seattle, etc..)

## **MEETINGS**

On 3/3/2016, I had (by her request) a check-in meeting with the Director Young. She stated the purpose was to check in with new faculty to see how things are going. She asked me how things were going, I replied, "great." She asked if I am glad I am here and if I feel this is a good fit for me, I lied yes. She asked "how is the teaching, how is your class going? Do you like it?" I replied "it's great, I like my students." Then she asked about how my relationships with my colleagues was going, and I replied, "really good." She then asked if I felt UW-Tacoma was a good fit for me? I replied by asking Director Young if she felt I was a good fit for UW-Tacoma? She stated she was worried because of the grant support issue. She went on to say that I was not happy about your teaching assignment. Those are the things that make me wonder about fit. I replied that I never stated I was unhappy with regard to teaching but hoped she would have honored the agreement, which was to have me teach courses from the list. She stated at the time of my hire there was a not a need for anyone to teach practice classes. Practice classes are currently being taught by existing faculty. Director Young also stated that she was clear about what I liked and requested to teach. I asked if there was not a need for what I teach than why did you hire me? Director Young stated because of other strengths and expertise you bring. I asked....such as? Director Young said, "grants and research – indirect costs." I was shocked and appalled that I was hired under false pretenses.

She went on to say that I seem to be connecting well with colleagues which is great. Director Young also mentioned that since I will have statistical expertise beyond that of my colleagues in social work and criminal justice, perhaps I could create an opportunities for other faculty to benefit from what I have learned due to my expertise & interest. I thought why is it my responsibility to teach others when they could register and take the same classes themselves. If I were a white male, would Director Young be asking me to teach everyone the information I have learned in my courses?

## **SUMMER RESEARCH REVENUE**

The summer school revenue fund is to support scholarship development. A portion of summer school revenue is returned to united by the administration for the purposes of 1) generate external research funding and/or; 2) heighten the scholarly profile and visibility of our faculty program. At the time, we were eligible to apply for up to \$15,000. I was working on a small project and I had a master's of Social Work student approach me with a desire to work with me to learn more about the research process. She was a white student with a disadvantaged background and wanted to pursue doctoral studies upon completion of her MSW. I had a project in mind for us to work on and I applied for this the summer research revenue fund in 4/13/2018. It was denied because "...the budget figures related to graduate level research assistants are incomplete and do not take into account the union contract requirements" (Appendix 60-63). I was not aware that this student would be part of a union. I was told that since I indicated that the student would work 5-10 hours a week, I was able to pay her an hourly wage which was consistent with my proposed salary. I learned from a member of the

committee (JaeRan Kim) that that was the only thing that was wrong with the proposal. The project was good and the science was well written. She said Tom didn't want to fund it because of the issue with the budget. When I emailed Tom if I could revise the budget with the correct information. He told me it would have to be resubmitted in the fall. Others have had to make minor adjustments to their proposal and were funded (Barb Towes, JaeRan Kim, Marian Harris). Here is another example of unfair treatment.

### **ANNUAL REVIEW MEETING WITH DIRECTOR**

05/2/2016 I received an email from Director Young asking me to call her to discuss something pertaining to my end of year review. I called her and we discussed wanting to have a 3<sup>rd</sup> person present during our meeting. She said the role of this 3<sup>rd</sup> person would be "to have a neutral presence and be able to clarify what was said if needed and to provide an additional perspective about the best way to support your somewhat unique (to our program) career path within the constraints/context of our program." At first I agreed with her suggestion of having Charley Emlett serve as that third person, as I got to know him, I did not believe he supported me the way a mentor should support a mentee. I was also concerned about the power dynamic. I asked the (former Vice-Chancellor) Melissa Lavitt (ML) and she agreed. I informed Director Young later that day that Melissa will be joining us for our meeting.

05/20/2016 -- The purpose of the annual review is to discuss: 1) my accomplishments for the year in the areas of scholarship, teaching and service; 2) goals for the upcoming year; 3) strategy for achieving those goals. I met with Director Young and (ML) for my first end of year meeting at UW-Tacoma. In the Director Young's assessment of my work to date, during our meeting she used language that I felt was biased and condescending. Statements such as "this is good for you"; "I know you don't want to but..." "although you would prefer not to..." From my perspective, I felt that Director Young was forcing me to teach research methods because she said that "given how many faculty members we have who are skilled and like to teach in this area, this curricular area must be shared." Diane's approach to my teaching assignments since I accepted this position has been unfair, biased with racist undertones as evidenced by her assigning me courses that I have little to no expertise in teaching (i.e. Cultural Diversity, Research) (Appendix 0064-66). I never expressed any interest in teaching cultural diversity and social justice but she assigned it to me anyways. I also learned from Dr. Marian Harris, that she was also assigned this course once she arrived at UW-Tacoma and refused to teach it as well. In addition, I brought to both (DV) and Melissa's attention that "...I remained puzzled as to why lecturers appear to get preferential treatment in regard to teaching assignments (Appendix 0067-72). I requested that my response to her assessment be attached. I should have asked her to remove the negative statements in my letter.

On 5/22/2018 in a follow-up email (Appendix 0073) to the (former vice-chancellor) she stated "...she did not know what impact this had if any...the conversation about teaching assignments was not very satisfying...perhaps this document [five years review] will point to some recommendations that might improve the culture and functionality of the program..."

### **REAPPOINTMENT REVIEW #1 (2017-2018)**

In 2017, I was told that because my materials are being considered for reappointment, there was no need to have a reappointment meeting with the interim director.

The reappointment committee for 2017-2018 consisted of Dr.'s Marian Harris (chair), Charley Emlett (institutional mentor) and Karina Walters (UW-Seattle Associate Dean for Research). I selected Marian as my chair because Charley has admittedly stated that he had been checked out and was not a good mentor. He said if I selected someone else as the chair of my committee, he would be ok with that which is why I selected Marian Harris. Tom tried to dissuade me from selecting Marian as my chair by speaking on her behalf and stating she was too busy and chairing someone else's committee. When I asked her she said she would be happy to. Also, my request to have Karina Walters on my committee was met with great resistance from Tom while we discussed in his office. He claimed that I could only select persons from UW-Tacoma. I shared that this was incorrect as per the faculty handbook and guidelines. I was told if I failed to produce the policy it didn't exist. I told Tom as the interim director it was his responsibility to know the policies. He later followed up with an email stating that he found the policy I referenced, and he would ask the Dean at the Seattle campus (Eddie Uehara) if Karina could serve on my committee (Appendix 0074-76). It was important to me to have someone from the Seattle campus who understood my work and the expectations of a K01 award. The committee's recommendation was to reappoint me with a vote of 3/3 (Appendix 0077-79). The committee's recommendations included:

- Research: continue funded research studies, complete/submit manuscripts in process, continue to work with mentor, continue to submit abstracts.
- Teaching: annual peer evaluation, student mid-term evaluations, attentive to detail in the development of syllabi and other written course materials, meet with mentor on a regular basis, attend seminars, workshops, trainings to assess and improve teaching at the graduate levels, enlist help from senior faculty, develop assignments that are clear and understandable to students with concise rubrics.
- Service: increase service opportunities

Other than receiving a letter from the review committee, I did not hear anything about the faculty vote or the interim director's recommendation. On June 8<sup>th</sup>, 2017, I received an email request from Amanda Debato the executive Assistant to the former vice chancellor (Dr. Melissa Lavitt) requesting a time to meet with her to discuss my reappointment. We settled on 6/12/2017. When I was on my way to her office, to my surprise Tom Diehm was also walking in that direction to attend the meeting. During the meeting Melissa referred to her letter (which I never received). It was here that I learned that there were "equivocal findings" of the review and my reappointment was not supported. I was not given information about the actual vote nor the interim director (TD) recommendation. Dr. Melissa Lavitt's recommendation was to postpone everything for 1 year.

Later that day, Tom requested that I meet with Charley Emlett (appointed mentor) to discuss next steps for my upcoming reappointment in 2018. I was surprised since I later learned that the faculty code states that this is conversation that takes place with the director. And even when Director Young returned from her sabbatical in July 2017, she never contacted me to follow-up on this issue. At Tom's request, I set up a meeting with Charley on 6/21/2017, and also asked Tom for a copy of his recommendation. On 6/15/2017 (Appendix 0080-82) Tom informed me that "I'm not able to provide a copy of the letter since it is addressed to and intended for the EVCAA and it is not part of program reappointment policy to provide the candidate a copy of the director's letter." Since I was not aware that he could not share a copy of the letter, I asked him to direct me to the policy where it states this. Tom did not provide a copy of the policy and then instructed me to follow-up with academic HR and Melissa to receive a copy. On 6/17/2017, I sent Melissa Lavitt and Alison Hendricks (Academic HR) an email, requesting a copy of Tom's recommendation letter. In Melissa's response, she indicated that that it is "...UW practice on personnel processes to summarize the review...in absence of a specific policy or written procedures, I did advise against forwarding a copy of the letter..." (Appendix 0083). On several occasions I was refused access to my human resources file and the contents therein.

On 6/21/2017 I met with Charley and I told him I was following-up with him as per Tom's request. He asked "do you want to be here." I replied, "that's a strange question." He said "no it isn't, do you want to be here?" I replied that I would not have applied and gone through the process and accepted the offer if that was not the case. I think the real question here is do the faculty want me here?" Charley's tone and line of questioning made me very uncomfortable.

On 6/24/2017 I sent Charley a recap of our meeting via email (Appendix 0058-59). He said my research was fine and suggested I forfeit my approved research quarter leave scheduled for 1/2018 and request to teach another section of HBSE 503. No concerns around service commitments and he mentioned a "subjective engagement" about faculty's perception of me. He said that "you are aloof and not engaged." He would like me to participate in more meetings and other student related events which he himself does not attend. When we look at faculty participation in meetings alone (Appendix 0084-91). I have attended the same amount or more required faculty meetings than Charley Emlett or anyone else in the program.

On 12/1/2017 during our program meeting, Director Young discussed the budget and the request for additional faculty lines she will ask the Vice-Chancellor (Jill Purdy) for our unit. Diane Young stated that its hard to budget for the next two years since we don't know how many retirements will occur and we are unsure if reappointments will be made or not and looked at me.

On 12/8/2017, while on sabbatical, I had lunch with Marian Harris (the only other black faculty member in the social work program) and asked her about her experiences as a Jr. faculty member at UW-Tacoma. She said she was told she does not listen, she spends too much time in Seattle collaborating with faculty and was discouraged from serving and university-wide committees. Her research agenda was never supported by faculty in the social work program at UW-Tacoma and her mentorship came from others outside UW-Tacoma. I also asked her about my review process when the faculty met to discuss my file. She told me that the vote was made by ballot, and they were not counted in the presence of the faculty. Tom took the ballots with him and no one knew the outcome of the vote. She (MH) said she was shocked to learn from me when we met after my meeting with Melissa and Tom what the outcome of the vote was. She mentioned Rich Furman's concerns with me had nothing to do with my work, rather they were personal pertaining to a disagreement we had after a faculty meeting. Michelle Garner appeared upset because she voiced that I did not share my syllabus with her. Marian went one to state that "Diane hates me" and has never been supportive of her. These are all issues related to race and the institutional racism that exists at the Tacoma campus.

### **PERSONNEL FILE**

On 10/23/2017, I had an appointment with Allison Hendricks, (Academic HR at the time) to request viewing my file. She told be right away, that she could not do that, all personnel records are kept in Seattle and I needed to make a request to the public records department at UW. See link below:

(<http://www.washington.edu/publicrecords/request-a-public-record/>)

I contacted the Office of Personnel Records and they directed me to the "access request" form. I filled it out and emailed it. I received an email from Michael Wandersky who informed me because I was faculty, my requested had to go to a different office and cc'd Jamaul Jackson on the email. I called and spoke with Jamaul on 10/24/2017 who informed me that all my personnel files are in Tacoma and he would contact Allison Henricks to give her authorization to view my file. The next day I received and email from Jamaul stating:

“I conducted further investigation regarding who can supply this requested information for you. Your request has to be made through the Public Records and Open Meetings department at the University. A link to their page and contact information is below.”  
<http://www.washington.edu/publicrecords/request-a-public-record/>

My response was the following:

Good Morning Jamaul,  
I find this process nebulous and lacks transparency. I made an appointment with Alison Hendricks and met with her on 10/23/17 to request to view my personnel file. She informed me that a request needed to be made to a department in Seattle. She did not offer any additional information, therefore I asked to whom would this request need to be made to and if there was a forms to be filled out. She stated that she will send me a link to the appropriate department while I was sitting in her office. However, she did not. When I followed-up with her she sent a link to this email address  
<http://www.washington.edu/publicrecords/request-a-public-record/> (the one you provided below) without any directions or a contact person.

Due to her lack of assistance, I decided to contact the UW-Seattle HR Office of Personnel myself to ask if this was the appropriate way to request personnel information. I found the attached form on the office of personnel website which I filled out and emailed. I also left a phone message and was contacted by Wanderski who informed me that I filled out the correct form, but it should be forwarded to you (Jamaul) since I have a faculty appointment.

When I spoke with you yesterday morning you expressed with certainty that I did not have to contact your office and should have been able to access my personnel files directly from Alison Hendricks in Tacoma as my files are kept there and not in Seattle. Has something changed? I am unclear why I should contact the public records and open meetings department for a personnel matter which would be deemed as confidential. In addition, you did not provide any information on who the contact person might be, or when I can anticipate viewing my file.

As I expressed to you during my phone conversation, nothing is being explained, I feel like I am getting the run around and that I am being delayed/prevented access in reviewing my own personnel file. I would appreciate a response to my email as soon as possible.

I did not receive a response. I then met with the secretary of the faculty senate (Mike Townsend) to see if I could get more answers. He spoke with spoke with Jamaul Jackson, Allison Henricks, Jill Purdy, the Assistant Vice-Provost for Academic Personnel, Washington State Department of Labor and Industries, Washington State University, Attorney General Office, and nothing came of it. He got the run around and no one wanted to take responsibility. He agreed with me that this was not a public records matter but rather a personnel matter. And according the WA state law, (RCW 49.12.005) (RCW 49.12.240) (RCW 49.12.250) (RCW 49.12.260) I should be able to have access to my personnel file upon request. I believe both Mike Townsend and myself were getting the run around, so I went ahead and applied for the public records request and received some information and a list of redacted files (Appendix 0092-119).

On 11/2/2017, I sent Allison Hendricks (former academic Human Resources personnel) another email requesting to see my file (Appendix 0120). She then informed me that she accepted another position and is no longer working in that capacity.

On 11/12/2017 I also contacted Jill Purdy (new Vice-Chancellor for Academic Affairs) to request to see my file and she said I must make a request through public records. Her response:

I wanted to follow up regarding your communication with Alison Hendricks. As you know Alison started a new position this week, so I apologize for the delay in getting back to you. The procedure for a UW academic personnel appointee to obtain a copy of one's personnel file is to request it from the Public Records Office. Please see <http://www.washington.edu/publicrecords/request-a-public-record/>.

I assure you that when the Public Records office forwards your request, we will submit the documents to that office in an expeditious manner.

On 12/1/2017 I ran into the Chancellor -Mark Pagano at the Equity and Inclusion holiday celebration and he asked if I received what I had requested (referring to access to my file). When I said no, he replied that things move slowly at UW-Tacoma and hopefully I would get what I needed soon. On 12/2/2017 I followed up with the Chancellor Pagano via email. Letting him know that I appreciated him asking about my personnel file and that I have been advised by faculty (Charley) that I should not apply for anymore grants. On 12/3/2017 Chancellor Pagano responded (Appendix 0121):

Hello Professor Marshall,

I was glad to see you too - our paths have not crossed often this fall. I will check to find out the status of your information request. Also, I was surprised to hear that you are not being encouraged with your NIH grant work. My understanding is that we knew about this when you were recruited. I will also look into why you might be receiving this advice.

On 5/7/2018 I forwarded a previous email from the secretary of the faculty senate indicating that I should have access to my file. On 5/9/2018, the Chancellor, Mark Pagano responded by stating that Dr. Purdy understands that the documents they have already provided from my file that were permitted to send...the files I am referring to are kept in Seattle" (Appendix 0122).

## **REAPPOINTMENT REVIEW#2 (2017-2018)**

The decision regarding my reappointment was postponed for a year. On 10/31/2017 and on 2/6/2018 Diane Young emailed me with a timeline for the second reappointment review.

I had several conversations with Marian Harris about potentially serving on my committee (even though she cannot vote) so that there is some continuity from last year to this year. On 2/21/2018, Marian sent me a text stating:

"Hi Gillian, I have given your upcoming review committee a lot of thought since our conversation today. Frankly, I do not think it is to your advantage to have me and Karina on your committee. I strongly suggest that you get 2 new committee members. I suggest Erin and Julia. I have a gut feeling that pushing the issue about having me on your committee, especially since I am on sabbatical will be used against you by Charlie and Diane when it comes time to vote and discuss your file. The same applies to Karina. I support you but do not want to do anything that is not going to be in your best interest. You also have to remember that Diane hates me. We can certainly talk about this tomorrow...."

On 2/22/2018, I followed-up with Marian by phone. She shared that Tom was upset that he had to ask Eddie (Dean in Seattle) to have Karina be on the committee and felt I should have selected someone in Tacoma and not Seattle even though the policy does not restrict my committee member selection to Tacoma faculty. Tom shared that Seattle should only be involved during the tenure review process and not the 3<sup>rd</sup> year review. Marian said Tom was upset because I said there wasn't a policy that indicates that I cannot have anyone from Seattle. When Tom was interim director he could not vote, but Diane can cast a vote deciding vote and if I included her as part of my review committee, the letter Diane writes can be slanted not in my favor. Marian felt Diane and Charley are plotting against me and wanting something to go wrong. Marian is encouraging me to have a plan and strategy so nothing goes wrong. She also said that Diane said Tom can be vindictive. She mentioned years ago there were two African American female students who took his class. He gave both those students a difficult time and had to take it over. Marian stated that one of the students failed the research class in Tacoma a couple of times and she told the student to take the class over in Seattle and got an "A". Marian suggested that the other student meet with the Dean in Seattle and request a transfer to Seattle. Tom failed her in her practicum (her father was ill and she made up the hours). Deirdre Raynor's niece also had a problem with Tom as well.

On 2/22/2018, I met with Diane Young and she asked if I had someone in mind to serve on the committee. I mentioned I would like to keep the same people (Marian, Charley & Karina). But this time I would like Charley to chair the committee since Marian is on Sabbatical. I also asked what the policy is on having someone on Sabbatical serve on my committee. Diane said because Marian is on Sabbatical she could not serve. I said ok, could you provide me with the policy on that. She said she is not sure where it is, but it may be that she cannot reach out to Marian, but if Marian reached out to her to request being on my committee it would be possible. She would need to check with Academic HR and then suggested that I could check with Academic HR. I responded that it would be most appropriate if she could check with academic HR and get back to me about the policy. Director Young asked if I spoke with Marian and I stated that we've emailed and she said she would be available to serve if the policy allowed it. Director Young asked if I spoke to Charley Emlet. I stated not recently. She stated that she spoke with Charley and he said he was not able to chair but could still serve. I asked if he provided a reason and she said he did not. Diane offered to speak with him to express to him that it would be my preference for him to serve. To which I said no that's ok. He must have his reasons – maybe because he recently received a large grant. Director Young did say, she understand that I would want the same 3 people for continuity. Director Young listed all the tenured people in the department who could serve as my chair: Erin, Michelle, Eric, Jeff and maybe Rich (his currently on medical leave). She asked if we should come up with a plan "B" or should we wait to hear back from academic HR. I said I would prefer to hear back from her and in the meantime, I would think about who we could ask to chair my committee. Our meeting last approximately 10 minutes. During this meeting, Director Young never discussed last year's review (what worked, what went wrong) and what we could do differently this time. She did not provide any encouragement for a future review.

2/22/2018 Director Young followed-up with Allison Hendricks (Academic HR) about the policy she stated that would prevent Marian Harris from serving on my committee. After speaking with Allison, Director Young stated that there is no policy indicating that (MH) is unable to serve. Director Young had misrepresented these issues to me and committed a procedural error. Director Young told me there was a policy and in fact, she could not provide one because one did not exist.

3/1/2018 I emailed Director Young to inform her that Marian Harris and I both decided that she will not serve on my committee. Director Young asked about details and I told her that my discussion with Marian Harris was confidential. That day, Director Young completely disrespected my privacy and

reached out to Marian Harris to ask her about the contents of our conversation (Appendix 0123-125). Marian Harris told her that our conversation was confidential.

3/23/2018 I met with Melissa Lavitt at a local Starbucks to discuss my reappointment review binder and her expectations. She suggested that I needed to highlight more of my research accomplishments. For example, indicate how many people applied for and received a K01. She also stated she would check with Allison (former academic HR) because she wanted clarification as to whether I need to talk about pre-Tacoma activities or post-Tacoma activities in my narrative. I asked why do you need to check with Allison, she stated that there is no one else in her previous position as academic HR so she is consulting with her informally. Melissa said this is a no brainer case, I have a strong case for reappointment. I reminded her that I had a strong case last year as well and the vote was not to keep me on faculty. She said that they may not understand what I am doing and all they see is that I have all this time off and I am not teaching as much as everyone else. She suggested that I need to add additional information about what the K01 award is and I included her suggestions in my document. 3/23/2018 later that day I spoke with Marian about my conversation with Melissa and she disagreed with her recommendations. She said that my research was never a question, but rather my teaching was and I needed to focus my attention there. She reiterated her availability to talk with Melissa but I said that I mentioned it before and she did not follow-up and said Diane explained what she needed to do.

On 3/26/2018, I received a copy of my teaching evaluation and I forwarded a copy of my student evaluations to Marian and later called her to discuss. She said she was speechless and a rating of 1.4 did not make any sense. She asked about what Beth (T&LC) thought and what her letter said. I forwarded Beth's letter as well. Marian said she too had a similar experience when she first joined the faculty at UW-Tacoma. Students gave her poor teaching evaluations as well. She told me to be sure to address it in the narrative that I was writing for my reappointment. I also discussed this with my colleague and teaching mentor, Dr. Terri Lewinson who is an associate professor at Georgia State University. She is familiar with the content of this course since she has taught a similar one at her institution for over 8 years. She too was shocked by my teaching evaluation score and said "in order to get a score of 1.4 you would not have been in class." I was puzzled by this score since I made so many adjustments to improve the course and student experiences (see teaching section of reappointment review).

On March 30<sup>th</sup>, 2018, my reappointment materials were received by the Social Work office.

On 4/10/2018, I learned that the President of the University of Washington, Dr. Cauce was coming to the Tacoma campus to meet with faculty and student of color so I sent an email to her executive assistant to try and schedule a meeting with her to share my experiences and some of my concerns. I was referred to the Provost, Dr. Baldasty. Dr. Baldasty's executive assistant then referred me to the Chancellor at UW-Tacoma so I decided to cancel the appointment.

On 4/20/2018 I met with Melissa Lavitt who chaired the three-person reappointment committee. She informed me that I was recommended for reappointment with a vote of 2 for reappointment and 1 against. Based on our conversation, it was apparent to me that the against vote came from Charley Emlett (my appointed institutional mentor). Melissa stated that my research was "innovative, interesting and on point." She also said that most Jr faculty struggle with their research and that's where I excel. She went on to say that I needed to do more service on the UW-Tacoma campus and they referenced that I am working with doctoral students in Seattle. I replied, "are there doctoral students on the Tacoma campus that I could work with?" I was being sarcastic since we both knew there were no doctoral students in social work on the Tacoma campus. She also said that my teaching

is unexplainably low. She wrote that UW-T made a commitment to me and should provide me with a teaching mentor (Sr faculty member of color in another department with excellent teaching evaluations). They will either be paid or receive a course release. This person will provide one on one mentoring and in-class assistance. She stated that this would have to be organized between Diane Young and Jill Purdy. She mentioned that one possible explanation for the low scores are due to the campus climate and institutional racism referenced the faculty of color report (Appendix 0001-16). She also mentioned that there was an error in last year evaluations. When reporting my teaching evaluation, I reported the mean (2.8) and I should have reported the adjusted mean (3.3). She reiterated that I was hired with the understanding that I may be awarded the grant and that 75% of my time was protected for research and that since 25% was for teaching and service, a decision to fire me could not just be based on 25% of my time. Also, it would not be cost effective to fire me and go through the hiring process. Instead her recommendation was to get me a teaching mentor.

On 4/20/2018, I previously scheduled a meeting to speak with Michelle Garner following our faculty (degree committee) meeting. We were the only ones in the room and Erin and Thea were outside chatting. The door was closed. I told Michelle that some student brought to my attention that she was discussing me. That she told them that I was very busy with my research and did not make teaching the HBSE a priority. Michelle paused and then said “well...I told them it would be helpful to take a class from me because I have a different perspective from hers being a gerontologist. I told her that the students received what she said negatively to which she said nothing at first. Then she said well you know students. I replied by saying that this negatively impacted my teaching evaluations. She apologized. I followed-up with an email to which she denied admitting to our conversation that day (Appendix 0126-128).

On 4/20/2018 during a conversation with Marian Harris, I shared that I believe Charley voted not to reappointment me. She said that she was disappointed in Charley seeing that he is supposed to be my mentor. She also said he is a racist white man. Marian also mentioned that Michelle said that students came to her to complain about Veronica week two of the quarter. Diane requested a meeting with Veronica Hinojosa and when they met Director Young said that Michelle had received complaints about Veronica’s teaching and that she was being investigated. Veronica asked why didn’t Michelle come to her directly? Diane said she was not sure. On 11/30/2018 I followed-up with Veronica myself to hear from her what happened. She stated that she received an email from Diane requesting to meet with her. She said it was regarding a student complaint. When they met, Diane told her she was being “investigated” and she also asked her if she felt comfortable enough teaching the course. Diane stated that Michelle Garner brought this to her attention and said students were complaining about Veronica and her teaching. Veronica asked why Michelle did not speak with her directly, Diane replied I don’t know. Later Michelle reached out and apologized that she should have reached out to her first instead of complaining to Diane. This is the second time (that I am aware of) that Michelle Garner has used her access to students to use them to engage in conversations about faculty of color.

4/23/2018 I received a redacted memo written by Melissa Lavitt regarding my reappointment to Diane Young (Appendix 0129-132).

On 5/7/2018 I met with Melissa Lavitt (ML) requesting advice about my NIH supplement grant submission which I explained was an extension of my existing K01 grant #2. She provided some suggestions and then she mentioned that the post-award person they hired (Hannah) is no longer in that role and (ML) was told that they do not plan to rehire anyone for that position. In addition (ML) shared the discussion at the meeting that took place about my reappointment. She stated that there was expressed concern about my teaching to which she responded that it was easier to work on the teaching

than on the research. The faculty did not consider the report written by the review committee and their recommendation. The faculty argued that my teaching scores were “problematic.” She also stated that after the discussion about my reappointment finished, they voted by ballot. However, the ballots were not counted in front of everyone and Diane Young took the ballots with her. This is a procedural and policy violation of the faculty code.

On 5/14/2018 I received an email from Director Young requesting I schedule a meeting with her for my annual conference. This is the annual review that takes place toward the end of each academic year to review a faculty persons progress to date. On 5/21/2018 Diane cancelled the meeting because I was going through the reappointment process.

On 5/14/2018 I scheduled a meeting with the secretary for the EVCAA (Jill Purdy) to review the outcome of my reappointment. She declined a meeting as she stated that the reappointment decision would be communicated in writing.

On 5/24/2018 I walked into the office mailroom and everyone else had their letters about their merit reviews. Later that day I asked Marina Harris if she received her letter and she replied yes and she was voted as extra-meritorious. I was the only one who did not receive a merit review letter.

On 6/12/2018 I received an email (Appendix 0133) from Jill Purdy at 3:15pm stating that both she and Mark Pagano (chancellor) are requesting a meeting with me tomorrow morning, Wednesday, 6/13/2018 at 9:00am which was last minute, but I agreed to. There was no mention of what the meeting was about, so I assumed it had something to do with my reappointment review. On 6/13/2018 I met with Jill Purdy and Mark Pagano and the purpose of the meeting was to discuss my reappointment. They indicated that the faculty voted not to reappoint (but did not provide what the actual vote was) and the director voted not to reappoint as well. They did not provide information on the vote count or anything in writing. They spend a considerable amount of time telling me my teaching was very bad and it would be difficulty to get tenure here because of the way the faculty feel about me. Then they presented three possible scenarios. Mark Pagano questioned me about a possibility of me going to Seattle and wanted to know what the status was on that. I explained that my reappointment decision was due by 6/15/2018 and here are on 6/13/2018 and I had not heard anything. Potentially moving to Seattle was an alternative plan. Mark went on to say that if I was not reappointed, I could not work anywhere in the entire UW system. I told them I needed to think about what they shared. On 6/15/2018 at 7:26am, I responded to Jill and Mark (Appendix 0134). And by 3:46pm I received my reappointment letter (Appendix 0135-142). However, I felt the tone was very negative.

On 6/14/2018 both Marian Harris and I took our colleague Greg Benner out for lunch because he was leaving the university to accept an endowed chair position at the University of Alabama Tuscaloosa. I shared with Greg and Marian some of the contents of the meeting I had with Jill and Mark the day before and Greg shared how he has been treated by his administration as well. Marian strongly encouraged me to get an attorney. She also recommended the name of an attorney she knew.

On 6/18/2018 Marian called and asked if I knew about an email sent out today regarding my reappointment review. I said I was not aware of any email so she forwarded it to me. Diane Young sent out an email to the senior faculty with the result of the reappointment (Appendix 0143-144). Here she provides the outcome of the reappointment and asks if faculty would like to meet with the EVCAA (Jill Purdy) as a group (with the assumption that people would want to meet) and whether during the summer or autumn. Charley Emlett said there was no need for him to meet with Jill Purdy, yet he was there at the meeting when it occurred on 10/16/2018.

On 6/19/2018 I spoke with Dr. Karina Walters in Seattle and I shared with her that the Vice Chancellor (Jill Purdy) and the Chancellor (Mark Pagano) invited me to a meeting to discuss my reappointment and requested information about my next steps which made me very uncomfortable. I was uncomfortable because Mark asked me about the status of the position in Seattle and what my plans were. Karina said what he did was inappropriate and explained that he called Eddie (Dean in Seattle School of Social Work) and asked for information about the status of the position in Seattle because he needed to know so he could decide on what to do about my reappointment in Tacoma. According to Karina, Eddie told Mark that the Seattle process is separate and has no bearing on what he chooses to do in Tacoma. This discussion happened a few weeks before he and Jill met with me. Karina was upset that he put me in that position since they already had a conversation with Eddie. Karina asked me to contact UW-Seattle School of Social Work academic HR person (Julie) to inform her of what happened. I forwarded a copy of my email to Jill Purdy and Mark Pagano to Julie.

On 6/21/2018 Jill Purdy sent an “updated version” of my reappointment letter with two corrections (Exhibit 1607-1610). However, the negative tone remained.

On 6/27/2018 I received an email from Director Young indicating that a hard copy of my merit review decision was in my mailbox. However, it was dated for 6/15/2018. I had checked my mailbox on 6/18/2018 and 6/20/2018 and there was nothing there. The letter essentially stated that I was voted as non-meritorious by senior faculty and she would contact me at a later date about an ad hoc committee who would re-review my documents. Diane states that this was the policy as per the faculty code. On 7/10/2018 I asked Director Young about an appeals process and she said she was not aware of one and requested that I contact with academic HR (Appendix 0153-154).

On 7/12/2018 I wrote a response to the reappointment letter and sent it to both Jill Purdy and Mark Pagano (Appendix 0155-159). In it I discussed how Diane Young took away a course releases that the rest of my colleagues received upon hire, the research quarter leave that was approved but refused me to take it and instead asked me to reapply for the research quarter leave, and a number of times she indicated that her decision is based on policies which I later found to not exist. Based on this document, I requested a follow-up meeting with Jill Purdy.

On 8/3/2018 I had a follow-up meeting with Jill Purdy (JP) about my reappointment and the discussion was supposed to focus on teaching. We discussed getting a teaching mentor, teaching options for this academic year and grant funding. JP stated that she does not get involved in unit business such as teaching assignments, research quarter leaves and things of that nature. She also talked about all the things I could do moving forward but never stated what she could do to help. When I asked her what could she do, she said, “people just send the memo and generally do not want an anything done such as an investigation, they just want to share what’s going on. Do you want an investigation done?” I replied, “yes I want an investigation.” Our next steps included: 1) Getting a teaching mentor; 2) Scheduling a meeting with Jill, Diane and myself; 3) I will follow-up with Diane about the R21 grant proposal submission. On 8/6/2018 I sent Jill Purdy a recap of our meeting (Appendix 0160).

On 8/8/2018 Jill Purdy (JP) thanked me for the recap of the meeting and stated that the Chancellor would contact UCIRO. Later that day I received an email from the Chancellor. He stated that (JP) asked him to contact UCIRO on my behalf and he needed to talk to me about next steps. I didn’t ask him to contact UCIRO on my behalf. I simply asked for an investigation to be started and Jill’s email was the first mention of UCIRO.

Mark Pagano (chancellor) requested a meeting with me. On 8/9/2018 I met with Mark Pagano (chancellor) in his office. He told me that he could not initiate the investigation and that I had to. He

also stated that the person he spoke with wants to speak with me and he (Mark) would connect us via email. I sent an email recapping the meeting (Appendix 0161).

On 8/29/2018, I contacted Deirdre Raynor and I explained some of what I have been experiencing lately. She shared a great deal about her own and other's experiences. I asked her if she would be willing to talk to an attorney that I have consulted with about her experience at UW-Tacoma. She said "Yes" and she may need him for herself. She mentioned that Mark (Chancellor) asked her about me recently. He asked if she knew me and if she heard anything. She responded that yes she knew me and that I brought a lot of money to UW-Tacoma and have been treated poorly by my department. He then changed the subject completely. She mentioned that students of color (in my unit) have been treated with hostility by faculty and she has examples. She also discussed how POC were treated in leadership roles (JW). She said she forward concerns – racist/unfair hiring practices to Ricky (VP for diversity).

Later that day, I called Marian Harris to ask if she would be willing to chat with the attorney. She said she could speak with him for an hour because she was pretty busy, but she would have to check her schedule and call me later. Later that evening, around 10:15pm, I received a text from her stating:

"Hi Gillian: I apologize for not getting back to you earlier but needed to consult with my daughter and my personal attorney. Upon legal advice from both attorneys I am not willing to have a conversation with your attorney. Have a good night. Marian."

On 8/20/2018, I replied to Marian's text by stating:

"Good Morning Marian, I actually do not have an attorney. This is someone I had a consultation with. I am surprised you have reservations since you suggested I seek out counsel and initially agreed to speak with someone. Oh well just let me know...thanks. I respect your decision and I hope this will not impact our friendship."

On 8/28/2018 email from Jill Purdy (Vice Chancellor) "revisiting" the policies and the last step of the reappointment process. She agrees with the three topics we discussed that would be the focus of the meeting: 1) teaching; 2) research; 3) service. She suggested broadening the scope of the meeting to also discuss "policies or practices that are discriminatory..." I responded that the director has never met with me and provided direction for future performance. I also stated that I felt "the focus of the meeting should remain a discussion about teaching in the undergraduate program, and whether the course release and the research quarter leave will be honored." Also, since a complaint has been filled with UCIRO, I think it's inappropriate to discuss it at this time (Appendix 0162-164).

## **UCIRO INVESTIGATION**

On 8/8/2018 Jill Purdy thanked me for the recap of the meeting and stated that the Chancellor would contact UCIRO. Later that day I received an email from the Chancellor. He stated that Jill P. asked him to contact UCIRO on my behalf and he needed to talk to me about next steps. I didn't ask him to contact UCIRO on my behalf. I simply asked for an investigation to be started and Jill's email was the first mention of UCIRO.

Chancellor Mark Pagano requested a meeting with me. On 8/9/2018 I met with Chancellor Pagano (chancellor) in his office. He told me that he could not initiate the investigation and that I had to. He

also stated that the person he spoke with want to speak with me and he (mark) would connect us via email. I sent an email recapping the meeting (see document).

On 8/10/2018 I received an email from Lisbeth at UCIRO asking if I would like to start the process. Later that day received an email from Beth Louie (investigator at UCIRO) about scheduling and appointment. We settled on meeting on 8/16/18. I sent ahead before our meeting attachments of the 5-page memo I sent to Mark & Jill, reappointment letter and faculty of color report.

On 8/16/2018 I met with Beth Louie at the UCIRO office in Seattle. She began the meeting by explaining the UCIRO investigative process. She stated that this has a neutral investigation for fact finding. I asked who pays you salary and she said she was a UW employee and repeated that this is a neutral process. She also mentioned that the UCIRO office does not do anything, they simply provide the Chancellor recommendations. During the meeting I also provided her with a copy of my teaching evaluations for years 2016/2017/2018, peer evaluations for years 2017/2018', and reappointment letters.

On 8/23/2018, Beth Louie email to request a phone meeting. Beth and I spoke and she wanted to inform me that if I initiate the investigation they could only go back 1yr, but if Mark (Chancellor) initiates the investigation, there is no time limit. Also, any policy violations of faculty code would be handled through the office of the secretary of faculty senate. I recapped our conversation in an email (Appendix 0163-167).

Since UCIRO could only investigate event within the last year, I emailed the chancellor to ask if we could submit a joint request for investigation and he agreed. Beth immediately requested a meeting with the Chancellor. She stated that if we wanted to go beyond a year, the Chancellor would have to initiate the investigation. She said we could not do a joint investigation even though the policy does not state that (Appendix 0168-175) and we scheduled a meeting.

On 9/10/2018, the official request for the initiation of an internal investigation with UCIRO (Appendix 176).

On 10/3/2018, I had a meeting with Beth Louie, and Deirdre Raynor. Also, on 10/3/2018, Beth Louie sent an email to Mark Pagano (Chancellor) requesting that I (Gillian Marshall) would receive the results of the investigation. On 10/4/2018 Mark agreed to share the results of the investigation with me (Appendix 0177).

On 10/8/2018, opening notices were sent out to myself, Diane Young and Tom Diehm from Beth Louie indicating that the investigation is officially open (Appendix 0178-179). On 10/17/2018, I requested an update on the UCIRO investigation. Notices were given out last week and the next step is the fact-finding portion of the investigation. On 10/22/2018, I emailed Beth Louie to check-in to get the status of the investigation. Nothing has been done (Appendix 0180-182). On 10/24/2018 I asked Beth Louie when the investigation will begin. Beth Louie replied sometime during the week of November 4<sup>th</sup>, 2018. That is nearly two months after the Chancellor formally requested the investigation.

As of today, 1/19/2019, I have not heard anything from Beth Louie or any additional information about the status of the UCIRO investigation.

**MERIT/RAISES**

Each year the faculty who are above me in rank (associate professors, full professors) review my faculty activity report (see attached) and decide whether I am meritorious (working as expected and would receive a raise), non-meritorious (working below expected - no raise) or extra meritorious (working above and beyond expected-raise). This rating is based on three categories: teaching, scholarship and service (Appendix 0183-184). To be voted meritorious, I would have had to at minimum accomplished the following:

- 1) Teaching: teach my assigned classes, prepared a syllabus/syllabi
- 2) Scholarship: published at least 1 article a year, or a culmination of various research activities
- 3) Service: serve on at least 2-3 committees or a culmination of service activities.

My first year at UW-Tacoma (2015-2016), I was voted as being meritorious and received a 2% raise (Appendix 185). During year 2 (2016-2017) I was voted as non-meritorious and did not receive a raise (Appendix 0186-189). Also, during year 3 (2017-2018) I was voted as non-meritorious and did not receive a raise (Appendix 0190). I did not receive an explanation as to why I received that vote, nor was I provided with any documentation or was there a discussion on how I could improve my performance to get a non-meritorious vote. If you see the chart below, I have outlined on the left side the criteria for which a meritorious vote is required and my actual effort on the right sides. Based on the outlined criteria and my actual performance, a vote of non-meritorious does not make sense and this is an example of bias and institutional racism.

<b>Meritorious Minimum Criteria</b>	<b>2016-2017</b>	<b>2017-2018</b>
Teaching 1) Teach assigned course 2) Prepare a syllabus	<ul style="list-style-type: none"> <li>▪ Each year the SWCJ program receives a copy of my syllabus and there were no concerns mentioned.</li> <li>▪ I taught one course in 2016 and received a 4.7 on student evaluations.</li> <li>▪ I taught one course in 2017 and received a 3.2 on my student evaluations.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Each year the SWCJ program receives a copy of my syllabus and there were no concerns mentioned.</li> <li>▪ I taught one course in 2018 and received a 1.4 on my student evaluations.</li> </ul>
Scholarship 1) Publish 1 article a year OR 2) Culmination of research activities	<ul style="list-style-type: none"> <li>▪ <u>Three</u> papers were accepted for publication.</li> <li>▪ Five papers under review.</li> <li>▪ Three guest lectures.</li> <li>▪ Five abstracts accepted for conferences to present my work.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <u>Four</u> papers accepted for publication</li> <li>▪ Two papers under review</li> <li>▪ I was also selected (one out of seven junior faculty) to attend a funded NIMH two-year grant writing program.</li> <li>▪ Awarded the Loan Repayment Program - \$70,000 in loan repayment from NIH.</li> </ul>
Service 1) Serve on a minimum of 2 committees OR 2) Culmination of service activities	<ul style="list-style-type: none"> <li>▪ I committed to five service opportunities;               <ul style="list-style-type: none"> <li>○ Three guest lectures</li> <li>○ reviewed BASW and MSW admissions applications,</li> <li>○ public lectures selection committee,</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▪ I committed to 5 service opportunities;               <ul style="list-style-type: none"> <li>○ Two guest lectures,</li> <li>○ reviewed BASW and MSW applications, BASW committee,</li> <li>○ public lectures selection committee,</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>○ BASW committee</li> </ul>	<ul style="list-style-type: none"> <li>○ served on faculty affairs committee,</li> <li>○ social work faculty search committee.</li> </ul>

I emailed Director Young, (Appendix 0145-152), to enquire about the appeals process. She said she was not aware of one and referred me to the new academic HR person Casey Byrne. She went on to say that according to the faculty code (section 24-55H), if someone receives a non-meritorious vote two years in a row, the director is required to have an ad hoc committee of persons in my unit to re-review my materials. Although the faculty code does indicate that members should come from the unit, I asked the director if she would consider persons outside our unit, since these were the same people who votes me as “non-meritorious” two years in a row. She said no. When Director Young informed me who was going to be on the committee (Erin Casey, Michelle Garner, Eric Madfis, Melissa Lavitt, and Randy Myers), I requested to have 2 out of 5 members (Michelle Garner and Eric Madfis) be removed because they had been openly biased toward me. Again, Director Young said no. The chair of the committee (Erin Casey), reached out to me on to let me know she will be sending me a time line shortly. I received the timeline from Erin and I am scheduled to meet with the committee on 11/30/2018. In her email on 11/15/2018, she states that

“...the main purpose of the meeting is to get a chance to hear from you about what information you think needs to be considered as we review the merit materials and process, whether there were aspects of the merit process that felt unclear, and about what would be helpful to you moving forward.”

On 11/28/2018, I sent the entire committee a memo similar to the one I wrote for Jill Purdy and Mark Pagano (Appendix 0191-194), indicating that the reason I have received a non-meritorious vote was due to Diane Young and Tom Diehm’s discriminatory treatment toward me. I called Melissa Lavitt and she responded by email that she would be attending the meeting and that:

“The process and intended purpose is not quite clear to me. As I shared with Erin, I reviewed the materials and conclude, again, that your performance was not the problem; climate bias and culture are to blame.” (Appendix 0195)

I met with the merit review committee on 11/30/2018. The focus of the merit review committee meet was threefold: 1) to get input from me about the information the committee should consider when reviewing the merit related materials; 2) to hear about aspects of the review that process that could be clarified or what would be helpful to hear from me about aspects of the process that could be clarified; and 3) what would be helpful and supportive to me moving forward for future merit reviews. This meeting lasted 10 minutes and it was not helpful or informative in any way. When asked the first questions, I reiterated that the information that was already provided to the committee with the addition of the 4-page memo that I sent on 11/28/2018 would provide context. When asked question #2, I shared that I received a rating of non-meritorious for two years in a row. The director nor any other faculty member provided any feedback or explanation for this rating. When asked the third question, I expressed I would not respond as I did not have any understanding for what the concerns were that lead to a non-meritorious rating. During this entire meeting, none of the other four committee members said anything and I was not provided with any additional information that would explain why I was voted as non-meritorious for 2-years in a row. It is still a mystery.

During a conversation with Marian Harris on 11/21/2018, Marian shared that she presented information about the merit scale at the Chancellor's cabinet meeting. She indicated that several units on the campus and they have three categories: 1) non-meritorious; 2) meritorious; 3) extra-meritorious. However, according to the faculty code, there are only 2 categories: 1) non-meritorious; 2) meritorious. Among the entire UW system, some deans and directors (such as Diane Young) were the only ones using an "extra-meritorious category. This is problematic, as extra raises have been attached to those who have received a rating of "extra-meritorious" when in fact, this category does not exist. It was stressed that all units that this needs to be changed immediately as it is a violation of the faculty code. To address this issue, Marian Harris and Jill Purdy have written a policy to explicitly explain the policy in the faculty code. It was presented on 11/30/2018 (Appendix 0196-198).

12/17/2018 I filled a whistleblower complaint with the Office of the Washington State Auditor pursuant to RCW 42.40 to report that my director (Diane Young) and other faculty in the social work and criminal justice program at the University of Washington Tacoma have violated sections 24-55 and 24-57 of the University of Washington code which states that there are only two categories in evaluation for merit: 1) meritorious; and 2) non-meritorious. For at least the last five years, Diane Young has utilized an additional category of "extra meritorious" which has been added and tied to increase monetary awards given to white faculty and this is not something I have received while employed there. On 12/26/2018, I received an email from the auditor's department declining to investigate (Appendix 199).

12/13/2018 I received a copy of the merit committee review report. They deemed that the decision to rate me as non-meritorious for academic years 2016-2017 and 2017-2018 is upheld (Appendix 0200-216). I have never received feedback from senior faculty pertaining to my merit until today through this report. The notices I received from the director does not provide any feedback nor any suggestions on how to improve performance to obtain a rating of meritorious. Therefore, I am not certain about the authenticity and validity of these comments. Examples of comments made were:

*"Gillian taught one course with very poor evaluations. Her scholarship was fine, and commensurate with the amount of buyout and support she has. Her service was minimal, and below that typically expected of a second year AP. She has not shown engagement with the program, has not attended program events such as orientation, and does not report back to the faculty as a whole about her minimal service commitments. She creates the impression that she is not remotely committed to this program."*

*"Strong research, but as expected with mentored and protected time. Very limited teaching is marked by troubling disengagement and lack of preparation; service is very limited. All SW faculty are part of degree committee and student application reviews. Program/campus service lacks investment/ engagement."*

*"The faculty member did not in her FAR indicate her scoring NOR whether she felt she was meritorious or something else. My opinion is meritorious."*

*"Teaching unacceptable. Service contributions are exceedingly poor. She totally disengaged from service contributions, and the contributions she makes are poor."*

*"Very poor teaching. Limited service and disengagement to the point of failing to perform service to the detriment of the Program."*

*"Gillian's teaching and ACTING engaged service needs to increase/improve."*

*“Significant concerns related to teaching.”*

*“Very poor teaching evaluation and poor quality service.”*

*“This is because criteria say that NO element can be below 2 and her teaching does not warrant meritorious ranking.”*

Based on the statements above, my service was “minimal, and below that typically expected of a second year AP.” That is correct, my faculty activity report will look different than my peers because I received a grant from the National Institutes of Health that protects 75% of my time from teaching and service. In addition, no one has defined the meaning of “disengagement” and it is not part of the evaluation criteria for merit. By rating me negatively, was another attempt for them to justify voting not keeping me. One of the things that was most confusing to me in the report was being told that if I was voted as non-meritorious in one category, I would be non-meritorious.

### LOAN REPAYMENT PROGRAM (LRP)

The National Institutes of Health (NIH) Loan Repayment Programs (LRPs) are a set of programs established by Congress and designed to recruit and retain highly qualified health professionals into biomedical or biobehavioral research careers. The escalating costs of advanced education and training in medicine and clinical specialties are forcing some scientists to abandon their research careers for higher-paying private industry or private practice careers. The LRPs counteract that financial pressure by repaying up to \$35,000 annually of a researcher's qualified educational debt in return for a commitment to engage in NIH mission-relevant research. Since tomorrow's medical breakthroughs will be made by investigators starting in their research careers today, the LRPs represent an important investment by NIH in the future of health discovery and the wellbeing of the Nation. (NIH, 2018). Among those who applied to the health disparities research program, 258 applications were received, and 43 awards were made (17% success rate). Only 13 awards were made to faculty researchers in the state of Washington (NIH, 2018) and I was one of them.

On October 19<sup>th</sup>, 2018 I was cc'd on an email from Jenny Le (Grant Specialist) sent to Barb Woods about certifying my institutional salary and support. Barb Woods suggested she speak with Teri Simonsen Program Administer for the Social Work and Criminal Justice Program in Tacoma where I am employed. On October 26, 2018, Terri emailed me to ask if I would like to certify for 1 or 2 years. I told her two years.

On October 31<sup>st</sup>, 2018, after my regular monthly budget meeting with Cy Talebi and Barb Woods, he mentioned that Diane had emailed him requesting information on my grant (Budget #, grant #, start-end dates, etc...) which he provided. She also asked why she needed to certify my LRP for two-years when the grant ends in 2020. He shared with her that the grant does end in 2020, but she [Gillian Marshall], will be applying for a no cost extension. A no cost extension is available to a PI when they have money left over from their project/grant and they haven't finished all the said they would accomplish. They can apply for an extension of the existing grant for 1 year without any additional funding. Cy told Diane that once approved I will automatically have an additional year on my grant and she should go ahead and certify the grant for 2-years. Diane chose to ignore his advice and decided call the loan repayment program helpdesk.

On November 1, 2018, in an email (Appendix 0217) Diane informed me that she contacted the help desk at the National Institutes of Health Loan Repayment Program and spoke with (Dana). Director Young stated that Dana advised her “that because you will have one year left on your grant beginning July 2019, I should only certify for one year” and this email was to inform me that this is what she has done. It occurred to me that Diane spent time speaking with others about my grant and never spoke with me prior to making her decision.

On November 5, 2018, I called Jenny Le (Grants Specialist for the LRP) and explained the situation and Jenny agreed that I should be certified for two years instead of one year. She stated that there is currently another person at the UW in the same situation who will be applying for a no-cost extension and this is common. I also shared that Director Young has been behaving in punitive and retaliatory ways toward me. I let her know that I filed a complaint and Director Young is currently under investigation with UCIRO. Jenny said tomorrow she will call the LRP help desk in the morning to have it sent back and she will email Terri Simonsen to let her know that it needs to be certified for 2 years.

On November 6, 2018 Jenny Le sent an email to the attention of Diane Young and Terri Simonson (Appendix 0218-219) explaining that I have requested a two-year renewal and also requested that they confirm this. Later that day, Terri Simonsen sent Jenny Le an email asking “do all questions need to be answered yes in order to be certified” which demonstrates their ill intent. In a prior email dated November 2, 2018, Terri responded “yes” to all the questions and Diane concurred with her responses (Appendix 0220-223). Now in an effort to not certify me, Terri is asking about how she responded to the questions previously. In her response, Jenny asked what has changed (Exhibit #1565). Diane is given another opportunity to certify for two-years and refuses to do so (Exhibit #1563). On November 7, 2018, I called the Loan Repayment Program (LRP) help desk at NIH and spoke with Dana to get additional clarification. Dana informed me that “the LRP office does not advise on whether to certify for one or two years” and stated that is what she told Diane Young. It was apparent to me that Diane misrepresented this information and I felt that she was intentionally trying to sabotage my ability to get another potential year of loan repayment for my student loans. On November 9, 2018 I sent an email to the Chancellor (Mark Pagano) explaining the series of events and that I felt this was retaliation against me and another attempt at malice and unfair treatment. The chancellor overturned Diane’s decision and approved my certification for two years (Appendix 0224-235).

## **TEACHING/COURSE RELEASES**

My teaching load is less than other faculty in my unit because I received two prestigious grants from the National institutes of Health which released me from 75% of teaching to focus on my research agenda. This was shared with the search committee, the Director Young and the faculty prior to joining the faculty (see research section for a full description). Since joining the faculty at the UW Tacoma in Fall 2015, I have taught three courses:

Winter 2016: TSOCW 101: Introduction to Social Work  
Winter 2017: TSOCW 503: Human Behavior and the Social Environment  
Winter 2018: TSOCW 503: Human Behavior and the Social Environment

During my interview, and again on 1/30/2015, I provided Diane with a list of courses I am trained to teach. I explained that I stay away from courses such as Cultural Diversity and Social Justice, Research Methods and anything policy related as these are not in my wheelhouse and they receive the lowest faculty ratings on course evaluations. After discussing my teaching preferences during the

interview, I was surprised when Director Young had “Cultural Diversity and Social Justice” on my schedule. I immediately notified her that I was uncomfortable teaching this course. Diane claimed that based on my CV, teaching CDSJ would be a good fit. I explained that the course deals with topics related to race, class and privilege and it requires someone with a special skill set to teach those courses. I had co-taught this course once in the past with a white male and realized this was not in my skill set and I would do a disservice to students. After a telephone conversation, Diane changed my schedule (Appendix 0236-237).

Earlier on from 1/13/15-1/21/16, there have been a number of emails exchanged between Diane Young and myself about my teaching load. On January 13, 2016 I received an email from Diane indicating that I would have to teach Introduction to research. I reminded her of our email exchange on 1/30/2015 and our phone conversation on 2/9/2015 and that I would prefer to teach a course from the list I provided, and I was not comfortable teaching research at this time but would be open to doing so in the future. Most of her response was spent convincing me why I should teach the research course. She also went on to state that upon the time of my hire “we did not need curriculum support” in this area (Appendix 238-239). However, at our program meeting on 1/22/16 Director Young stated that a lecturer (Thea Drescher - white female) would teach a number of the classes I requested (Appendix 67-72). I addressed my concern with the previous EVCAA (Melissa Lavitt) and Diane during my annual meeting and my schedule was changed.

Now with two grants, we needed to figure out teaching load and other expectations. I met with Diane Young, Director Young on 9/8/2018 to discuss current grant submissions, teaching load, meetings and office space. I sent minutes from our meeting on 9/14/2015 (Exhibit 65). At the time, it was my understanding that I was to receive 1 course release from being a new faculty member, I had an additional course release from my NCI grant and 75% course release from my K01 grant. This meant that I would not have any teaching responsibilities for my entire first year. I did not want my colleagues to be upset by that, so I suggested to Diane that I teach 1 course my first year. What I did not realize at the time, was that Lisa Isozaki, with my permission made changes to my budget, but did explain that I was being paid out for one of my course releases associated with my NCI grant. The fact that she made such a huge mistake made me question her ability to manage grants. She later told me that she only handles pre-awards and not post-awards. This change left me with a 1.5 teaching load from my K01 grant and a new faculty course release. Meaning that had I not taught, I would have owed a .5, but because I taught, I was owed a .5. This didn't seem to add up to me. Diane suggested “splitting the difference” and went on to say on 10/10/2017:

“These factors are not as relevant when significant course buyout is received from a research grant.” (Appendix 0240-243).

On 8/3/2018, I met with Jill Purdy (JP) as a follow-up to my reappointment and in regards to the response to the reappointment letter I sent (Appendix 155-159). The focus of this meeting was to discuss teaching, a teaching mentor, and grant funding. In my letter and again during our meeting I shared with (JP) that Diane is refusing to honor a research quarter leave and course releases that have already been approved. I believe I am being penalized for having grants and I shared with Jill Purdy that Diane is treating me different from others and not adhering to the policy. These are items that all other faculty members in my unit have received without question. According to Diane, I am being denied them because:

“...it is not an entitlement but it is something we try to do for new faculty with heavy teaching loads.”

When I brought this to Jill Purdy's attention, her response was:

“I do want to note that neither the Chancellor nor I intervene in discussions about teaching schedules or unit policies related to course releases. These are unit level decisions based on needs of the students in the curricula.” (Appendix 0244-248)

During this meeting I also confirmed that I would like to move forward with having an investigation completed. The next steps included: 1) Jill Purdy would contact either Carolyn West or Divya McMillan about serving as my teaching mentor; 2) Jill Purdy will schedule a meeting for Her, Diane and myself to follow-up teaching, course releases and the research quarter leave; 3) I would follow-up with Diane about submission of an R21 or R03 grant proposal; and 4) Jill will follow-up on the next steps involving the internal investigation.

On 10/15/2018 I sent Diane an email (Appendix 0249-250) after a meeting with Jill Purdy, requesting to teach in the ungraduated program. To date, I have taught SW 503 twice and had poor teaching evaluations. Since I’ve taught at UW-Tacoma at the undergraduate level and have done well, I thought perhaps while getting mentorship, I could teach at the undergraduate level. This would also be an opportunity for Diane to show her support. I later learned that prior to my request, Marian Harris also suggested this to Diane on (Date and Date). Diane responded by stating that the teaching schedule had been finalized. This was not true since I had firsthand knowledge from another faculty member (Marian Harris) that her schedule had been changed within the last 2-3 weeks.

The follow-up meeting with Jill Purdy, Diane Young Director Young and I was initially scheduled for 10/3/2018. I decided to include one of my colleagues Deirdre Raynor as a witness. Jill Purdy expressed not wanting Deirdre Raynor to attend and cancelled the meeting. I emailed the chancellor to ask for his help. He suggested the ombudsperson, the VP for equity and inclusion, Marian Harris. I provided a rationale for why each person was not suitable. In one of my last email exchanges with the Chancellor, Mark Pagano on 10/18/2018, I said:

“Thank you for your suggestions in attempting to find someone else to attend the meeting with Jill, Diane and myself. As you know, Marian is the vice-chair of the faculty assembly, and her workload has increased exponentially, and I think it would be unfair to ask her to add another item to her calendar.

Both Jill and Diane would like to meet with me, yet they want to be able to pick and choose who can/cannot be involved in a discussion involving my career and success at UW-Tacoma. I am puzzled as to why Jill and Diane are uncomfortable with having Deirdre present (as an observer) while my reappointment is being discussed. Beth Louie, the UCIRO investigator did not have a problem with Deirdre being present at our meeting. To me, this seems like another inequitable obstacle being placed in my way.

Another concern I have is that since Diane is currently under investigation with UCIRO for discrimination, I question the appropriateness of having her attend this meeting. I sent her an email on 9/18/2018 which I copied you on that mentioned the pending investigation regarding the discriminatory and biased/unfair treatment I have experienced from her. Based on this alone, I am sure you can understand why I am concerned about moving forward with this meeting without having an advocate that I have selected. I would like Deirdre Raynor to attend but if this is not an option, I would like to have either Julia Aguirre or Chris Knaus present instead. How would you like to proceed?”

Chancellor Pagano replied:

“The original personnel process which is being followed here is to have the faculty member meet with their director with typically no other personnel involved. While I realize that we have

been trying to adapt this process to meet the current situation, it seems we have gotten a bit off track. I will ask Jill to reach out to you again to determine who will need to be involved, the scope of the meeting, and to determine an appropriate time to meet.”

On 10/30/2018, I received an email from Jill Purdy requesting a meeting with me and Diane and would “like to invite my preferred colleague...Deirdre Raynor...” We planned to meet on 11/19/2018 and I sent out items for the agenda on 11/18/2018 which included the following: 1) 1) discuss having me teach at the undergraduate level; 2) my one course release as a new faculty member; and 3) my research quarter leave; I would like to also add to our discussion a fourth item; 4) future grant submissions.

On 11/21/2018, I sent out a recap of our meeting. And on 11/30/2019 I followed up with an email requesting an update:

“I wanted to circle back with you to see where we are on the items discussed during our meeting on 11/21/2018. Specifically, regarding the research quarter leave, the course release, teaching an undergraduate course, submission of my future grant proposals to Seattle. The fact that Diane admitted in our meeting that she has provided courses releases, research quarter leaves and other opportunities to my colleagues and taken them away from me, clearly demonstrates her unfair treatment and bias toward me and I believe this has to do with my race. I hope that these matters will be corrected and resolved soon. Also, since you will be discussing my grant, I would like to be part of the meeting with Lester Vilaflora so we are all on the same page moving forward.”

To which Jill Purdy replied:

I was planning a phone call with Lester Villaflor to improve my understanding of the grant and I have no objection if you want to participate in that call.

Please note that the workload questions we identified would not be resolved by this phone call, as by “workload” I intended to convey all aspects of faculty effort (teaching, research and service). UW does not have a fixed formula for faculty effort as do some other institutions, and I believe that is why the confusion has arisen to begin with. We will need to work together to create a shared understanding of workload expectations.

On 12/19/2018, Jill Purdy contacted Lester Villaflor (did not include me in the discussion). He provided her with a link providing additional information about NIH’s effort for a K01. On 1/16/2019, I received an email from Jill Purdy that her assistant would be contacting Diane Young and myself to schedule a meeting to discuss the workload expectations with a K01 award grant. Also on 1/16/2019 I spoke with Mr. Villaflor and he confirmed that on a K01 award the remaining 25% FTE faculty could be engaged in teaching and service or another grant project. He also shared that he has communication with Jill Purdy on 12/19/2018 and he forwarded me the information he shared with her.

### **Teaching Mentor**

One of the recommendations made by the reappointment committee (2018) was to provide me with a “teaching mentor” to work with me on my teaching. When I met with the Vice Chancellor (Jill Purdy), on 8/3/2018, she followed-up on the recommendation made by the reappointment committee (Exhibit 1508). She provided the names of two potential mentors: Carolyn West or Divya McMillian, and asked which one should she approach first. I didn’t really know either of them well. However, I had

met Carolyn West at a workshop and suggested that maybe she ask her first but reiterated I did not have a preference and I would be willing to work with either of them.

On 8/31/2018 I received an email from Carolyn West requesting a meeting. Carolyn and I met on 9/24/2018. Carolyn did not have an agenda for our meeting nor were there any expectations for this teaching mentoring relationship. She was under the impression that we would have a conversation about teaching and if I needed to meet with her during the quarter we could do so informally. When I explained to her that I received poor teaching evaluations and that the faculty voted not to reappointment, she quickly stated “we need to get you out of here ....and get you ready for the job market.” She brought up her google scholars and research gate pages and told me I needed to build a website to gain more visibility for my work. She asked me to send her a copy of my CV so she could review it. I was shocked and confused since it was my understanding from Jill that the purpose of our meeting was to get help with teaching. To ensure that we were all on the same page, I suggested that perhaps we should have a meeting with Jill to gain a better understanding of her expectations and goals for this teaching mentoring relationship. I thanks Carolyn for her time and later sent her a copy of my CV.

9/26/2018: I sent Jill an email indicating that I met with Carolyn and the goal of this was unclear and suggested perhaps all three of us could meet to ensure we are meeting her expectations and gain clarity around goals.

10/3/2018: I sent both Jill and Carolyn an email (see document) to ask if we could ahead of time come up with an agenda to guide our meeting. I was hoping to gain clarity about expectations, milestones, goals and outcomes and specifically how best to take advantage of Carolyn’s expertise.

10/8/2018: Jill responded to my email by indicating that the development of an agenda for our meeting was an “excellent” suggestion (see doc). Jill suggested that “our agenda might be to articulate a detailed plan for diagnosis and support that is ongoing throughout a quarter of teaching.” Based on feedback the following was our meeting agenda:

- 1) Review the reappointment review committee’s recommendations for a teaching/mentor.
- 2) Clarity about what this process looks like and expectations (Jill)
- 3) Clarity regarding milestones and outcomes (Jill)
- 4) What is Carolyn West’s role (Jill)

On 10/8/2018, I spoke with Mike Townsend, Secretary of the faculty senate and shared that so far I have not been provided with a success plan moving toward tenure. Mike said that they must come up with a concrete plan of how they will support me including specific goals and milestones. He said if that does not happen, I need to let him know right away.

10/12/2018: Jill Purdy, Carolyn West and I met and I walked away with even less clarity. After our meeting, I sent a copy of my notes out to ensure that I captured all the main points (Appendix 0251-253). Jill said “This looks like a good summary to me.” There were a few suggestions made for such as a peer evaluation process. When I asked about specific goals, milestones and outcomes to achieve “teaching effectiveness”, I was told that teaching effectiveness is “hard to measure” and that the process should be “organic.”

10/19/2018: I emailed Mike Townsend the secretary of the faculty senate for additional clarity. I shared with him that there was not a concrete plan established, nor were there any concerns to develop

any milestones, goals or objectives to measure teaching effectiveness I shared with him that I did not think this was a supportive plan to ensure teaching success.

“I am following up with you based on our conversation the other day about the recommendations from my reappointment letter and next steps. I had a meeting with Jill Purdy (new EVCAA) and Carolyn West (Proff in Psych - my appointed teaching mentor) about how to move forward with teaching. If you read the trail of emails below, you will see there was not a concrete plan on how to help me achieve "teaching effectiveness or success" nor were there any formal measures in regards to milestones, goals and objectives established. Instead, it was recommended that my teaching should evolve and be "organic." I am not sure how one measures "an organic process?" To me, this does not seem like a supportive plan leading me to a successful career at UW-Tacoma. I am curious to hear your thoughts.” (Appendix 0251-253)

Mike requested an opportunity to speak with Jill to try and address these concerns. He told me he was trying to schedule an appointment with her and to date, I have not heard any follow-up regarding this issue.

10/29/2018: This was my second meeting with Carolyn West and I suggested coming up with our own goals and objectives. She agreed that the expectations during our meeting with Jill was unclear to her as well. She said my CV looked great. I gave her an overview of my course, we also reviewed assignments, syllabus and she said it was really good. She had no recommendations for what I could do to strengthen the syllabus. She asked if I got feedback from anyone in my department. She said my syllabus was one of the best she has seen -its detailed and clear. She liked the premise of my class and even said she might use my idea “meet the author.” She asked whether there is something going on – systemic. She suggested that they brought me to UW-T with the understanding that I have this buy out and now that I am here, they want to penalize me. She also stated that my department keeps moving the goalpost. Suggestions to post mini lectures on line during the week for students to review. I asked if she could share some of her rubrics, but she only sent one. I requested she come to my class multiple times (perhaps week 2, 4, 6, 8). She offered to come and give a guest lecture on DV. We did not discuss any goals or objectives for these meetings. Instead, Carolyn suggested making it casual and meet with her on an as needed basis.

On 1/21/2019, I sent Jill Purdy another update on the lack of progress with my assigned teaching mentor. I’ve reached out to Carolyn with specific requests (i.e. reviewing my syllabus, assignments, doing a class observation to provide feedback) and she was unavailable. Luckily for me, when I reached out to Beth Kalikoff at the Teaching and Learning Center, she happily agreed to review my materials and provided detailed feedback on more than two occasions. She also came to do a class observation and provided additional feedback (Appendix 0254-255).

### **COLLEAGUE: MICHELLE GARNER**

I knew Dr. Michelle Gardner from grad school. Although she was several years ahead of me, we both attended the doctoral program at the University of Washington, School of Social Work. I was looking forward to working with her because we were both teaching a section of the Human Behavior and Social Environment course. I asked if we could get together and chat about the course. She would often delay meeting and then I realized that she generally did things at the last minute and was always late. I heard that sometime during the winter quarter of 2018, she had speaking negatively about me to students. Saying that I was not committed to teaching and that I was very busy with research and had not made teaching this course a priority. I requested to meet with her since 4/9/2018 (Appendix 0126-

128) but always preferred a phone call. On 4/18/2018, I suggested meeting after our program meeting which she agreed to. At this meeting I confronted her and asked her why she found it appropriate to discuss me in a negative way with students. At first, she denied doing this by stating that perhaps the students misunderstood. I repeated what I heard and told her there was not a misunderstanding and this negatively impacted my teaching evaluations. I suggested moving forward my preference would be for her not to discuss me with students, but if necessary, in a positive way. Her face appeared to be bright red. She admitted it and apologized. Later that evening I decided to follow-up with an email to which she stated that "...your email's characterization of our Friday conversation does not match my understanding..."

I later learned this was not the first time Dr. Garner did this to a faculty member of color. I spoke with Veronica Hinojosa – a part-time lecturer about her experience teaching at UW-Tacoma. On 11/30/2018 I followed-up with Veronica myself to hear from her what happened. She stated that she received an email from Diane requesting to meet with her. She said it was regarding a student complaint. When they met, Diane told her she was being "investigated" and she also asked her if she felt comfortable enough teaching the course. Diane stated that Michelle Garner brought this to her attention and said students were complaining about Veronica and her teaching. Veronica asked why Michelle did not speak with her directly, Director Young replied, "I don't know." Later Michelle reached out and apologized that she should have reached out to her first instead of complaining to Diane. This is the second time (that I am aware of) that Michelle Garner has used her access to students to use them to engage in conversations about faculty of color. As similar with my situation, this was deliberately with intention to negatively influence students to create a biased atmosphere. These are the lengths at which faculty on the UW-Tacoma campus will go to ruin the credibility of faculty of color with students and ultimately their careers.

Since I have been here at UW-Tacoma, I have learned there has been a long history (predating me) of unfair treatment, discrimination and bias on the UW-Tacoma campus which has been evidenced by the faculty of color report cited earlier in this document (Appendix 0001-16). The disturbing findings from this report has led to a push for an external tri-campus climate survey of faculty, students and staff of color which will be led by an independent company.

# APPENDIX

## DRAFT 3/23/2017

### Overview

The Office for Equity and Inclusion undertook an evaluation of the condition of faculty of color at UW Tacoma during the 2016 -2017 academic year. The evaluation covered UW Tacoma faculty of color who are underrepresented on the faculty, defined as people whose racial/ethnic background is African American, Native American, Latino/a, Pacific Islander, or U.S. Asian American. The purpose was to document the experiences of these faculty members regarding how well they fit and how well received they feel at UW Tacoma, rather than have such experiences discounted as mere hearsay. It is necessary to understand their perceptions of the racial climate on our campus in order to improve conditions for the future.

### Methodology

The Office for Equity & Inclusion sought to contract with an outside specialist to undertake this evaluation. After several attempts to identify such a specialist, the Office identified Ms. Kimi Ginn in Tacoma. Nearly simultaneously the Office was approached by a faculty member, Dr. Jerry Flores, who sought to undertake a similar project. As a result, in June 2016, both Dr. Flores and Ms. Ginn were contracted to jointly conduct the evaluation. During the ensuing planning meetings, it was agreed that they would use a qualitative research approach<sup>1</sup> that is based on one-on-one in-depth, semi-structured interviews and a content analysis to capture the experiences of underrepresented faculty of color at UW Tacoma. Such methodology would also ensure anonymity of the faculty of color members, as well as to provide space for narrative discourse.

The Assistant Chancellor for Equity & Inclusion, Dr. Sharon Parker, identified the UW Tacoma underrepresented faculty of color based on contacts with the Office. Because no official list of underrepresented faculty of color exists at the campus, an invitational letter (see Appendix 1) was sent to those identified and they were asked to help identify others. Of a total of 26 identified underrepresented faculty of color, 24 were interviewed. These included full-time lecturers and faculty at every rank in the tenure track.

Unless the person being interviewed objected, each interview was recorded and later transcribed by an outside typist. The transcribed interview was returned to the interviewer who then coded it according to the issues raised, such as: issues with other faculty members; lack of support from department heads; lack of support for new faculty; mentor awards removed; legitimacy as instructor questioned; expectation of mentoring students but without compensation; pay inequality; paying lip service to diversity without action; tokenism; other faculty talk about students of color negatively. These codes were recorded in DeDoose software along with other demographic information (numbers of years on faculty, gender) and key questions (see Appendix 2). The data from which this report is drawn remain available in the Dedoose software program. All identities have been removed to protect the anonymity of interviewees.

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<sup>1</sup> Esterberg, K. (2002). *Qualitative methods in social research*. Boston: McGraw-Hill.

## Findings

In this report the experiences of underrepresented faculty of color at UW Tacoma are addressed. As a whole, the 24 faculty members interviewed reported experiencing a hostile racial climate at UW Tacoma. A campus racial climate is determined according to a four-dimensional model: (a) an institution's historical legacy of inclusion or exclusion of various racial/ethnic groups, (b) its structural diversity, or the numerical representation of various racial/ethnic groups, (c) the psychological climate of perceptions and attitudes between and among groups, and (d) the behavioral climate, of campus intergroup relations.<sup>2</sup>

The UW Tacoma faculty of color characterized this climate as being pervasive and existing for at least 10 years. Many of the participants felt that the racial climate got "worse" since the passing of Chancellor Debra Friedman and with the arrival of Interim Chancellor Kenyon Chan. This racial hostility manifested itself in individual interactions with other faculty, as well as with staff and students. Hostility issues appeared during faculty meetings, in campus-wide discussions, and in hiring committees. Moreover, faculty of color in general noted that UW Tacoma faculty, staff and students were unable to have an open and productive discussion around issues related to race.

One of the major themes in the findings is "issues with other faculty." Faculty of color on campus discussed experiencing multiple issues with White faculty. For example, some White faculty members assumed faculty of color were students, janitors or support staff. Another faculty of color was assumed to have four or five children by White faculty members simply due to her race. During a faculty meeting another faculty of color reported being told, "I am going to ignore you because, I don't agree with you and I am going to move on," due to a disagreement about race related issues in their program meeting. Faculty of color respondents also reported being yelled at during faculty meetings, called sexist names like "bitch," and being followed to their offices by angry White faculty attempting to confront them about issues in faculty meetings. Finally, and perhaps the most alarming finding in this theme, was that faculty of color reported White faculty "stealing" their work. This happened in two ways. First, White faculty would cut and paste material, especially related to issues of race and diversity, and attach it to program and campus reports without attribution. Second, White faculty would take credit for work created by faculty of color, such as courses reports, evaluations and other intellectual property. In one case, a participant's program requested that she create a new major and study program, but when it was done, credit was given to a White faculty member for the work. "Issues with other faculty" occurred across campus and continue to take place now.

The second major finding reported by the faculty of color is "feeling marginalized." This marginalization included general experiences of isolation and exclusion from their programs. Faculty of color also mentioned feeling unwelcome during program events or, in some cases, being overtly excluded. One of the newest faculty of color passionately expressed her displeasure with the lack of support and absence of "user friendly" services to acquaint her with campus procedures. She expected a warm welcoming atmosphere, especially because she engaged in a major relocation to come to UW Tacoma. The unwelcoming atmosphere was a big disappointment and gave rise to regret about her choice to come. Additionally, faculty of color

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<sup>2</sup> Hurtado, Clayton-Pedersen, Allen & Milem, *Enhancing Campus Climates for Racial/Ethnic Diversity: Educational Policy and Practice*, The Review of Higher Education, Vol. 21, No. 3, 1998, John Hopkins University.

discussed being actively excluded from hiring committees and committees that had the potential to shape department and university wide policy. Marginalization among faculty of color was fueled by accusations of being called the “diversity police” when they addressed issues of diversity and inclusion or called out racist and bigoted speech to the chagrin of their colleagues. There were also significant feelings of disrespect and devaluing as it related to women of color, particularly in specific fields, such as computer sciences. Together these experiences contributed to feeling marginalized and unwelcome at UW Tacoma.

The third highest reported issue is “having issues with their director or dean.” This concern means that the immediate supervisor does not support their professional trajectory. Respondents reported that their directors made negative racialized comments during faculty meetings. They also reported directors using racist and sexist language in their evaluations. Additionally, respondents reported that directors and deans sided with students against the faculty of color when there were issues in the classroom. Faculty of color also reported supervisors assigning additional new course preparations at the last minute, or changing their classes or teaching times more often than their White counterparts. Very importantly, faculty of color also reported struggling to get paid for their labor. They reported not receiving course buyouts as promised by directors, having summer courses revoked with no valid reason, and not receiving compensation for developing new courses. In an extreme example, a respondent said the director of another faculty of color denied that faculty member an entire month of pay. After several months of protesting to the program and working with human services, this faculty member was able to receive her month of missing pay. These problems with the director also extended into the tenure process and caused faculty unneeded stress. Moreover, such issues cause faculty of color to focus time on negotiating problems with their directors and documenting racist interactions instead of pursuing their professional work.

The faculty of color further stated having additional work compared with their White colleagues. First, they were coerced to do more service work on campus and in the community. This was especially the case for individuals who are connected to the local area or do research in the region. Second, faculty of color were also expected to mentor undergraduate and graduate students of color. Because there are usually more students of color than faculty members in an academic unit or field, faculty of color have a large number of students of color to mentor. Third, faculty of color were expected to put together syllabi, reports, activities, classroom talks and campus events related to issues of diversity and were seldom paid for this work. Not only is such service unpaid, it is labor intensive and under-appreciated by colleagues and supervisors, nor does it count toward tenure. Finally, another area of discontentment and concern is the inequity in the tenure process. As it was consistently cited, there existed a double standard with regard to how White faculty members were awarded tenure versus how faculty of color members were awarded tenure. Faculty of color working toward tenure were expected to publish more, especially single-author books, and produce numerous articles in peer-reviewed, prestigious journals. On top of these ambitious expectations, the research produced by faculty of color was often perceived as questionable by their colleagues and directors. Taken together this meant that faculty of color did more work, received less pay and had higher expectations for promotions, tenure and annual reviews compared with their White colleagues.

Nearly all faculty of color on campus, especially women of color, mentioned challenges related to compensation. They reported being paid far less than their White male colleagues were paid. These faculty members often discussed feeling undervalued and frustrated by this lack of

compensation. It was noted that the only way to get more pay is to apply for other positions in order to obtain a job offer from another university in hopes of getting a counter-offer from UW Tacoma. However, in the past some faculty of color with job offers from other institutions still were not given a counter-offer, or retention offer, and so left the position. As can be imagined, receiving less pay for the same or more work caused issues of resentment and unhappiness on campus among faculty of color.

Despite the findings above, the faculty of color we interviewed acknowledged that UW Tacoma is making an effort to address issues of diversity, equity and inclusion. However, they thought these efforts fell short of actually addressing issues of racism and inequality. In other words, faculty of color think the campus was merely paying “lip service” to these issues. For example, faculty noted that the diversity course requirement has very little oversight or rules to ensure strict adherence to the requirements. Additionally, the campus had no mechanism for how to increase and retain faculty of color on campus, such as requiring a diversity representative in hiring committees. Finally, the current Assistant Chancellor of Equity and Inclusion has been working at an 80% capacity for a number of years and her office is understaffed. Given the campus need and status of faculty of color, there needs to be a greater investment in the Office for Equity and Inclusion.

### **Conclusion**

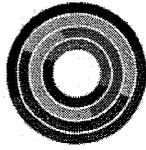
The experiences recounted by the faculty of color demonstrate that UW Tacoma is suffering from a lack of connection between its mission as an urban-serving university that supports diversity and inclusivity, and that of its practice particularly with regard to faculty of color. In far too many instances, those interviewed shared that both faculty of color *and* students of color experience the reality of marginalization and exposure to a racially hostile campus environment. To claim UW Tacoma provides a “kaleidoscope of perspectives crucial to learning, as the Strategic Plan does,” yet permits ongoing disrespect to not only faculty of color but in some instances according to those interviewed, disrespect to the students who attend the university as well, is totally incongruent to the university’s stated commitment to diversity and inclusivity. This report is intended to provide some concrete insights into the experiences of faculty of color on campus and help address some of the long standing racially charged issues on campus.

It is imperative that this report include a very consistent articulation by faculty of color that the main reason they stay at the UW Tacoma, in spite of the racism, sexism, tenure and compensation inequities, disrespect and lack of support, is to serve the students, especially the students of color. This commitment is a strong indicator of the professionalism and passion of faculty of color for the transformational power of education.

## APPENDICES

Appendix 1	Letter of invitation
Appendix 2	DeDoose Software
Appendix 3	Interview questions
Appendix 4	Recommended Action Steps
Appendix 5	Interviewer biographical background

APPENDIX 1



**EQUITY & INCLUSION**  
UNIVERSITY of WASHINGTON | TACOMA

Dear faculty colleague,

The Office for Equity and Inclusion is launching an evaluation to learn about the experiences and campus climate for faculty of color at UW Tacoma. We plan to use the information we collect to design and implement practices that would address the findings. To accomplish the information collection, we invite your participation in a one-on-one interview session. Interview sessions will be conducted by UW Tacoma faculty member Jerry Flores, and Tacoma consultant Kimi Ginn who have been contracted for this work. You may expect an email and/or telephone call by one of them very shortly requesting to arrange an interview.

Please know that your identity will be confidential in the analysis and reporting and no identifying information will be made public. We will, however, use the collected information to create a *summary* report that we plan to distribute across campus.

You have been identified as a potential interviewee because of your participation in previous faculty and staff of color events. There is no campus list that identifies all faculty of color at UW Tacoma. So, we seek your help in identifying other current or recent past faculty of color who you think should participate in this evaluation. Please send me an email with names and contact information or inform Jerry or Kimi when they contact you.

Because we seek to ensure a welcoming and inclusive UW Tacoma experience for our faculty of color, we hope you will assist us. Thank you.

Sincerely,

A handwritten signature in cursive script that reads "Sharon Parker".

Sharon Parker  
Assistant Chancellor for Equity & Inclusion

## APPENDIX 2



Dedoose is a qualitative and mixed methods research tool. Dedoose lets researchers analyze text, photos, audio, videos, spreadsheets and other types of data. It is web-based, works on both PC and Mac computers, and has built-in collaboration features.

<http://www.dedoose.com/>

## APPENDIX 3

### INTERVIEW QUESTIONS FOR FACULTY OF COLOR

1. Would you tell me about your experiences as a faculty of color at UW Tacoma?
2. What has been the most challenging part of your time here?
3. What has been the highlight of your time at UW Tacoma?
4. Would you tell me about the racial climate on campus?
5. Do you feel that your time here has been influenced by your race, class, gender, religion, age, ability etc? Would you give me an example?
6. What are your goals? Can you achieve them at UWT? What do you need to achieve these goals?
7. If you could, would you leave UW Tacoma for another faculty position?
8. How satisfied do you feel with the campus?
9. What is your biggest concern as a faculty member of color?
10. How can the campus address these issues?
11. Are there any comments, questions, or concerns you would like to share that I did not ask?

## APPENDIX 4

### RECOMMENDED ACTION STEPS

- Use transparency in sharing the findings of this report
- Develop and convene a team to review the findings
- Review existing hiring practices for faculty of color
- Ensure that all hiring of new faculty of color include at least one existing faculty of color on the interview panel
- Establish a protocol and related procedures to support newly hired faculty of color
- Establish a protocol and related procedures to provide ongoing support to faculty of color
- Review and make improvements that will eliminate the inequities in tenure track and compensation for faculty of color
- Develop, incorporate and assess a demonstrative focused equity and inclusion requirement in the evaluations for all UW Tacoma staff
- Review and improve a safe method of reporting incidents of discrimination, harassment, exclusionary practices
- Establish and enforce clear consequences for incidents of discrimination, harassment, exclusionary practices
- Enhance support for the Equity and Inclusion Office

APPENDIX 5

**KIMI IRENE GINN**

**(Formerly Kimi (Ginn) Rabun)**

**Website: [www.imikenterprises.com](http://www.imikenterprises.com) Phone: (253) 273-2999 Email: [imik1@msn.com](mailto:imik1@msn.com)**

**PROFESSIONAL SUMMARY:**

Self-initiating professional with high-level administrative experiences in diversity-focused educational training, program development/implementation and management/assessment. Specialized expertise in the establishment and retention of inclusive school/business/community partnerships. Productive career readiness and college preparation skills. Innovative resource development, sales/marketing and fundraising skills. Cross-cultural competency in effective written and verbal communication processes. Effective strategies for the consistent delivery of productive community relations. Creative AfricanAmerican Storyteller.

**EXPERTISE:**

Diversity Services - Training, Equity and Inclusion Planning and Program Development  
School/Business/Community Partnership Collaboration  
Career Readiness/College Preparation  
Sales/Marketing and Public Relations  
Fundraising and Special Events  
Community Outreach, Volunteer Recruitment, Networking and Mobilization  
Cross-Cultural Communication Competencies  
Performing Arts Talents

**EXPERIENCE:**

**Owner-Consultant 1990 - Present**

**IMIK Enterprises**

Owns and operates a company that develops/provides multicultural programs/services including diversity plan development, educational, corporate and governmental employee diversity/cultural competency workshops, conflict resolution/mediation services, community building seminars, school/business internships, college/career counseling, motivational keynote addresses and cultural arts performances and activities.

**\* Past and Current IMIK Enterprises Projects and Contractual Services**

Certified Corporate/Governmental Diversity Trainer 1997 - Present

Conducting The Boeing Company and Pierce County Government in Washington State corporate and governmental level diversity/cultural competency focused workshops that assist with the sustainability of a hostile free work environment.

Soft Skills Facilitator 2001 – Present

Arnold Services of Tacoma, Washington

Career Preparation/Resume Writing Workshops, Leadership Seminars, Teambuilding Retreats  
Consultant 2010 – Present

Learning Dynamics, Inc.

Wallingford, Connecticut

Conducts workshops that assist organizations to improve performance, maintain compliance, create and sustain hostile free work environments and enhance customer services.

Page Two

**\* Past and Current IMIK Enterprises Projects and Contractual Services Continued**

Hampton University Kiddie Kamp Hampton, VA Summer 2014

Kelly Professional Services 2011 – 2012

Provided substitute teaching services in greater Hartford, CT area schools.

Faith Summer Arts Program – Faith Congregational Church Hartford, CT Summer 2011

Developed/presented African American history focused arts curriculum for a youth ages 7 – 17.

Consultant 2010 - 2011

The Center for the Advancement of Youth, Family and Community Services Glastonbury, CT

Provided a variety of educational and community focused interventions and enhancements

for diverse school and community populations. Provided children's programming for 2011

Parent Leadership Training Institute Middletown School District.

Joe Jordan Ragtime/Jazz Collection Donation and Project 2006 - Present Hampton University

Contracted Coordinator 2002 - 2003

Communities in Schools of Puyallup Puyallup, Washington

Developed the infrastructure for a sustainable process to identify and deploy the appropriate

community resources that can support student success in Puyallup schools.

Consultant 1999 - 2001

High School Career Internship Coordinator and Careers Class Instructor

Seattle Public Schools – Middle College High School

Coordinated internships and taught career classes for high school students.

University of Washington Health Project/Organ Donor and Tissue Transplant Survey 1999

Co-Authored Publication

Area Development Director 1998 – 1999 (one year campaign)

The College Fund/UNCF - Seattle Area Office

Developed/managed 1998-99 fundraising campaign. Raised 1.2 million dollars.

**\* Positions and Areas of Responsibility**

AVID Tutor and Substitute Teacher (part time and on call) 2015 – Present

Tacoma Public Schools Tacoma, Washington

Membership and Marketing Manager 2012 – 2014

Girl Scouts of Connecticut – Hartford Service Center

Managing the membership and marketing activities in the greater Hartford area.

Senior Program Officer 2008 – 2009 (grant funded)

College Success Foundation – Issaquah, Washington

Managed the transitional activities for the mentorship and scholarship programs.

Provided supervisory responsibilities to eight (8) of the sixteen (16) high schools that received our agency's college readiness, mentoring and scholarship services.

Partnership Coordinator and Recruiter 2005 – 2007 (grant funded)

Big Brothers Big Sisters of King, Pierce and Jefferson Counties in Washington

Provided recruitment and outreach services for the purpose of increasing the number of mentors representing diverse populations. Conducted fundraising and public relations.

Page Three

Director 1992 – 1997 (grant funded)

Seattle Community College District: Seattle Coalition for Education Equity Project.

Managed/assessed a 5 million dollar, multi-year Ford Foundation project to create enduring, city-wide partnerships to effect systemic change in the equitable delivery of K-16 educational services.

Monitored equity compliance and equal opportunity accessibility for college transfer activities. Facilitated the institutionalization of students of color programs at the university, community college and high school levels. Grant writing and major fund development. Business internship co-ordination.

Project Manager and Community Relations Coordinator 1987 - 1991

Seattle Public Schools Seattle, Washington

Developed/implemented strategies for the reduction of disproportionality. Coordinated district-wide school/business partnership activities that supported academic success. Facilitated community outreach/mobilization activities, monitored volunteer services, mentorships and school-to-work initiatives for southwest regional schools. Served as the district-wide liaison to the Partnership in Public Education (PIPE) and Communities in Schools (CIS) business and community programs.

**EDUCATION:**

Wilson High School Honor Graduate and ASB President Tacoma, Washington

Bachelor of Arts Degree Major: Elementary Education Minor: Library Science

Antioch College/Prometheus Campus: Tacoma, Washington

Graduate Studies in Human Development/Multicultural Education

Pacific Oaks College: Pasadena, California

**MEMBERSHIP/AFFILIATIONS:**

Member of Allen A.M.E. Church – Tacoma, WA

Member and Past Officer, Alpha Kappa Alpha Sorority, Incorporated

Member, City of Tacoma Sister City Program (Health and Education Initiatives) – George South Africa

Past Co-Chair and Member of Board of Directors, Communities in Schools (CIS) of Seattle, WA

Member, Faith Congregational Church – Hartford, CT

Member, Girl Scouts of Washington and Connecticut

Mt. Tahoma Seventh Day Adventist Church Education Committee – Tacoma, WA

Member, NAACP Education Committee – Tacoma, WA

Founding Community Member, University of Puget Sound Race and Pedagogy Initiative - Tacoma, WA

Co-Founder/Advisory Board Member – Rites of Passage Program for African American Males - Tacoma, WA

Member, STAND for Children/Washington State

Member, Tacoma Black Collective

Graduate – Tacoma/Pierce County Chamber of Commerce Candidate Academy

Member, Vibrant Schools Tacoma. WA

Founding Member, Washington State Association for Multicultural Education

**Jerry Flores**

University of Washington-Tacoma, Social Work Program □ Tacoma, WA 98402  
626-354-8845 □ jerry.flores830@gmail.com

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**ACADEMIC POSITIONS**

2014- Present Assistant Professor of Criminal Justice & Graduate Faculty  
Social Work Program, University of Washington-Tacoma

2015 UC President's Post-Doctoral Fellow  
Department of Social and Behavioral Sciences, University of California, San  
Francisco

**EDUCATION**

2014 Ph.D., Sociology, University of California, Santa Barbara  
M.A., Sociology, University of California, Santa Barbara

2009 M.A., San Diego State University (Sociology)

2007 B.A., San Diego State University (Sociology)

**RESEARCH AND TEACHING INTERESTS**

Latina/os in the Criminal Justice System; Race, Gender and Crime; Interpersonal and  
Institutional  
Pharmaceutical Abuse; Juvenile Delinquency; Ethnography and Qualitative Sociology;  
Correctional Education; Feminist Studies

**PUBLICATIONS**

Books

**Flores, Jerry** (in press) Caught: Girls, Surveillance and Wraparound Incarceration University  
of California Press-Series on Gender and Justice

Articles and Chapters

**Flores, Jerry**, (Under Review) "Academic Punishment for Offenses Committed outside of  
School: An Unexplored Facet of the School-to-Prison Pipeline." *Social Problems*

**Flores, Jerry**, (in press) "A Race Conscious Pedagogy: Correctional Educators and Creative Resistance inside California Juvenile Detention Facilities." *Association of Mexican American Educators Journal*.

**Flores, Jerry**, 2013. "Staff here let you get down": The Cultivation and Co-optation of Violence in a California Juvenile Detention Center." *Signs: The Journal of Women and Culture*, Vol. 39:1, 221241.

**Flores, Jerry**, 2012. "Jail Pedagogy: Liberatory Education Inside a California Juvenile Detention Facility." *The Journal Of Education for Students Placed At Risk*, Vol. 17:4, 286-300

Jones, Nikki and **Jerry Flores**. 2012. "At the Intersections: Race, Gender and Violence" Handbook of Gender and Crime Studies, editors, Claire Renzetti, Susan Miller, and Angela Gover. Routledge Press.

\*\*Reprint, "At the Intersections: Race, Gender and Violence" in *Critical Criminology* (2014), edited by Walter S. DeKeseredy and Molly Dragiewicz, Routhledge Press

Esbenshade, Jill, Ben Wright, Paul Cortopassi, Art Reed and **Jerry Flores**. 2010. "The Law-and-Order" Foundation of Local Ordinances: A Four-Locale Study of Hazleton, PA, Escondido, CA, Farmers Branch, TX, and Prince William County, VA." Chapter in "Taking Local Control: Immigration Policy Activism in U.S. Cities and States." Palo Alto, CA: Stanford University Press.

#### Research Reports

Rios, Victor M. Ph.D., Lopez-Aguado, Patrick, Galicia, Mario, Lopez-Tello, Gisselle, **Flores, Jerry**. Santa Barbara School District Gang Intervention Specialist Evaluation Report, 2010.

#### **ACADEMIC HONORS, GRANTS, AND AWARDS**

2015 University of California, President's Post Doctoral Fellow, (\$80,000 plus \$8,000 for Research)

2015 Association of Hispanics in Higher Education (AAHHE) Outstanding Dissertation Award (3<sup>rd</sup> Place, \$1000)

2011- 2014 Ford Foundation Diversity Pre-Doctoral Fellowship, National Research Council of the National Academies (\$60,000 plus \$6,000 for tuition and fees)

2011 Graduate Opportunity Fellowship, Dean's Fellowship, University of California, Santa Barbara (\$18,000) (**Declined**)

2010 Summer Institute on Youth Violence Prevention, University of California, Berkeley-  
CoSponsored by The Center for Culture, Immigration and Youth Violence Prevention and The  
Southern California Center of Excellence on Youth Violence

2010 UC-DIGSSS (Diversity Initiative for Graduate Students in Social Sciences), UCSB  
Division of Social Sciences, Summer Research Fellowship Award funded by the National  
Science Foundation, University of California, Santa Barbara, Amount (\$4,000)

2009 Sociology Departmental Fellowship, University of California, Santa Barbara, Amount  
(\$14,000)

2009 UC-DIGSSS (Diversity Initiative for Graduate Students in Social Sciences), UCSB  
Division of Social Sciences, Graduate Department Fellowship funded by the National Science  
Foundation, University of California, Santa Barbara, Amount (\$7,000) **TEACHING  
EXPERIENCE**

#### Undergraduate Courses

Ethnographic Research Methods (Upper-Level Undergraduate)  
Diversity and Social Justice (Upper-Level Undergraduate)  
Criminological Theory (Upper-Level Undergraduate)  
Introduction to Criminal Justice

#### **LECTURES, CONFERENCE PAPERS AND INVITED TALKS**

Conference Paper, "Pathway Community School and the New Face of Alternative Education"  
August 2014, American Society of Criminology, Section on Policy Alternatives, San Francisco,  
CA

Conference Paper, "Pathway Community School and the New Face of Alternative Education"  
August 2014, American Sociological Association, Section on Criminology, San Francisco, CA

Conference Paper, "'I Fight because I have too:' Violence and Life in a California Juvenile  
Detention Center," August 2013, American Sociological Association, Section on Criminology,  
Chicago, IL

Conference Paper, "'I Fight because I have too:' Violence and Life in a California Juvenile  
Detention  
Center." November 2013, American Society of Criminology, Section on Gendering Violence,  
Atlanta,  
GA

Conference Paper, "Staff Here Let you Get Down," November 2013, American Society of  
Criminology, Section on Critical Perspectives on Crime over the Life Course Chicago, IL

Conference Paper, "Staff Here Let you Get Down," August 2012, American Sociological  
Association, Section on Crime, Law, & Deviance Roundtable Session, Denver, CO

Invited Panelist, "Keys to Success in Graduate School," April 2012 California Forum for Diversity in Graduate Education, University of Southern California, Los Angeles, CA

Conference Paper, "School is the Last Thing on my Mind When I am on the Out's: Incarcerated Girls and Correctional Education," May 2011, African American Girls and Young Women and the Juvenile Justice System: A Call to Action, University of California, Berkeley School of Law, Berkeley, CA

Conference Paper, "Co-opting Girls Reputations Inside a California Juvenile Detention Facility," March 2011, Pacific Sociology Association, Section on Gender and Crime, Seattle, WA

Conference Paper, "Jail Pedagogy: Teaching Prisoners," August 2010, American Sociological Association, Section on Crime, Law, & Deviance Roundtable Session, Atlanta, GA

Session Organizer, "Democratic Pedagogy," March 2009, Pacific Sociology Association Conference, San Diego, CA.

#### **PEER REVIEWER**

Violence Against Women Journal  
Association of Mexican American Educators Journal  
Critical Criminology  
Canadian Scholars' Press

#### **LANGUAGES**

Fluent in Spanish

#### **PROFESSIONAL AFFILIATIONS**

American Sociological Association (ASA)  
American Society of Criminology (ASC)



Gillian L. Marshall <geegee@uw.edu>

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## Relinquishing Statement

8 messages

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Gillian L. Marshall <geegee@uw.edu> Tue, Jul 21, 2015 at 5:19 PM  
To: "Lisa A. Isozaki" <lisozaki@uw.edu>, "Diane S. Young" <youngd4@uw.edu>

Hi Lisa,

It was nice chatting with you the other day to gain clarity around the details of the supplement.

On another note, I finally received a signed copy of the relinquishing statement from Case which allows the UW to move forward and this has now been initiated through the School of Social Work Seattle campus as a new grant.

Thanks!  
Gillian

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Lisa A. Isozaki <lisozaki@uw.edu> Wed, Jul 22, 2015 at 5:38 PM  
To: GILLIAN MARSHALL-FABIEN <geegee@uw.edu>  
Cc: "Diane S. Young" <youngd4@uw.edu>

Hi Gillian,

That is good news; however, I am surprised that the new K-award is being initiated through the School of Social work program in Seattle. Why is this? Isn't your faculty appointment tied to the Social Work program in Tacoma?

Lisa

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**From:** Gillian L. Marshall <geegee@uw.edu>  
**Sent:** Tuesday, July 21, 2015 2:19 PM  
**To:** Lisa A. Isozaki; Diane S. Young  
**Subject:** Relinquishing Statement

[Quoted text hidden]

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Diane S. Young <youngd4@uw.edu> Wed, Jul 22, 2015 at 6:10 PM  
To: GILLIAN MARSHALL-FABIEN <geegee@uw.edu>  
Cc: "Lisa A. Isozaki" <lisozaki@uw.edu>

Hi Gillian,

I too was surprised to learn that the grant was submitted via UWS. When we spoke earlier in the summer, I had mentioned that new grants should go through UWT. When grants go through UWS it is

App. 0017

Marshall000062

most often because the UWT faculty member on the grant is working with a faculty member from UWS who also is a co-PI or the PI.

When I asked Cy Talebi why the grant was put in through UWS he said that you had mentors there and that Taryn, one of your mentors, directed you to Cy for help with this. You did not mention to me or to Lisa that you intended to put the grant in through UWS. I had assumed this grant would be initiated at UWT and that is why I was concerned that you connect with Lisa as soon as possible. Submitting via Seattle without discussing this with me concerns me given that your appointment is to UWT.

Diane

**From:** Lisa A. Isozaki  
**Sent:** Wednesday, July 22, 2015 2:38 PM  
**To:** GILLIAN MARSHALL-FABIEN  
**Cc:** Diane S. Young  
**Subject:** Re: Relinquishing Statement

[Quoted text hidden]

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Gillian L. Marshall <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>  
Cc: "Lisa A. Isozaki" <lisozaki@uw.edu>

Thu, Jul 23, 2015 at 9:30 AM

Hi Diane,

There appears to be a lot of miscommunication. During my interview when I mentioned I was bringing grant funding with me, I was told on a number of occasions that there is an agreement between UW-Tacoma and UW-Seattle where by grants (regardless of whether faculty at UW-Tacoma are working with a PI or Co-PI with some at UW-Seattle) can be submitted through UW-Seattle for both campuses. I believe this was established when David Takeuchi, former Associate Dean for Research was at the Seattle campus and this agreement still stands today.

Per my notes from our conversation a few weeks ago, I do not recall that you mentioned all new grants must go through UW-Tacoma. What I do recall however, is that earlier this year when I was in the process of transferring my Diversity Supplement (awarded by the National Cancer Institute), from Case Western Reserve University to the UW-Seattle, you stated that transferred grants had to be transferred to UW-Tacoma directly and only new grants could be initiated through UW-Seattle. In fact, I understand there are two existing faculty members at UW-Tacoma who have recently submitted their new grants through UW-Seattle.

The decision to submit the newly funded K01 grant through UW-Seattle was informed by a number of factors. First, UW-Seattle is familiar with this type of funding mechanism and they have the capacity and experience administering grants of this nature. Second, one of my primary mentors who functions as a Co-PI is a faculty member at UW-Seattle. Third, as you know the grant provides financial assistance for a doctoral student. Since UW-Tacoma does not have a doctoral program in social work, I am currently working with faculty at UW-Seattle to help me identify an appropriate candidate to assist me with my project.

I believe one of the benefits of being on faculty at UW-Tacoma is being able to access resources from the entire UW system/family at large. Plus by having the contract in place at UW-Seattle will mean that they will merely administer it, while UW-Tacoma will be getting the recognition of the award.

Thank you,  
Gillian

[Quoted text hidden]

---

**Diane S. Young** <youngd4@uw.edu>  
To: GILLIAN MARSHALL-FABIEN <geegee@uw.edu>

Thu, Jul 23, 2015 at 3:10 PM

Hi Gillian,

I think it would be best if we met in person to discuss this. Is there a time after Aug. 10 that you will be around? Gabi Crosby (crosbg@uw.edu) can help you find a time that meets both our schedules. I believe you met Gabi, but if not, she is the person at the front desk when you enter the suite.

The main concern I have is that neither Lisa or I knew you were going to submit via UWS. Thus, it took me by surprise and I had to quickly make a decision to approve the grant application or not at the 11<sup>th</sup> hour. I did not want to jeopardize the grant, however, I have now given approval for in kind contributions that UWT will have to make (not UWS) without knowing the extent of the costs. Things like office space and IT support are our responsibility (UWT campus) to provide. As it stands I have committed the program to expenses that I was not forewarned about. We did not have opportunity to discuss these and it was your responsibility to bring these forward to my attention.

Please do schedule a time for us to meet. Thank you,

Diane

**From:** Gillian L. Marshall [mailto:geegee@uw.edu]  
**Sent:** Thursday, July 23, 2015 6:30 AM  
**To:** Diane S. Young  
**Cc:** Lisa A. Isozaki  
**Subject:** Re: Relinquishing Statement

[Quoted text hidden]

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**Gillian L. Marshall** <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>

Mon, Jul 27, 2015 at 2:54 PM

Hi Diane,  
I am happy to meet after August 10th. I will connect with Gabi sometime this week to set something up.

Take care!

App. 0019

Marshall000064



Gillian L. Marshall <geegee@uw.edu>

---

**offer letter**

---

**Diane S. Young** <youngd4@uw.edu>  
To: Gillian Marshall <geegee@uw.edu>

Mon, Jan 5, 2015 at 4:44 PM

Hello Gillian,

Thank you for your email. I want to be clear that a search waiver for a spousal hire is not assured and I am not offering to request one for any opportunity that might arise. I am best equipped to do this on the UWT campus where I know other directors. I am willing to consider engaging departments in search waivers sparingly. I do not want to be misleading and I understand that is also important to you. I am also willing to connect your husband with others, outside of the search waiver process, if that is desired (Richard Wilkinson in HR, Dean of the Business School). Let me know if this changes your willingness to accept the offer.

I spoke with Academic HR about the grant you are bringing and your start date. What are the terms of the grant, such as extent of salary if applicable, course releases, etc.? To have you on contract at UWT July 1 we will either need to assign you the title of Acting Assistant Professor (if the grant does not pay salary over the summer) or state that the grant will pay your salary. Academic HR is working on the letter as we speak, but I thought I should try to get more information about the details of the grant. Thank you,

Diane

**From:** Gillian L. Marshall [mailto:geegee@uw.edu]  
**Sent:** Monday, January 05, 2015 12:07 PM

[Quoted text hidden]

[Quoted text hidden]

App. 0020

Marshall000013



Gillian L. Marshall <geegee@uw.edu>

---

## NIH Grant Transfer

---

**Terri Simonsen** <hermant@uw.edu>  
To: geegee <geegee@uw.edu>  
Cc: "Diane S. Young" <youngd4@uw.edu>

Tue, Jan 20, 2015 at 4:29 PM

Hello Gillian,

Thanks for your patience as I tracked down the necessary information to understand the NIH grant transfer process. UWT's Finance Office, Grants Coordinator has advised me to inform you of the following information.

- First, an Acting Assistant Professor appointment for you must be entered into our payroll system. Minimally, we can do this with your social security number and your legal full name. This appointment will be inactive, but will allow us to begin the electronic grant review process (eGC1 process).
- Please send us award documentation from NIH to include a copy of the NIH proposal that was submitted and awarded, start and end dates for the UWT portion and a budget for the remaining funds to be transferred to UWT.

Once we have this information, the UWT Grants Coordinator can begin to enter your NIH info into the eGC1 system. Electronic versions of the documents above would be preferred.

If you have additional questions, please let me know. Thanks so much.

Terri

---

Terri Simonsen  
UW Tacoma Social Work Program  
Program Administrator  
1900 Commerce Street  
Box# 358425  
Tacoma, WA 98402-3100

App. 0021

Program Administrator  
1900 Commerce Street  
Box# 358425  
Tacoma, WA 98402-3100  
Phone: 253-692-5822  
Fax: 253-692-5825  
TDD: 253-692-4413

---

**From:** Gillian L. Marshall [mailto:geegee@uw.edu]  
**Sent:** Thursday, February 12, 2015 4:39 AM

[Quoted text hidden]

[Quoted text hidden]

---

**Diane S. Young** <youngd4@uw.edu>  
**To:** geegee <geegee@uw.edu>  
**Cc:** Terri Simonsen <hermant@uw.edu>

Fri, Feb 13, 2015 at 2:36 PM

Hello Gillian,

I am forwarding this email to you again, and will send on another in a minute, to remind you what we need before we can do much else, including connecting you with the grant folks here. We need the background check to be cleared. I think Terri said you have conveyed that it is on its way, so that will hopefully be taken care of soon. In addition, we need to get the payroll docs under way so that you can be entered initially into the system by the grants person (that is Leo). The post award person will be someone else, and again we can connect you once we get these other pieces in place.

Thank you,

Diane

---

**From:** Terri Simonsen  
**Sent:** Tuesday, January 20, 2015 1:01 PM  
**To:** geegee  
**Subject:** UW Tacoma Appointment New Hire Paperwork

[Quoted text hidden]

---

2 attachments

 UW\_biography.docx  
39K



App. 0022

Marshall000020



Gillian L. Marshall <geegee@uw.edu>

---

## teaching for next year

---

Gillian L. Marshall <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>

Wed, Feb 4, 2015 at 9:54 AM

Hi Diane,

Oh yes you did mention living in Syracuse so I guess you understand the snow and low temperatures. :)

Thank you for passing the grant along to your Grants Coordinator (Leo). Will he be my post-award contact person? The PI of the R01 and the program officer have both been notified about my move. The program officer has requested that we (I and the R01 PI) write a plan explaining how this move will not affect the completion of the project or proposed publications from it.

I think that's a great idea to chat by phone in regards to the teaching. Mondays & Tuesday are best for me. Any time between 9-12pm PST on either day works well for me.

Thanks for working with me on this and I look forward to speaking with you next week.

G

[Quoted text hidden]



Gillian L. Marshall <geegee@uw.edu>

---

## Teaching and Travel

---

Gillian L. Marshall <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>

Thu, Feb 12, 2015 at 12:36 PM

Hi Diane,  
When you can confirm that I will be teaching Intro to Social Work and HBSE it would be great if you could send copies of the syllabi. Thanks for also addressing my questions regarding travel funds to look for housing.

I believe in a previous email I enquired who would be managing my post award grant. Would that be Leo?

Thanks!

G

[Quoted text hidden]

Diversity Training Branch  
National Cancer Institute (NCI)  
Center to Reduce Cancer Health Disparities  
9609 Medical Center Dr.  
Bethesda, MD 20892

March 20, 2015

Dear Program Manager,

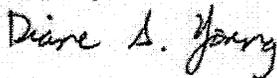
I am writing to confirm that Dr. Gillian Marshall has accepted an appointment as Acting Assistant Professor at the University of Washington Tacoma (UWT) to begin June 1, 2015. She will be subsequently appointed as an Assistant Professor effective September 16, 2015. The initial appointment of Assistant Professor is for a period of three years. This is a tenure track position in the Social Work Program.

It is my understanding that Dr. Marshall will finish her work on the NIH Grant, R01-5R01CA098966-09, Health Care Partners in Cancer Prevention and Care among the Aged, while at UWT. During summer 2015 (June to mid-September), Dr. Marshall will have no unit or campus-related teaching or service responsibilities. According to the terms of the grant, she will be released 50% of time from teaching and service responsibilities during autumn quarter 2015 (mid-September through December) which includes one course release. Typical teaching load is two courses per academic year quarter.

The grant will be administered by Lisa Isozaki, Research Administrator in the UWT Office of Research in close collaboration with Terri Simonsen, Program Administrator for the UWT Social Work Program. Ms. Isozaki has over 15 years of research administration experience working with all levels of an organization on pre and post award fiscal, compliance, and grants management issues. Specifically, she has been at the University of WA for the last 6 years and has a high level of understanding of all University specific Grant Information Memorandums (GIMs) and is highly experienced with using University systems and following processes that are in place to meet the terms and conditions of this NIH award. Ms. Isozaki will work closely with Ms. Simonsen on specific transactions that are associated with Dr. Marshall's project (travel, procurement, HR and payroll issues) to ensure that program specific processes are being followed as they relate to project needs.

Please contact me if you need further information.

Sincerely,



Diane S. Young, Ph.D.  
Director, Social Work Program  
University of Washington Tacoma  
Box 358425  
1900 Commerce St.  
Tacoma, WA 98402  
(253)692-4703

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From the Puget Sound Business Journal:

<https://www.bizjournals.com/seattle/blog/health-care-inc/2016/04/uw-professor-wins-654-000-nih-grant-to-study-link.html>

## UW professor wins \$654,000 NIH grant to study link between recession-related financial hardships and health

Apr 25, 2016 11:03am PDT

Gillian Marshall, an assistant professor of social work at the **University of Washington**, Tacoma wants to know what role the economic stress of the Great Recession had on older people's physical and mental health.

She has received a five-year, \$654,000 grant from the **National Institutes of Health** to study just that.

As a gerontologist, Marshall's research to date has primarily been around looking at different types of stressors that impact older adults. After the 2008 recession, she wondered about financial stress on older people and what impact that may have had on their health, she said in a **Q&A published by the UW**.

Because the only research being done has been by economists, she wanted to find a way to close the information gap.

"They weren't really focused on any physical or mental health issues," she said in the UW post. "We know there's an association between stress and mental health, like depression and anxiety. But we really don't know much about the financial piece."

Marshall's research will not be solely focussed around the recession, but that is a question she is asking. More broadly, her research is about finding associations between stressful life events, like job loss, a recession and overall stress related to finances, and how that impacts mental and physical health.

While Marshall's primary focus is older people, she will also examine some middle-age adults, she said. However, she is most interested in what is happening with the older adults because they are not able to recoup money as quickly as younger people could.



BY JORDAN CASE/WESTERN MIDDLE UNIVERSITY  
Gillian Marshall, an assistant professor of social work at the University of Washington Tacoma received \$654,000 to study the association between financial hardships, like the Great Recession, and health.

"It's not like older people can just go out and get a job and recoup some of the money they lost," she said. "It is rare that employers are willing to hire people in their 70s; let's be honest."

**Coral Garnick**  
Staff Writer  
*Puget Sound Business Journal*





## Faculty Update: Marshall to Study Financial Strain with NIH Grant

Social Work Assistant Professor Gillian L. Marshall has received a prestigious five-year NIH Mentored Research Scientist Career Development Award to study financial strain in older adults.

Social Work Assistant Professor Gillian Marshall has been awarded a five-year grant from the National Institute on Aging to study the relationship between financial strain, stressful life events, and adverse mental and physical health outcomes among the older adult population. Dr. Marshall's primary area of scholarship is the intersection of aging, stress, mental health and health disparities. Specifically, she is interested in these effects among older women and African Americans because other published studies show that older women and minorities experience a disproportionate amount of financial strain.



*Dr. Gillian Marshall. Photo by Steve Zorc, Case Western Reserve University. Used with permission.*

The grant, for more than \$600,000 over five years, is a prestigious Mentored Research Scientist Career Development Award, also known as a "K01" award. Dr. Marshall is the first faculty member at UW Tacoma to be awarded this funding mechanism. The National Institutes of Health (NIH), of which the National Institute on Aging is a part, created the grant program to expand the pipeline of scientists moving through the earliest stages of their careers into the roles of fully independent researchers.

Over the next 5 years Dr. Marshall will receive training, professional development and mentorship to analyze nationally representative data of individuals aged 50 years and over. "I hope that the result of my work improves the health outcomes for all older adults," said Dr. Marshall.

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**SECTION:** [News](#)[3]

**WRITTEN BY:** John Burkhardt / January 20, 2016

**MEDIA CONTACT:**

John Burkhardt, UW Tacoma Communications, 253-692-4536 or [johnbjr@uw.edu](mailto:johnbjr@uw.edu)[4]

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8. faculty => <http://www.tacoma.uw.edu/news/news-archive?tag%5B%5D=1591>
9. National Institutes of Health => <http://www.tacoma.uw.edu/news/news-archive?tag%5B%5D=1919>

April 18, 2016

## UW to study link between recession-related stress and health in older Americans

Deborah Bach

News and Information

The Great Recession devastated millions of Americans financially — but what impacts did that economic stress have on their physical and mental well-being? [Gillian Marshall](#), an assistant professor of social work at the University of Washington Tacoma, wants to answer that question.



Gillian Marshall *Steve Zorc / Mandel School/CWRU*

Marshall was awarded a five-year, \$654,000 grant from the National Institutes of Health to study the link between financial hardship and health. She is the first faculty member at UW Tacoma to receive an NIH [Mentored Research Scientist Career Development Award](#). Marshall recently sat down for an interview with UW Today to answer a few questions about her project.

### Why did you want to undertake this project?

My research has primarily been around looking at different types of stressors that impact older adults. With the 2008 recession, I began to wonder what financial stressors older people are experiencing and how are those impacting their health? Most people that were writing about this were in the economics field. They weren't really focused on any physical or mental health issues, so I thought this would be a nice way to close that gap in the research. We know there's an association between stress and mental health, like depression and anxiety. But we really don't know much about the financial piece.

### What questions are you hoping to answer through this work?

The main question is, what is the association between stressful life events, like a job loss, any sort of life event — a recession, for example — and overall stress related to finances? How does that impact our mental and physical health? A review of the literature suggests that it doesn't really show up instantly. It takes time. So this longitudinal dataset allows me to look at this relationship over time. Once we have identified the mechanisms involved, then the next phase will be, at what point and how do we intervene?

**What data will you be looking at?** I'm using the Health and Retirement Study. It's a national representative dataset that collects information about people's income, health insurance and costs, physical health and other indicators. The study has been collecting data on persons age 50 years and over since 1992. They collect biannually, every two years, so I will have about seven waves of data to look at, which is very exciting.

**The recession ended years ago. Is there reason to think that the negative health impacts it led to are ongoing for some folks?**

Well, there are two ways to think about this. Some have found that recessions are good for your health, meaning that when we look at groups of people, mortality rates decline when there is a recession. An alternative viewpoint is that common events that occur during recessions, such as job loss, unemployment and financial hardship lead to poor health outcomes.

I think the recession isn't over. There are still a lot of residual impacts, and the effects of the recession, we're still seeing some of those things. Using the data, I can look at some of these associations over time and look at how people are faring after the recession. I suspect that I'm going to see there are still some challenges. We're dealing with a population that people assume is financially secure, when in reality, even if you were well-off, this recession was unique in that it was sudden and it impacted even a lot of wealthy people that had money tied up in the stock market.

It affected people regardless of socioeconomic status, which is what makes this situation so unique. And it's not like older people can just go out and get a job and recoup some of the money they lost. It is rare that employers are willing to hire people in their 70s; let's be honest. Among professionals, we see that they stayed in the job market longer. I have a colleague who is almost 80 and he was planning on retiring, and he said he couldn't. When he read my grant proposal, he said, "You're talking about me. I have to stay in the job market."

**Your project has a particular focus on the impact of the recession on older Americans. Why are you interested in this population?**

I'm a gerontologist, so my population of interest has always been older people. Although I position myself primarily as a gerontologist who also looks at health disparities, this study also allows me to examine middle-age adults before they enter late life. I'm sure this is also happening among

younger populations in their 20s and 30s, but I'm most interested in what's happening with this population, particularly because they're not able to recoup money as quickly as a younger group could.

**Your project will look at how financial strain impacts mental and physical health differently by race and gender. Do you anticipate that you'll see differences along race and gender lines?**

I think I might. Based upon my preliminary data, financial strain strongly predicts poor mental health and physical health conditions for at-risk groups, such as older Americans, African American women and Latina women. Older African Americans and women, for example, are particularly vulnerable to developing poor health outcomes and may be more likely than whites and men to suffer poor consequences as a result of changes in economic conditions, such as a recession. But because this recession was so sudden and it impacted people regardless of socioeconomic status, we just don't know.

**You'll also be looking at the role social networks play in mental and physical health. Can you tell me a little about that?**

What I mean by social networks is how much social support you have. Literature says older African Americans tend to have a lot more social support through church, family, et cetera. But there's a phenomenon known as negative social support — if you're continuing to ask for assistance and money, maybe it's straining this relationship, and therefore you have a negative social support system. So the person is still part of your social support network, but there's tension now. I will be looking to see if that social support is really going to alleviate some of that stress, or instead compound the stress.

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Tag(s): Gillian Marshall • UW Tacoma



Gillian L. Marshall <geegee@uw.edu>

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## heard on your K01 grant?

14 messages

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**Diane S. Young** <youngd4@uw.edu>  
To: GILLIAN MARSHALL-FABIEN <geegee@uw.edu>

Mon, Jun 22, 2015 at 5:11 PM

Hello Gillian,

I hope you are well and that your summer is going well. I am emailing to ask whether you've heard on the K01 grant application you mentioned you had put in? I would appreciate your keeping me informed about the status because I suspect the award would have significant course release in it. I will want to have this on my radar as early as possible. I am hoping good things for you in the grant process!

Diane

Diane S. Young, Ph.D., MSW  
Director, Social Work Program  
University of Washington Tacoma  
Box 358425  
1900 Commerce St., WCG 203A  
Tacoma, WA 98402  
253.892.4703

---

**Gillian L. Marshall** <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>

Wed, Jun 24, 2015 at 12:50 PM

Hi Diane

Nice to hear from you. My summer has been very busy and is going well. In regards to your question about the "K" it looks like it will be funded which would mean a 75% course release. I think it would be a good idea to set up some time to chat about what that will look like for the upcoming academic year.

Hope all is well with you!

G

[Quoted text hidden]

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**Diane S. Young** <youngd4@uw.edu>  
To: GILLIAN MARSHALL-FABIEN <geegee@uw.edu>

Wed, Jun 24, 2015 at 1:00 PM

Hi Gillian,

App. 0033

Marshall000056



Gillian L. Marshall <geegee@uw.edu>

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## K award

3 messages

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**Diane S. Young** <youngd4@uw.edu>  
To: GILLIAN MARSHALL-FABIEN <geegee@uw.edu>  
Cc: "Lisa A. Isozaki" <lisozaki@uw.edu>

Fri, Jul 10, 2015 at 4:07 PM

Hello Gillian,

I've realized that I cannot move ahead to make alternate plans for your courses this year without confirmed information related to the grant and UW involvement. The University will need to be brought into this and because you are now a UW employee, I think this is the way to go. I've connected with Lisa Isozaki and she will be reaching out to you to see what can be done to assist. Thank you,

Diane

Diane S. Young, Ph.D., MSW  
Director, Social Work Program  
University of Washington Tacoma  
Box 358425  
1900 Commerce St., WCG 203A  
Tacoma, WA 98402  
253.692.4703

---

**Gillian L. Marshall** <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>  
Cc: "Lisa A. Isozaki" <lisozaki@uw.edu>

Fri, Jul 10, 2015 at 4:20 PM

Hello Diane,  
Thanks for your email. As I stated during our conversation last week, nothing will be confirmed until the notice of award is issued which can take several months. I will let you know when I receive it. I understand if you are not able to move forward until then.

Thank you!  
Gillian  
[Quoted text hidden]

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**Gillian L. Marshall** <geegee@uw.edu>  
To: JillMar87@yahoo.com

Sun, Nov 26, 2017 at 4:50 PM

App. 0034

Marshall000060

[Quoted text hidden]

---

**Lisa A. Isozaki** <lisozaki@uw.edu>  
To: GILLIAN MARSHALL-FABIEN <geegee@uw.edu>

Tue, Jul 14, 2015 at 1:28 PM

Well, the subaward is now at the University (which is considered a new award; not necessarily a transfer), so based on UW policy, you need to take the FCOI training as a UW PI and employee. Please go ahead and take the training and then OSP can move forward with booking your award and budget.

Yes, Friday morning at 9:30 sounds good. Do you want to meet in person or just chat over the phone?

---

**From:** Gillian L. Marshall <geegee@uw.edu>  
**Sent:** Tuesday, July 14, 2015 10:09 AM

[Quoted text hidden]

[Quoted text hidden]

App.0035

**Marshall001496**



Gillian L. Marshall <geegee@uw.edu>

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## Relinquishing Statement

8 messages

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**Gillian L. Marshall** <geegee@uw.edu> Tue, Jul 21, 2015 at 5:19 PM  
To: "Lisa A. Isozaki" <lisozaki@uw.edu>, "Diane S. Young" <youngd4@uw.edu>

Hi Lisa,

It was nice chatting with you the other day to gain clarity around the details of the supplement.

On another note, I finally received a signed copy of the relinquishing statement from Case which allows the UW to move forward and this has now been initiated through the School of Social Work Seattle campus as a new grant.

Thanks!  
Gillian

---

**Lisa A. Isozaki** <lisozaki@uw.edu> Wed, Jul 22, 2015 at 5:38 PM  
To: GILLIAN MARSHALL-FABIEN <geegee@uw.edu>  
Cc: "Diane S. Young" <youngd4@uw.edu>

Hi Gillian,

That is good news; however, I am surprised that the new K-award is being initiated though the School of Social work program in Seattle. Why is this? Isn't your faculty appointment tied to the Social Work program in Tacoma?

Lisa

---

**From:** Gillian L. Marshall <geegee@uw.edu>  
**Sent:** Tuesday, July 21, 2015 2:19 PM  
**To:** Lisa A. Isozaki; Diane S. Young  
**Subject:** Relinquishing Statement

[Quoted text hidden]

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**Diane S. Young** <youngd4@uw.edu> Wed, Jul 22, 2015 at 6:10 PM  
To: GILLIAN MARSHALL-FABIEN <geegee@uw.edu>  
Cc: "Lisa A. Isozaki" <lisozaki@uw.edu>

Hi Gillian,

I too was surprised to learn that the grant was submitted via UWS. When we spoke earlier in the summer, I had mentioned that new grants should go through UWT. When grants go through UWS it is

App. 0036

Marshall000062

most often because the UWT faculty member on the grant is working with a faculty member from UWS who also is a co-PI or the PI.

When I asked Cy Talebi why the grant was put in through UWS he said that you had mentors there and that Taryn, one of your mentors, directed you to Cy for help with this. You did not mention to me or to Lisa that you intended to put the grant in through UWS. I had assumed this grant would be initiated at UWT and that is why I was concerned that you connect with Lisa as soon as possible. Submitting via Seattle without discussing this with me concerns me given that your appointment is to UWT.

Diane

**From:** Lisa A. Isozaki  
**Sent:** Wednesday, July 22, 2015 2:38 PM  
**To:** GILLIAN MARSHALL-FABIEN  
**Cc:** Diane S. Young  
**Subject:** Re: Relinquishing Statement

[Quoted text hidden]

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Gillian L. Marshall <gaegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>  
Cc: "Lisa A. Isozaki" <lisozaki@uw.edu>

Thu, Jul 23, 2015 at 9:30 AM

Hi Diane,

There appears to be a lot of miscommunication. During my interview when I mentioned I was bringing grant funding with me, I was told on a number of occasions that there is an agreement between UW-Tacoma and UW-Seattle where by grants (regardless of whether faculty at UW-Tacoma are working with a PI or Co-PI with some at UW-Seattle) can be submitted through UW-Seattle for both campuses. I believe this was established when David Takeuchi, former Associate Dean for Research was at the Seattle campus and this agreement still stands today.

Per my notes from our conversation a few weeks ago, I do not recall that you mentioned all new grants must go through UW-Tacoma. What I do recall however, is that earlier this year when I was in the process of transferring my Diversity Supplement (awarded by the National Cancer Institute), from Case Western Reserve University to the UW-Seattle, you stated that transferred grants had to be transferred to UW-Tacoma directly and only new grants could be initiated through UW-Seattle. In fact, I understand there are two existing faculty members at UW-Tacoma who have recently submitted their new grants through UW-Seattle.

The decision to submit the newly funded K01 grant through UW-Seattle was informed by a number of factors. First, UW-Seattle is familiar with this type of funding mechanism and they have the capacity and experience administering grants of this nature. Second, one of my primary mentors who functions as a Co-PI is a faculty member at UW-Seattle. Third, as you know the grant provides financial assistance for a doctoral student. Since UW-Tacoma does not have a doctoral program in social work, I am currently working with faculty at UW-Seattle to help me identify an appropriate candidate to assist me with my project.

I believe one of the benefits of being on faculty at UW-Tacoma is being able to access resources from the entire UW system/family at large. Plus by having the contract in place at UW-Seattle will mean that they will merely administer it, while UW-Tacoma will be getting the recognition of the award.

Thank you,  
Gillian

(Quoted text hidden)

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**Diane S. Young** <youngd4@uw.edu>  
To: GILLIAN MARSHALL-FABIEN <geegee@uw.edu>

Thu, Jul 23, 2015 at 3:10 PM

Hi Gillian,

I think it would be best if we met in person to discuss this. Is there a time after Aug. 10 that you will be around? Gabi Crosby (crosbg@uw.edu) can help you find a time that meets both our schedules. I believe you met Gabi, but if not, she is the person at the front desk when you enter the suite.

The main concern I have is that neither Lisa or I knew you were going to submit via UWS. Thus, it took me by surprise and I had to quickly make a decision to approve the grant application or not at the 11<sup>th</sup> hour. I did not want to jeopardize the grant, however, I have now given approval for in kind contributions that UWT will have to make (not UWS) without knowing the extent of the costs. Things like office space and IT support are our responsibility (UWT campus) to provide. As it stands I have committed the program to expenses that I was not forewarned about. We did not have opportunity to discuss these and it was your responsibility to bring these forward to my attention.

Please do schedule a time for us to meet. Thank you,

Diane

**From:** Gillian L. Marshall [mailto:geegee@uw.edu]  
**Sent:** Thursday, July 23, 2015 6:30 AM  
**To:** Diane S. Young  
**Cc:** Lisa A. Isozaki  
**Subject:** Re: Relinquishing Statement

(Quoted text hidden)

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**Gillian L. Marshall** <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>

Mon, Jul 27, 2015 at 2:54 PM

Hi Diane,  
I am happy to meet after August 10th. I will connect with Gabi sometime this week to set something up.

Take care!

App. 0038

Marshall000064

Gillian

[Quoted text hidden]

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Gillian L. Marshall <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>

Mon, Sep 14, 2015 at 10:17 AM

Good Morning Diane,

I would like to begin by stating that I truly appreciate you taking time out of your busy schedule to talk with me last Tuesday. This is a follow up email to our conversation and its purpose is to confirm what was discussed to prevent any miscommunication.

As we discussed,

- Grant submission: My understanding from yourself and other faculty during my interview is that there is an agreement between UW-Tacoma and UW-Seattle campuses whereby grants can be submitted through UW-Seattle for both campuses. This said, I am not sure why, but there seems to be some tension around the K01 grant, me working directly with UW Seattle for the grant's administration.
- Teaching: Based on a 6 course teaching load, a 75% course release would equate to a 1.5 teaching load a year. With a buyout from the diversity supplement grant and 1 additional buyout offered as new faculty member, this would leave me with a 0 course load for the 2015-2016 academic year. It is my firm desire to meet [or exceed] the expectations of me as a scholar (both a teacher and researcher) therefore I am committed to teaching at least 1 course a year to stay connected to the students and my colleagues. We agreed that I would teach 1 course a year for the next 3 years. We also agreed that I will not have a teaching assignment for fall 2015 (HBSEI) and would be happy to teach Introduction to Social Work during winter quarter 2016.
- Meetings: I have also prioritized the "two primary meetings": 1) social work degree committee; and 2) social work program meeting and will be in attendance for those Friday afternoon meetings.
- Space: Upon review of the original document, the office space of 750sq feet written into the grant was unfortunately a typographical error and should have read 75sq feet. The 124sq foot office space provided at UW-T is reasonable for the expected functions of the grant.

By sharing this with you, I hope that future communication will lead to more positive interactions as I look forward to adding value to an already talented group of faculty and staff at the University of Washington.

Best,  
Gillian

[Quoted text hidden]

Gillian L. Marshall, MSW, PhD  
Assistant Professor  
University of Washington  
Social Work Program  
1900 Commerce Box 358425  
Tacoma, WA 98402

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Gillian L. Marshall <geegee@uw.edu>  
To: JillMar87@yahoo.com

Sun, Nov 26, 2017 at 4:48 PM



Gillian L. Marshall <geegee@uw.edu>

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**FW: followup from our research meeting with UWS on Dec. 9**

12 messages

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Diane S. Young <youngd4@uw.edu>

Mon, Jan 4, 2016 at 3:23 PM

To: Charles Emiet <caemiet@uw.edu>, ERIN CASEY <ercasey@uw.edu>, GILLIAN MARSHALL <geegee@uw.edu>, Eric Madfis <emadfis@uw.edu>

Hi Charley, Erin, Eric, and Gillian,

Because you both have done/do grant activity with the SSW I wanted to let you know that SSW and I, along with the VCAA, Research and Finance Offices at UWT have been attempting to clarify our relationship with SSW related to grant activity. We are considering adding the below paragraph to the bi-campus agreement that we have. If you have thoughts about this, please let me know.

The UW Tacoma campus would like to find a way to build up our research infrastructure while providing sufficient support to faculty members involved in grant activity. Without research activity going through UW Tacoma research processes/offices, it is tough to make the case this is needed. In our case, for grants awarded and submitted via UWS-SSW, UW Tacoma only receives indirect cost recovery for our faculty member's time if a sub-contract has been created.

I welcome your thoughts and feedback on this specific text (below). If you want to reply to all to engage each other in this discussion, I also welcome that. Thank you.

Diane

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**From:** Diane S. Young

**Sent:** Friday, December 18, 2015 10:54 AM

**To:** Bill Kunz; Joel E. Baker; Lisa A. Isozaki; Terri Simonsen; Jan Rutledge; Leo V. Agulling

**Subject:** followup from our research meeting with UWS on Dec. 9

Hi all,

You may recall that at the meeting with research folks from the UWS School of Social Work (SSW), we talked about adding written language to the Bi-campus agreement that the UWT Social Work Program has with the SSW. This written agreement would help clarify roles related to research support and grant coordination. Would you consider the text below and see if you think it is accurate, acceptable and helpful in trying to do this? I am very open to suggested changes.

“Support of Faculty Research and Grants Coordination

The Director of the Tacoma program is responsible for supporting the research of Tacoma faculty. The UW Tacoma faculty member is responsible for coordinating with the UWT Offices

of Research and Finance, which assist with preparing and submitting proposals and managing awards after they are received. The Associate Dean for Research (Seattle), in coordination with the Research Development Office (Seattle), will collaborate in both the submission and post-award phases of research projects by consulting with the Director of the Tacoma Program and/or UWT faculty on matters related to preparing budgets, developing content for proposals, or addressing human-subjects and IRB considerations. Grants led by UWT faculty will be administered by the UWT Social Work Program and UWT Office of Research unless otherwise arranged and approved by the Director of the Tacoma Program."

Thank you for your assistance. I appreciate, in advance, your weighing in. The UWT VCAA and the Dean at the SSW will have sign-off authority in the end.

Diane

Diane S. Young, Ph.D., MSW  
Director, Social Work Program  
University of Washington Tacoma  
Box 358425  
1900 Commerce St., WCG 203A  
Tacoma, WA 98402  
253.692.4703

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**Gillian L. Marshall** <geegee@uw.edu>  
To: "Karina L. Walters" <kw5@uw.edu>

Mon, Jan 4, 2016 at 3:28 PM

FYI...Gillian  
[Quoted text hidden]

Gillian L. Marshall, MSW, PhD  
Assistant Professor  
University of Washington  
Social Work Program  
1900 Commerce Box 358425  
Tacoma, WA 98402

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**Charles Emlet** <caemlet@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>, ERIN CASEY <ercasey@uw.edu>, GILLIAN MARSHALL <geegee@uw.edu>, Eric Madfis <emadfis@uw.edu>

Mon, Jan 4, 2016 at 3:42 PM

Hi Diane. So a couple thoughts. 1) What does "grants led by" mean? My interpretation is that the UWT faculty person would be the PI? I think that "led by" is perhaps vague and needs to be better defined.

2) As I read this, it seems that any new grant proposals, unless approved in advance must go through UWT as opposed to the SSW is that correct? If SSW faculty are an integral part of the grant, say a Co-PI does that matter or make a difference? 3) Sounds like it does not change things at all if you are "on" a SSW grant but not the PI nor submitting it, correct?

CAE

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Charles A. Emllet, Ph.D., ACSW  
Professor  
University of Washington, Tacoma  
1900 Commerce St., Campus Box 358425  
Tacoma, WA 98402-5825  
Phone: 253.692.5827  
Fax: 253.692.5825  
caemlet@u.washington.edu  
<http://www.tacoma.washington.edu/social/>

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**From:** Diane S. Young  
**Sent:** Monday, January 04, 2016 12:24 PM  
**To:** Charles Emllet; ERIN CASEY; GILLIAN MARSHALL; Eric Madfis  
**Subject:** FW: followup from our research meeting with UWS on Dec. 9

[Quoted text hidden]

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Diane S. Young <youngd4@uw.edu> Wed, Jan 6, 2016 at 3:41 PM  
To: Charles Emllet <caemlet@uw.edu>, ERIN CASEY <ercasey@uw.edu>, GILLIAN MARSHALL <geegee@uw.edu>, Eric Madfis <emadfis@uw.edu>

Hi,

Charley, thank you for your questions and comments. This text/policy really isn't finalized and I do want to carefully think through concerns. I know grant writing/getting is very difficult and I don't want to make something harder. At the same time, I'd like our program and UWT to get recognition and indirect cost recovery for the work our faculty do.

As to your comments:

- 1) I think by "led by" I mean that a UW Tacoma faculty member is the PI or the definite lead on a grant, in terms of key driver for the grant and in time contributed if awarded.
- 2) If a UW Tacoma faculty member is a co-PI or has some subset of a grant with someone at UWS (and is not the lead), then we would seek to do a sub-contract with the SSW to cover our faculty member's portion/work on the grant. This is similar to the arrangement we have now for some of your work with the SSW. Let's say the work really feels equally shared between two co-PIs, one here and one at SSW. In that case, and given UWS's familiarity with grant work, it would make sense to me to have the grant go through UWS and we would do a sub-contract for our faculty member's time/effort.
- 3) I don't think it changes things if one of our faculty members is "on" a grant but not leading/submitting except that we are now requiring our faculty members to submit a form to me in advance so that I know this is coming. We distributed this form at the program retreat at the beginning of the year and it is attached again for reference. This form needs to be submitted for all types of grants, even those falling under the above scenarios. This new form applies even without adding the text below to our bi-campus agreement.

I really do appreciate your thoughts/comments on this and welcome others.

Diane

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**From:** Charles Emlet

**Sent:** Monday, January 04, 2016 12:42 PM

**To:** Diane S. Young; ERIN CASEY; GILLIAN MARSHALL; Eric Madfis

**Subject:** RE: followup from our research meeting with UWS on Dec. 9

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 External Funding Faculty Form.pdf  
76K

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ERIN CASEY <ercasey@uw.edu>

Wed, Jan 6, 2016 at 5:27 PM

To: "Diane S. Young" <youngd4@uw.edu>, Charles Emlet <caemlet@uw.edu>, GILLIAN MARSHALL <geegee@uw.edu>, Eric Madfis <emadfis@uw.edu>

Hi Diane and all,

Thanks for looping us into this conversation, and for your thoughtful approach to crafting policy moving forward. I agree that bolstering the the research support infrastructure at UWT is incredibly important and that this necessitates building the number of grants that flow through this campus. I also think it makes really good sense to more solidly institutionalize an advance conversation with you and with the Office of Research prior to grant submission, to really explore options and identify the nuances that come with any particular grant mechanism.

I think the one thing I would advocate for, if at all possible, is to maintain the option for UWT faculty to submit through the SSW as a PI when there are SSW faculty also listed on the grant. From an individual faculty member's perspective - this is still sometimes perhaps the least cumbersome approach within that hugely overwhelming endeavor of writing and submitting a grant. Perhaps this could be one option on the table, and accessed only after conversation with you and the Office of Research.

Those are my two cents. Happy to talk more if at all useful.

Thanks much,

Erin

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Erin Casey  
Associate Professor  
University of Washington, Tacoma  
Social Work Program  
Phone: 253.692.4524  
1900 Commerce Box 358425  
Tacoma, WA 98402

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**From:** Diane S. Young  
**Sent:** Wednesday, January 6, 2016 12:41 PM  
**To:** Charles Emllet; ERIN CASEY; GILLIAN MARSHALL; Eric Madfis

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**Charles Emllet** <caemlet@uw.edu> Wed, Jan 6, 2016 at 7:48 PM  
**To:** ERIN CASEY <ercasey@uw.edu>, "Diane S. Young" <youngd4@uw.edu>, GILLIAN MARSHALL <geegee@uw.edu>, Eric Madfis <emadfis@uw.edu>

Thanks for your thoughts Erin. I tend to agree with you. It is one thing if it is perhaps a solo grant but if SSW faculty are involved (paid on the grant) and it increases the potential for funding, make sense to me. I support this position.

CAE

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Charles A. Emllet, Ph.D., ACSW  
Professor

University of Washington, Tacoma  
1900 Commerce St., Campus Box 358425  
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Phone: 253.692.5827  
Fax: 253.692.5825  
caemlet@u.washington.edu  
<http://www.tacoma.washington.edu/social/>

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**From:** ERIN CASEY <ercasey@uw.edu>  
**Date:** Wednesday, January 6, 2016 2:27 PM  
**To:** "Diane S. Young" <youngd4@uw.edu>, Charles Emllet <caemlet@uw.edu>, GILLIAN MARSHALL <geegee@uw.edu>, Eric Madfis <emadfis@uw.edu>  
**Subject:** Re: followup from our research meeting with UWS on Dec. 9

[Quoted text hidden]

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The Director of the Tacoma program is responsible for supporting the research of Tacoma faculty. The UW Tacoma faculty member is responsible for coordinating with the UWT Offices of Research and Finance, which assist with preparing and submitting proposals and managing awards after they are received. The Associate Dean for Research (Seattle), in coordination with the Research Development Office (Seattle), will collaborate in both the submission and post-award phases of research projects by consulting with the Director of the Tacoma Program and/or UWT faculty on matters related to preparing budgets, developing content for proposals, or addressing human-subjects and IRB considerations. Grants led by UWT faculty will be administered by the UWT Social Work Program and UWT Office of Research unless otherwise arranged and approved by the Director of the Tacoma Program."

Thank you for your assistance. I appreciate, in advance, your weighing in. The UWT VCAA and the Dean at the SSW will have sign-off authority in the end.  
Diane

Diane S. Young, Ph.D., MSW  
Director, Social Work Program  
University of Washington Tacoma  
Box 358425  
1900 Commerce St., WCG 203A  
Tacoma, WA 98402  
253.692.4703

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Diane S. Young <youngd4@uw.edu> Tue, Feb 2, 2016 at 5:09 PM  
To: Charles Emllet <caemlet@uw.edu>, ERIN CASEY <ercasey@uw.edu>, GILLIAN MARSHALL <geegee@uw.edu>, Eric Madfis <emadfis@uw.edu>

Hi all,

Just a quick follow up to let you know where this is at. Melissa would like to do more exploration about how post-award support works (or not) on our campus and so would like to hold off on finalizing the wording for our bi-campus agreement for now. I think this caution is really good because she initially wanted stronger wording than our starting place. Individuals have spoken with her about the challenges of post-award support on our campus and so she is doing some exploring of her own. I'll keep you posted.

Diane

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**From:** Charles Emlet  
**Sent:** Wednesday, January 06, 2016 4:48 PM  
**To:** ERIN CASEY; Diane S. Young; GILLIAN MARSHALL; Eric Madfis

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**Diane S. Young** <youngd4@uw.edu> Thu, Mar 31, 2016 at 2:11 PM  
To: Charles Emlet <caemiet@uw.edu>, ERIN CASEY <ercasey@uw.edu>, GILLIAN MARSHALL <geegee@uw.edu>, Eric Madfis <emadfis@uw.edu>

Hi all,

I wanted to let you know the outcome of this (below). We now have a newly signed and revised bi-campus agreement that includes a paragraph on "Support of faculty research and grants coordination." I have attached it for your reference.

I think you'll see that this paragraph allows us flexibility but does require a conversation with the UWT campus prior to grant submission via UWSSSW. I think it is a good outcome.

Diane

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**From:** Diane S. Young  
**Sent:** Tuesday, February 02, 2016 2:09 PM

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 **bicampus agreement research paragraph 3-24-16.docx**  
14K

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**Gillian L. Marshall** <geegee@uw.edu>  
To: MARIAN HARRIS <mh24@uw.edu>

Thu, Mar 31, 2016 at 8:40 PM

Hi Marian,

I know you are currently engaged in research. I am not sure if you have seen this...G

----- Forwarded message -----

From: **Diane S. Young** <youngd4@uw.edu>

Date: Thu, Mar 31, 2016 at 11:11 AM

Subject: RE: followup from our research meeting with UWS on Dec. 9

[Quoted text hidden]

—  
Gillian L. Marshall, MSW, PhD  
Assistant Professor  
University of Washington  
Social Work Program  
1900 Commerce Box 358425  
Tacoma, WA 98402

 bicampus agreement research paragraph 3-24-16.docx  
14K

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**MARIAN HARRIS** <mth24@uw.edu>  
To: GILLIAN MARSHALL <geegee@uw.edu>

Thu, Mar 31, 2016 at 9:10 PM

Hi Gillian:  
Thanks for this information.  
Marian

Sent from my iPhone

[Quoted text hidden]

<bicampus agreement research paragraph 3-24-16.docx>

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**Charles Emlet** <caemlet@uw.edu>

Thu, Mar 31, 2016 at 11:59 PM

To: "Diane S. Young" <youngd4@uw.edu>, ERIN CASEY <ercasey@uw.edu>, GILLIAN MARSHALL <geegee@uw.edu>, Eric Madfis <emadfis@uw.edu>

Thanks for the heads up Diane.

cae

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Charles A. Emlet, Ph.D., ACSW  
Professor  
University of Washington, Tacoma  
1900 Commerce St., Campus Box 358425  
Tacoma, WA 98402-5825  
Phone: 253.692.5827  
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caemlet@u.washington.edu  
<http://www.tacoma.washington.edu/social/>

**Excerpted from the University of Washington School of Social Work Seattle/Tacoma Bi-Campus Working Agreement (authorized/signed 3-24-16)**

**Support of faculty research and grants coordination**

The Director of the Tacoma program and the UW Tacoma Offices of Research and Finance which assist with preparing and submitting proposals and managing awards after they are received are responsible for supporting the research of Tacoma faculty. The UW Tacoma faculty member is responsible for coordinating with the Director and the UW Tacoma Offices of Research and Finance. Grants led by UW Tacoma faculty will be administered by the UW Tacoma Social Work and Criminal Justice Program and UW Tacoma Offices of Research and Finance unless otherwise arranged and approved by the Director of the Tacoma Program. In those cases where a collaborative approach with the UW Seattle School of Social Work enhances the project, the Associate Dean for Research (Seattle), in coordination with the Research Development Office (Seattle), may collaborate in both the submission and post-award phases of research projects in consultation with the Director of the Tacoma Program and the UW Tacoma faculty member. In those instances where a UW Tacoma faculty member is written into a grant led by a UW Seattle faculty member, a sub-contract will be created to cover the UW Tacoma faculty member's contribution to the project as specified in the grant.

Social Work and Criminal Justice Program External Funding Form

Fill this form out for any project where you are submitting a proposal and requesting funds from outside the Social Work and Criminal Justice Program at UWT.

Date: 8/31/2018

Faculty Name: Gillian Marshall

Title of Grant: Race/ethnicity and financial strain in trajectories of cognitive decline

Principal Investigator on the Grant: Gillian Marshall

Name/s of Principal Collaborators on the grant (other than the PI):

Eva Kahana

Funding Source/Agency: National Institutes of Aging

Dates of Full Grant Period: 6/2019-5/2021

Contact Name and Phone Number for Administrative Purposes (e.g., transferring funds to cover course release):

Percentage of Faculty Release Time During Academic Year (specify if this is per quarter or year and for how many quarters/years): 10% during the academic year and the original K01 will be reduced to % 65 a total of 75% during the academic year.

Percentage of FTE for Summer Salary June 16th – Sep 15th (specify the number of months and summers included):

50% FTE during the summer (2019, 2020)

List any matching or institutional support required in your proposal:

None.

If any new workspace is required to conduct the project, describe:

None.

Indirect Cost Recovery Rate specified in the proposal: 54.5%

If grant not submitted through UWT, explain why:

This proposal will be submitted and if awarded managed in the School of Social Work in Seattle (SSW). The option to submit NIH grant proposals through the SSW was discussed during my interview. The SSW is supportive and have the budget staff and capacity to manage grants of this nature. The budget is still under development and will be attached when completed.

Attach a Budget Outline listing items included in the budget with dollar amounts. Submit Completed Form to Director prior to grant submission.

## Re: New grant proposal

Gillian L Marshall

Tue 9/18/2018 8:35 AM

To: Diane S Young <youngd4@uw.edu>;

Cc: Mark A Pagano <mpagano@uw.edu>; Beth K Louie <bklouie@uw.edu>;

Bcc: SECRETARY OF THE FACULTY <secfac@uw.edu>;

Good Morning Diane,

To answer your last question first, my concerns in submitting the grant through University of Washington, Tacoma (UW-T) and my rationale for submitting grants through University of Washington, Seattle School of Social Work have remained the same. Please refer to the numerous emails and conversations we have had on this issue dated (7/22/2015, 7/23/2015, 9/8/2015, 9/14/2015). As you know, I have filed a formal internal race discrimination, harassment, and retaliation complaint against both you and Tom because both of your actions have worked to subvert and derail my work at UW-T and harm my chances for getting tenure since I arrived. Some of your actions include making up reason after reason for not approving my requests, treating me differently than other faculty based on race, and specifically, you have worked against my efforts to obtain additional external funding (it appears that I am not the first person of color to have been the focus of different treatment by white faculty at UW-T). This matter is being investigated by UCIRO, and I submit that you are not an appropriate person to be making decisions about the grant or about the future of my career. Having said that, I respond to your remaining questions as follows.

**1) What deadline are you working with?**

The original internal deadline for the R21 was September 26<sup>th</sup>. In lieu of recently being awarded the National Institutes of Health (NIH) supplement grant, this may change based on discussions with my mentors. Thank you for sharing the bi-campus agreement. I note that there have been a lot of changes made to this document since my hire.

**2) For year 2 of the proposed grant, what percentage will the faculty release time be? I believe the K01 will be finished at that time.**

The release time for Year 1 will be 10% during the academic year and 50% during the summer and Year 2 will be 25% during the academic and 50% during the summer.

**3) If you would like to submit the grant through the SSW, how will that benefit our Program, its students, and the UW-T campus?**

Benefits to Program and campus. I am not sure how to respond to this question since any grant submitted to NIH, especially if it is funded, benefits the entire UW system. My research includes older adults of color from the greater Puget sound area and across the U.S. I deem this especially relevant given our "urban serving" mission here at UW-Tacoma.

Benefits to students - I am always looking for opportunities to include students in my research which is why I always include funding (full-tuition, stipend, insurance) for a Master's level student in my grant proposals. When I requested work space for the student, you told me that you would need to charge my grant for space. I explained that I could not charge the grant for student work space and on 5/21/2018 your response was "Because Seattle will not do a sub-award for space, the Tacoma campus will not be able to provide work space for a student." Please note, this was not a UW-Seattle decision, it is a NIH policy (see attached link below) and by charging my grant for space would be violating this NIH policy and I could potentially lose my funding.

<https://www.washington.edu/research/policies/gim-13-facilities-and-administrative-fa-rates/>

My mentors and program officers at NIH have been very supportive. I hope that this can move forward without delay.

Thank you!  
Gillian

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**From:** Diane S Young <youngd4@uw.edu>  
**Sent:** Wednesday, September 5, 2018 10:27:53 AM  
**To:** Gillian L Marshall  
**Subject:** RE: New grant proposal

Hello Gillian,  
Thank you for bringing this to my attention.

What deadline are you working with? We have some work to do prior to then if you want to explore submitting this grant through the SSW. I've pasted below the applicable paragraph from the Bi-Campus Agreement between our Program and the SSW. I want to support your research efforts and at the same time, must consider Program needs, costs, and benefits to the whole.

**Excerpted from the University of Washington School of Social Work Seattle/Tacoma Bi-Campus Working Agreement (authorized/signed 3-24-16)**

**"Support of faculty research and grants coordination**

The Director of the Tacoma program and the UW Tacoma Offices of Research and Finance which assist with preparing and submitting proposals and managing awards after they are received are responsible for supporting the research of Tacoma faculty. The UW Tacoma faculty member is responsible for coordinating with the Director and the UW Tacoma Offices of Research and Finance. Grants led by UW Tacoma faculty will be administered by the UW Tacoma Social Work and Criminal Justice Program and UW Tacoma Offices of Research and Finance unless otherwise arranged and approved by the Director of the Tacoma Program. In those cases where a collaborative approach with the UW Seattle School of Social Work enhances the project, the Associate Dean for Research (Seattle), in coordination with the Research Development Office (Seattle), may collaborate in both the submission and post-award phases of research projects in consultation with the Director of the Tacoma Program and the UW Tacoma faculty member. In those instances where a UW Tacoma faculty member is written into a grant led by a UW Seattle faculty member, a sub-budget will be created to cover the UW Tacoma faculty member's contribution to the project as specified in the grant."

When we meet, some questions that I welcome your thoughts on are the following:

- 1) For year 2 of the proposed grant, what percentage will the faculty release time be? I believe the K01 will be finished at that time.
- 2) If you would like to submit the grant through the SSW, how will that benefit our Program, its students, and the UW-T campus?
- 3) What specific concerns do you have about submitting the grant through UW-T? What might address those concerns? Alternatively, what specific benefits are there to submitting the grant through the SSW?

We can include Turan in the meeting, or some portion of the meeting, if you would find that helpful. Let me know when you are available to meet.  
Diane

**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Friday, August 31, 2018 5:13 PM  
**To:** Diane S Young <youngd4@uw.edu>  
**Subject:** New grant proposal

Hello Diane,

Just letting you know I will be submitting a new grant proposal this fall to NIH. I have attached the external faculty form. Let me know if you have any questions.

Thanks!  
Gillian

**1. National Institutes of Health/National Cancer Institute, Diversity Supplement**

2014 - 2016                      214,746                      Neighbourhood Characteristics and Health Care Utilization  
in Cancer Screening  
National Institutes of Health/National Cancer Institutes  
[3R01CA098966-09S1]  
Role: PI  
Mentors: Eva Kahana, PhD and Claudia Colton, PhD  
Result: Funded

Specific Aims

An extension of the existing “Speak Up” intervention to promote better health communication between elderly patients and their primary care doctors relevant to cancer screening, this study aims to better understand to what extent race, SES and concentrated neighborhood disadvantage influence the efficacy of the “Speak-Up” intervention and health outcomes among older adults.

The association between characteristics of the neighborhoods where older people live and late-life disparities continues to be a growing public health concern. Older adults who reside in low-income neighborhoods may experience greater difficulty in accessing preventative care (i.e. usual source of care, regular provider, cancer screenings), which then widens the gap in disparities in the burden of illness. Well-established studies on health disparities have primarily focused on individual-level determinants of health factors such as race, socio-economic status, insurance coverage, and health behaviors which do not fully explain these disparities (Huisman et al., 2004; Williams, Mohammed, Leavell, & Collins, 2010, for a review). However, little is known about whether the place where one lives (neighborhood) either helps or hinders prevention efforts that improve health care among older adult populations. This study builds on the existing study and tests the following two aims:

**Aim #1:** Explore to what extent the level of socioeconomic deprivation (SEP index) in neighborhoods is related to respondents getting cancer prevention advice or recommendations for cancer screenings and their ability to speak up to their doctors at baseline.

**Aim #2:** Determine the extent to which the intervention was beneficial to those who resided in socioeconomically deprived neighborhoods as compared to those who lived in more affluent areas at baseline to T4.

Innovation

It is innovative because it examines neighborhood factors as a social determinant of health disparities in cancer screening and by using geocoded information to map geographic in cancer screening prevention differences in socioeconomically deprived neighborhoods.

**2. National Institutes of Health/National Institute of Aging, K01 Career Development Award**

2015-2020                      653,910                      Financial Strain on Mental and Physical Health:  
Does Race/Ethnicity Matter?  
National Institutes of Health/National Institutes of Aging  
[K01-AG048416-01A]  
Role: PI  
Mentors: Eva Khana, PhD, William T. Gallo, PhD, Jacqui  
Smith, PhD, Ashwini Seghal, MD and Paul Herbert, PhD  
Results: Funded (Score: **14**)

Specific Aims

A fundamental gap remains in understanding the relationship between different types of financial hardships and mental and physical health outcomes. Continued existence of this gap represents an important problem because the experience of cumulative financial hardship and stressful life events (e.g., job loss, foreclosure, bankruptcy) significantly increases the risk of developing adverse mental and physical health illnesses, a situation that is particularly exacerbated in late-life. Additionally, the economic crisis of 2008 altered the financial well-being of millions of older Americans who faced significant financial strains, including large medical bills and social hardships such as frayed support networks. Guided by the preliminary data, this study will be tested by pursuing three specific aims:

**Aim #1:** identify the different types of financial strain associated with adverse mental and physical health among older Americans and determine whether these differ by race/ethnicity;

**Aim #2:** determine the extent to which social networks modify the relationship between financial strain and adverse mental and physical health and whether this differs by race/ethnicity;

**Aim #3:** determine the extent to which long-term trajectories of mental and physical health are associated with changes in financial strain using latent growth curve analysis.

Significance

This research is significant because it is expected to identify key elements of financial hardship associated with adverse mental and physical health, and their differential effects by race and gender, leading to a better understanding of stress-based influences on health disparities. Ultimately, such knowledge has the potential to provide insight into the future financial security of older Americans that will help reduce the disparities in health.

Innovation

The approach is innovative because it capitalizes upon a natural study of economic history which showed that profound economic changes took place from 2008 to 2010 in terms of job losses, bankruptcies, and foreclosures.

### 3. Loan Repayment Program, National Institutes of Health

2017-2018	70,000	Financial Strain and Health Trajectories in Older Adults National Institutes of Health/National Institutes of Minority Health Disparities Role: PI Mentors: Eva Khana, Karina Walters Result: Under review
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#### Summary

This study is based on the K01 Career Development award funded by the National Institute of Aging and focuses on two of the determinants of health noted in the FY 2009-2013 National Institutes of Health (NIH) Disparities Strategic Plan, social and environmental factors. The goal of this study is to investigate the intersectionality of gender and race in the relationships between financial strain, stressful life events, social resources and adverse mental and physical health on older adults and the extent to which social networks modifies these relationships. The study also examines the mental and physical health trajectories of adults associated with financial disparities and changes by economic condition before and after the 2008 recession.

It represents an interdisciplinary approach (sociology, psychology, economics, and social work) to explicate the influence of an economic downturn on health using nationally representative longitudinal data.

#### 4. Resource Centers for Minority Aging Research (RCMAR)

2017-2018	20,000	Racial Differences in Financial Strain and Physical and Mental Health among Older Men and Women National Institutes of Health/National Institutes of Minority Health Disparities Role: PI Mentors: Eva Khana Result: Under review
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##### Specific Aims

The disproportionate experience of cumulative financial strain and related stressful life events (e.g., job loss, unemployment, bankruptcy) associated with race/ethnicity significantly increases the risk of developing adverse mental and physical outcomes. These threats to well-being are exacerbated in late-life. In addition, the extent of the effects of financial strain on older adults varies across population subgroups. Older African Americans and women, for example, are particularly vulnerable to developing poor health outcomes and may be more likely than Whites and men to suffer adverse consequences because of changes in their finances or economic conditions. The constant stress associated with making decisions between housing, food, medication and paying bills can cause some psychological distress ultimately leading to impaired physical functioning. Further, the possible role of social resources in buffering this specific stress effect and the possibility of long-run health impacts remain unexplored. Even less work has been done to compare older adults' financial well-being by race and gender over time. In the absence of such knowledge, it would be difficult to identify effective strategies to reduce the risk of mental and physical health disparities in late-life among at risk individuals.

Using multiple waves (years 2004-2016) of the Health and Retirement Study (HRS), the purpose of the study is to examine the racial and gender differences in the relationship between four specific forms of financial strain on health among older adults over time. Specifically, I propose the following two aims:

**Aim #1:** Determine the extent to which long-term trajectories (over 12 year period) of financial strain is associated with changes in mental and physical health.

Aim 1A: Determine whether these associations differ by race and/or gender.

**Aim #2:** Determine the extent to which social resources (support and social connectedness) function to modify the relationship between financial strain and adverse mental and physical health.

Aim 2A: Determine whether this longitudinal relationship differ by race and/or gender.



## Re: Next Steps....

Charles Emlet <caemlet@uw.edu>

Sat 6/24/2017 10:28 AM

UWT

To: Gillian L Marshall <geegee@uw.edu>;

Gillain:

Thanks for the good review and summary. A few additional thoughts or clarifications.

Teaching: Yes. I think that just as a matter of likelihood that after K is done your teaching will naturally increase. I would recommend you review that low course evaluation **very carefully** and pay particular attention to making changes in **areas of particular low ratings** such as organization, being present, and having material available in a timely manner. This provides an opportunity to look specifically at areas the students identified as problematic. If you like we can review it together and develop a plan to address those things.

You might consider a mid-quarter SGID evaluation in order to make any mid-term adjustments and again show your interest in improving teaching.

Service: Yes I agree. I would also recommend as we discussed that you be sure to "report out" at Dept meetings with regards to relevant service assignments. This communicates and reminds faculty of your service work and assignments.

Research: Just fine.

Subjective Engagement: I think your focus is fine here. In addition, next year try to increase your participation in student related events, i.e. Phi Alpha events, Commencement, Hooding, SW Student Organization functions. It is a matter of being present and showing engagement and interest in students and the program.

Let me know if/when you want to check in again. I am around this summer at least through mid August and then of course after September 15.

Hope all this is helpful for you plotting a course for the next academic year.

Charley

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Charles A. Emlet, Ph.D., ACSW

Professor

Aging with Pride: National Health, Aging, and Sexuality/Gender Study (NHAS)

University of Washington, Tacoma

1900 Commerce St., Campus Box 358425

Tacoma, WA 98402-5825

Phone: 253.692.5827

Fax: 253.692.5825

[caemlet@u.washington.edu](mailto:caemlet@u.washington.edu)

<http://directory.tacoma.uw.edu/employee/caemlet>  
<http://age-pride.org>

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**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Date:** Saturday, June 24, 2017 at 7:48 AM  
**To:** Charles Emler <[caemlet@uw.edu](mailto:caemlet@uw.edu)>  
**Subject:** Next Steps....

Hi Charley,

Thank you for your insight on Wednesday in sharing faculty perceptions and suggestions on what I could do to have a successful reappointment next year. As I am preparing my action plan for this upcoming year, there were essentially 3 main areas of concern. Faculty believe my research is fine and there are no additional concerns to address here and you suggested the following:

- a) **Teaching:** Forfeit my research quarter leave and request to teach a section of SW 503 or another graduate course to demonstrate teaching abilities and once to K01 is over, I will increase my teaching load and focus more on my teaching.
- b) **Service:** Since my review I have increased my service commitments. In addition to serving on the BASW program committee, this upcoming year I will serve of faculty affairs and will serve on the search committee. So there is no additional concerns to address here.
- c) **Subjectiveness/Engagement-** faculty's perception is that I am aloof and not engaged. They would like to see more attendance/participation at faculty meetings, not use my computer as much during meeting

I believe these were the main take away points. Please let me know if I am missing anything that needs to be addressed.

Sincerely,

Gillian

UNIVERSITY OF WASHINGTON TACOMA  
SOCIAL WORK AND CRIMINAL JUSTICE

Proposals for Summer School Revenue Funds  
To Support Scholarship Development

A proportion of summer school revenue funds is designated toward the following long-term programmatic objectives:

- 1) to generate external research funding, and
- 2) to heighten the scholarly profile and visibility of our faculty and program.

Proposals are invited that contribute to one or both of these goals.

**Guidelines:**

- Fulltime faculty are eligible to submit requests for funds.
- Proposals must support one or both of the above long-term objectives.
- Proposals must be submitted electronically to the Program Director by the due date. No late proposals will be accepted.
- Once funded, individuals will work with the Program Administrator to submit expenses for remuneration. These monies are not discretionary funds, and all University policies must be followed in the use of these funds. It is the responsibility of the grantee to ensure that the budget is followed as submitted and not to accrue expenses beyond the allotted funding. Any non-reimbursable expenses or expenses over the allotted budget will be the responsibility of the grantee.
- Funds will not be distributed prior to Human Subjects Division (HSD) approval for projects requiring HSD review.
- Unused funds will remain in the Summer School Revenue Fund for future distribution.
- Requested funds must be used within 18 months of proposal award unless an extension is granted.
- More than one proposal may be submitted at a time.
- Team proposals may be submitted as long as a Social Work and Criminal Justice Program faculty member is a principal part of the team and assumes responsibility for the expenditure of funds.
- To submit a proposal in a subsequent cycle, the "end product" to date from the previously funded application must be submitted (e.g., manuscript draft, published article, grant proposal for external funding). If this is not done, future proposals will not be considered.
- Funds are not given for course release or to provide faculty salary.
- Submit the Summer School Revenue Fund Application form with supporting narrative.

In addition, when the requests for funds exceed available monies, the following will be given priority:

- Proposals that match most closely to the above long-term objectives
- Pre-tenure faculty
- Individuals who have not previously received funding from the Summer School Revenue Fund
- Proposals that are likely to provide greater benefit to the program as a whole

*Selection Process*

The selection committee will include the Director of the Social Work and Criminal Justice Program and two faculty members from the program, invited to serve on a rotating basis. Applicants are not eligible to serve on the committee.

**In 2017-2018, submission due dates will be October 20, 2017 and April 13, 2018.**

**Summer School Revenue Fund Application  
Scholarship Development**

**Date:**

**Name of Applicant(s):**

**Title of Proposal:**

**Is the funding proposal part of another funded project and/or another request for funds?**  
Yes \_\_\_\_\_ No \_\_\_\_\_

**If YES, describe how this proposal does not duplicate funded activities.**

**Is this a team project?** Yes \_\_\_\_\_ No \_\_\_\_\_

**If YES, explain who is on the team and each member's contribution.**

**Project Proposal (not to exceed two pages)**

Attach a narrative that includes:

- a) A description of proposed project including a rationale for your request and linking your request to one or both long-term objectives.
- b) A budget and budget rationale. If including travel funds in the request, justify why in-person travel is necessary and work cannot be accomplished via virtual meetings or other technology.

*(Below line to be completed by the Committee)*

Date: \_\_\_\_\_ Committee Chair Signature: \_\_\_\_\_

\_\_\_\_\_ Proposal Funded      \_\_\_\_\_ Amount Granted      \_\_\_\_\_ Proposal Not Funded

Explanation or Restrictions:

## Re: Summer research revenue request

Gillian L Marshall

Wed 5/24/2017 4:00 PM

To: Tom Diehm <tdiehm@uw.edu>

Hi Tom,

Thanks for the confirmation and letting me know.

Thanks!

G

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**From:** Tom Diehm <tdiehm@uw.edu>  
**Sent:** Tuesday, May 23, 2017 1:36:23 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Summer research revenue request

Hi Gillian,

Yes, the issue was with the budget, particularly the graduate level research assistant. At this point, you will need to resubmit the request during the Autumn cycle and we will not be reconsidering it this Spring.

Thanks,

Tom

\*\*\*\*\*  
Tom Diehm, PhD, MSW, MA                      253-692-5823 (direct line)  
Acting Program Director  
Director of Social Work Field Education    253-692-5825 (fax)  
Principal Lecturer  
Campus Box 358425                              Webpage: <http://www.tacoma.uw.edu/social-work>  
1900 Commerce St.                              STAR Access: <http://star.ssw.washington.edu>  
Tacoma, WA 98402

**From:** Gillian L Marshall [mailto:[geegee@uw.edu](mailto:geegee@uw.edu)]  
**Sent:** Monday, May 22, 2017 11:37 AM  
**To:** Tom Diehm <tdiehm@uw.edu>  
**Subject:** Re: Summer research revenue request

Hi Tom,

Thank you for providing the decision from the committee. Upon reviewing the attached information, it appears that the only concern was the budget. Specifically as it related to hiring an hourly MSW

App. 0062

Marshall000306





Gillian L. Marshall <geegee@uw.edu>

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## teaching for next year

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Diane S. Young <youngd4@uw.edu>  
To: geegee <geegee@uw.edu>

Tue, Jan 27, 2015 at 4:30 PM

Hello Gillian,

I am very close to needing to get in the teaching schedule for next year, especially autumn quarter, and so wanted to let you know what I am planning for you at this point.

For autumn quarter: one section of 502 (This Is Human Behavior and the Social Environment 1, a graduate course) and one course reduction

For winter quarter: one section of 503 (HBSE II, graduate course) and one section of 504 (Cultural Diversity and Social Justice, graduate course)

For spring quarter: 101 (Introduction to Social Work, undergraduate course open to all students on campus) and one course reduction

How does this sound to you?

Diane

Diane S. Young, Ph.D., MSW  
Director, Social Work Program  
University of Washington Tacoma  
Box 358425  
1900 Commerce St., WCG 203A  
Tacoma, WA 98402  
253.692.4703



Gillian L. Marshall <geegee@uw.edu>

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## teaching for next year

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Gillian L. Marshall <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>

Thu, Jan 29, 2015 at 10:43 AM

Hello Diane,

Thank you for sending along the preliminary teaching assignments. After reviewing your email, I was thrilled to see I will be teaching HBSE I/II and introduction to social work. However, based on our conversation during my interview, I was under the impression that I would be teaching multiple sections of those courses. Also, I do not recall during our discussion any reference to teaching cultural diversity and social justice. I'm a little confused.

Gillian

[Quoted text hidden]

App. 0065

Marshall000027



Gillian L. Marshall <geegee@uw.edu>

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## teaching for next year

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Diane S. Young <youngd4@uw.edu>  
To: geegee <geegee@uw.edu>

Thu, Jan 29, 2015 at 4:18 PM

Hi Gillian,

The course schedule is very complex as you can imagine. Because of your course release autumn quarter, I could not give you 2 sections of the same course, so it makes sense to allow the faculty member who is teaching the other section of hbse 1 to continue with the sequence winter quarter, just as you are. Diversity is a curricular area that needs new instructors and based upon your CV it seemed this might be a fit. The instructor who will teach the other section of diversity in the same quarter is an experienced instructor and has taught in this curricular area very capably in the undergraduate program. I think you will enjoy working with her. In all cases (hbse 1 and 2, intro, and diversity) you will not have to start from scratch as there are syllabi already developed that you can heavily borrow from. Because of the number of courses we offer and our relatively small faculty size, the range of courses our faculty teach will tend to be broader. However, as you continue year after year the hope is that you will get to teach courses multiple times making things easier over time. I'm not sure if that is any comfort now, but I hope so.

Diane

**From:** Gillian L. Marshall [mailto:geegee@uw.edu]  
**Sent:** Thursday, January 29, 2015 7:44 AM  
**To:** Diane S. Young  
**Subject:** Re: teaching for next year

[Quoted text hidden]



Memo To: Gillian Marshall, Assistant Professor  
From: Diane Young, Director, Social Work and Criminal Justice Program  
Re: End-of-Year Conference with Faculty  
Date: May 20, 2016

This memo is to document my annual meeting with you on May 16, 2016, for the purposes of discussing: 1) your accomplishments this year in the areas of scholarship, teaching and service, 2) shared goals for the coming year in these areas, in light of departmental needs, and 3) a shared strategy for achieving these goals. The 2015-2016 Faculty Activity Report that you submitted will be appended to this memo. It provides detailed information related to this year's accomplishments.

This is your first year at UW Tacoma and besides adjusting to a new campus and program, you have been actively working on the 5-year K-01 research grant awarded by the National Institutes of Aging. This time-intensive grant for which you are the Principal Investigator provides 75% release time from teaching and service. You also brought with you to UW Tacoma a supplement grant from the National Cancer Institute, subcontracted from Case Western University. Your K-award has generated positive publicity via UW media outlets and the *Puget Sound Business Journal*. It is wonderful to see this recognition of your work. Indeed, I believe you are the first faculty member to receive a K-01 award in the history of our program and on this campus. In addition, you have had two peer-reviewed manuscripts accepted for publication, with two more under review.

Given the course buyout you received from your grants and the course reduction you received for new faculty, you taught one course this year. The student course evaluations from this course, Introduction to Social Welfare, were very positive. Next year you are taking on a new course preparation, Introduction to Research Methods. Although you would prefer not to teach in this area at this time, doing so fills an important program need. I appreciate your stepping in to this area. Because you will understandably have taught far fewer courses by the time of promotion and tenure than other faculty members typically do, finding ways to demonstrate that you are a capable instructor in a variety of substantive areas and to different student audiences (undergraduate and graduate) will strengthen the teaching portion of your promotion and tenure application. I know that you would really like to teach practice courses, and I will keep this in mind going forward. Given how many faculty members we have who are skilled and like to teach in this area, this curricular area must be shared. Finding additional opportunities to demonstrate instructional ability would also be helpful for promotion and tenure, and one possibility we discussed is to cultivate opportunities to provide guest lectures within our program and on the UW Tacoma campus within your areas of expertise, similar to what you have done on the Seattle campus.

Similar to teaching, service expectations are also reduced because of your grant responsibilities. You will discuss with your mentor some possible service opportunities. I encourage you to find a service responsibility, particularly within the program, that you could take on that fits within

your time constraints. Engaging in service within the program will create greater visibility and connections with your faculty peers while also fulfilling a program need.

At my request for a third party presence at our meeting, and by your selection, Melissa Lavitt, Executive Vice Chancellor, joined us for our end-of-year meeting. Although at our meeting we did not discuss the plan for a third party presence at our meetings going forward, this is something we will need to take up at a later date.

During your second year, you will have your re-appointment review. This will help you get a good sense of how well you are progressing toward tenure. Thank you for your contributions to our program and our students this year.

cc. Faculty File



June 1<sup>st</sup>, 2016

To: Diane Young, Director, Social Work and Criminal Justice Program

Re: Response to End-of-Year Faculty Evaluation Correspondence

Dear Dr. Young:

Thank you for taking the time to provide a written assessment of my progress to date at the University of Washington Tacoma. Thank you also for your recognition of my accomplishments to date in regards to teaching, research and grant funding. However, there are several aspects of the assessment that warrant comments.

I continue to remain perplexed in regards to the consistent concern around teaching. My commitment as always is to do what's right for the department, the university and me. Yet there must be a balance between research, teaching and service. As I have previously shared, there are many courses for which I am interested in and qualified to teach (I.e. Introduction to Social Work, Human Behavior and Social Environment I/II, Social Welfare Practice I/II/III, Advanced Integrative Practice, Historical Approaches to Social Welfare, Aging in American Society). However, I remained puzzled as to why lecturers seem to get preferential treatment in regards to teaching assignments (see attached minutes from January 20<sup>th</sup>, 2016 Social Work Degree Committee Meeting). I also understand there are 3 sections of Introduction to Social Work (a course I requested to teach); however, all three sections are scheduled to be taught by lecturers. Based on my previous experience, this model is foreign to me. My previous experience is that lecturers are filling in departmental or program needs that cannot be filled by tenured and tenure track faculty.

Regarding future goals, you have alluded to concerns around limited teaching for promotion and tenure in comparison to others and how this may be viewed by my colleagues. However, I recall that one of the reasons I was offered a position was to help the department and university at large grow in research while also complementing teaching. With this shift, the Social Work and Criminal Justice Program may need to consider and evaluate the appropriate research and teaching requirements for each faculty member. I have talents in both areas as confirmed by receipt of a competitive K-01 Award through the National Institutes of Health and teaching evaluations (rating of 4.7/5.0). I would like the aforementioned information reflected in my assessment document and I am hopeful this will be taken into consideration.

In regards to additional service goals, I will continue to work with Dr. Emlet to consider options that will benefit our students, the Social Work and Criminal Justice Program and the university at large.

Your consistency in expressing a third party presence for meetings with me has me somewhat mystified. I believe an important aspect for effective communication is that both parties are willing and open to talking and listening to each other in a respectful manner. A third party tends to complicate this process. My desire has always been for us to interact

without having to depend on a third party and I am hopeful you will consider my perspective in our future meetings.

Again, I appreciate your assessment of my progress toward tenure and promotion and look forward to the next steps in this process.

Sincerely,

A handwritten signature in cursive script, appearing to read "Gillian L. Marshall".

Gillian L. Marshall, MSW, MPHc, PhD  
Assistant Professor

cc. Dr. Melissa Levitt

SW DEGREE COMMITTEE MEETING

January 26, 2016

3:00-4:30 p.m.

WCG #322

MINUTES

**Present:** Erin Casey, Tom Diehm, Charley Emet, Rich Furman, Marian Harris, Teresa Holt-Schaad, JaeRan Kim, Janice Laakso, Marcie Lazzari, Gillian Marshall, Claudia Sellmaier, Terri Simonsen, Diane Young, Lynn Hermanson (note-taker)

**Not present:** Rick Butt, Dayna Childs, Michelle Garner (sabbatical)

1. Phi Alpha Faculty Advisor – Marian will transition out of the Phi Alpha Faculty Advisor role at the end of the academic year, and is looking for a faculty member to assume this position going forward. If needed, faculty are permitted to share this role. Marian asked that faculty consider this role and that volunteers be prepared to come forward during the February SW Degree Committee meeting.
2. Academic Review Policy /draft policy regarding course repeats – Lynn and Marcie presented minor changes to the MSW Academic Review Policy and Tom presented a draft policy for course repeats. Since the repeat policy may impact the Academic Review Policy, Lynn and Marcie will make the appropriate revisions and present them at the February SW Degree Committee meeting.
3. De-Crossing Listing Vote of 427 & 430 – Diane explained that de-crossing the two courses would eliminate the 'TSOCWF' prefix and 'TCRIM' would become the parent, therefore, BASW students would no longer have the option to use them as SW electives. Diane proposed that the faculty reverse the previous vote (from November) to de-cross list 427 and 430.
  - o Approved: 7 yes, 1 no, 4 abstain
  - o Concerns regarding who will teach the courses and delivery method will be handled separately.
  - o Diane will add an agenda item to the next program meeting for SW and CJ faculty to discuss concerns around student needs and expectations across disciplines.
4. Graduate Program Coordinator (GPC) – Marcie has held the GPC role for some time, but will retire June 30. She will continue in this role through the end of summer. Diane asked for tenured, graduate faculty to consider this position which would begin autumn 2016. Questions about the duties of the GPC can be directed to Marcie.
5. Thea Drescher, Full-time Lecturer 2016-17 – Diane would like to consider Thea Drescher for a non-competitive, 1-year appointment for the upcoming academic year to teach social welfare classes (i.e. Intro to Social Work, HBSE, Social Work Practice). Thea's CV will be

shared before the full-faculty vote takes place at the next program meeting. Please provide any feedback to Diane.

## RE: Monday Schedule

Melissa R. Lavitt <mlavitt@uw.edu>

Sun 5/22/2016 4:40 PM

To: GILLIAN MARSHALL <geegee@uw.edu>;

Thanks for this note Gillian. Like you, I don't know what impact this had – if any. The conversation about teaching assignments was not very satisfying. I am currently waiting for a copy of Diane's five year Administrative Review. Perhaps this document will point to some recommendations that might improve the culture and functionality of the program. Thanks, again, for your patience as we work these details. m

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**From:** GILLIAN MARSHALL [mailto:geegee@uw.edu]  
**Sent:** Saturday, May 21, 2016 11:42 AM  
**To:** Melissa R. Lavitt <mlavitt@uw.edu>  
**Subject:** Re: Monday Schedule

Hi Melissa,

My apologies for sending this note so late. I left early Tuesday morning for Cleveland to work with one of my mentors and getting back tomorrow.

I just wanted to thank you for your taking the time to meet with Diane and myself earlier this week. I don't believe my concerns were heard by Diane and although I do not anticipate that much will change, it was most helpful to have you present.

Sincerely,  
Gillian

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**From:** Melissa R. Lavitt <mlavitt@uw.edu>  
**Sent:** Sunday, May 15, 2016 11:55:10 AM  
**To:** GILLIAN MARSHALL; Diane S. Young  
**Cc:** Heather L. Porter  
**Subject:** Monday Schedule

Gillian and Diane,

*start*  
→  
I am looking forward to our meeting tomorrow. I see that I have overlapping calendar commitments. Therefore, I will be leaving our noon meeting at approximately 12:45 to catch the end of another discussion. As we recognize, my role in this conversation is somewhat atypical. Therefore, one of items that we should discuss is finding a suitable replacement for the future. Thanks and look forward to our conversation. m

*Melissa R. Lavitt, Ph.D.*  
Executive Vice Chancellor for Academic Affairs  
University of Washington Tacoma  
GWP 312 Box 358430  
1900 Commerce St., Tacoma, WA 98402

App. 0073

## RE: Summary of our meeting re: reappointment review

Tom Diehm <tdiehm@uw.edu>

Mon 1/30/2017 7:33 PM

To: GILLIAN MARSHALL <geegee@uw.edu>

Hi, Gillian—

Thanks for your message. I've confirmed with Marian that she's willing to chair your committee and Charley has agreed to serve on it.

Per the bi-campus agreement with the SSW, I have a message in to Eddie Uehara about her appointing Karina Walters to your committee. She (or her designee) will need to do that independently of whatever you may have discussed with Karina separately. I'll let you know what I hear as soon as I hear it.

Information about the pre-tenure research quarter off will be coming to you by separate email.

Tom

\*\*\*\*\*

Tom Diehm, PhD, MSW, MA                      253-692-5823 (direct line)  
Acting Program Director  
Director of Social Work Field Education    253-692-5825 (fax)  
Principal Lecturer  
Campus Box 358425                              Webpage: <http://www.tacoma.uw.edu/social-work>  
1900 Commerce St.                              STAR Access: <http://star.ssw.washington.edu>  
Tacoma, WA 98402

**From:** GILLIAN MARSHALL [mailto:geegee@uw.edu]  
**Sent:** Monday, January 30, 2017 12:20 PM  
**To:** Tom Diehm <tdiehm@uw.edu>  
**Subject:** Re: Summary of our meeting re: reappointment review

Hi Tom,

This email is to confirm that I have asked Marian Harris to serve as the chair for my 3rd year review committee.

Best,  
Gillian

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**From:** GILLIAN MARSHALL  
**Sent:** Wednesday, January 25, 2017 10:44:39 AM  
**To:** Tom Diehm

Cc: Melissa R. Lavitt

Subject: Re: Summary of our meeting re: reappointment review

Tom:

Thank you for providing the sequence of dates related to the submission of my reappointment review.

As I stated during our meeting yesterday, I have already reached out and selected the 3 people who have agreed to serve as my committee members: Drs. Charles Emlet, Marian Harris and Karina Walters. Informing me that I am unable to have a third committee member from the School of Social Work in Seattle and that I could only select faculty from the Tacoma campus was puzzling. It is not unprecedented to have one member of the committee come from the School of Social Work. After all, the Social Work and Criminal Justice Program at the University of Washington Tacoma is not an independent program but one of many programs under the auspices of the UW School of Social Work. Dean Uehara has always encouraged and supported a collaborative working relationship between faculty in the reappointment process, the tenure and promotion process and the non-mandatory promotion process.

Considering my research agenda, it is an honor that someone of Dr. Walters (Associate Dean for Research) caliber would agree to serve on my committee. This suggests to me your lack of knowledge, familiarity and expertise with the reappointment review process, specifically around this policy/precedence which is why I suggested that you speak with Dr. Charles Emlet. I am not sure why or how Dr. Emiko Tajima would need to be involved, but I am glad you were able to find the document (pertaining to this issue) I referenced during our conversation. If you wish to confirm with them, that is fine with me.

My committee and I have been in communication for several weeks now about this process and will continue to do so until the submission of my packet. Despite, your advice discouraging me from having Marian Harris chair my committee because she "may" serve as chair on another faculty member's committee, was ill advised since she already indicated to me, that she would be very happy to chair my committee if requested. I will get back to you before the end of this month to confirm who will chair my committee.

Thank you for your efforts in this process.

Sincerely,  
Gillian

PS. I would appreciate if you could forward the information regarding the application process for a research quarter leave that I requested so that I have adequate time to review the information and decide whether this would be something I intend to pursue. Thank you.

**From:** Tom Diehm <[tdiehm@uw.edu](mailto:tdiehm@uw.edu)>  
**Sent:** Tuesday, January 24, 2017 4:29:46 PM  
**To:** GILLIAN MARSHALL  
**Cc:** Terri Simonsen  
**Subject:** Summary of our meeting re: reappointment review

Hi Gillian,

Thanks for meeting with me earlier about forming a committee for your upcoming reappointment review. To summarize:

The deadlines for the process are as follows:

Establish review committee: by 1/31/17

Documentation submission to OneDrive: by 4/7/17 (Terri Simonsen will work with you on this as she is the individual authorized to upload your information. We will provide you with a high capacity memory stick/thumb drive on which you can load your information and then provide it to Terri.)

Review committee submits its letter to Director: by 4/28/17

Vote on reappointment by eligible faculty: by 5/5/17

Results conveyed to EVCAA: by 5/15/17

Notification of EVCAA decision: by 6/15/17

Meeting between candidate and Director to review results: TBD pending EVCAA notification date

We discussed your preferences for the makeup of your committee. With no chair yet designated, your preferences are:

Marian Harris  
Charley Emlet  
Karina Walters of the UWS SSW

I believe I located the document that you're referring to in relation to Seattle faculty serving on reappointment review committees and I'm in touch with Emiko Tajima about the process for having Karina serve. I will contact all of the folks listed and notify you of the results by 1/31/17. As I mentioned, please provide a secondary preference on chair in case your first choice is unable to perform the task. Once the committee is official, you can then talk with the chair at your convenience for advice and next steps.

Please let me know if you have any questions at any point in the process. You can set up a time to meet with Terri about document submission at your mutual convenience.

Tom

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Tom Diehm, PhD, MSW, MA                      253-692-5823 (direct line)  
Acting Program Director  
Director of Social Work Field Education    253-692-5825 (fax)



To: Tom Diehm, PhD, Acting Director, Social Work and Criminal Justice Program

From: Marian S. Harris, PhD, (Chair), Charles Emlet, PhD, and Karina Walters, PhD,  
Reappointment Review Committee

Re: Gillian Marshall, PhD, Assistant Professor, Social Work and Criminal Justice Program

Date: April 28, 2017

The Reappointment Review Committee for Dr. Gillian Marshall met on April 25, 2017 to discuss her application for reappointment. We considered her record in the areas of research, teaching, and service. The purpose of this memorandum is to provide you with a summary of our discussion.

### Research

The committee noted that Dr. Marshall has a well-focused research trajectory that is congruent with the expectations in the Social Work and Criminal Justice Program and consistent with the University of Washington tenure and promotion policy. She is the Principal Investigator for a KO1 award and the principal investigator for an NIF/NCI Diversity Supplement. These awards have allowed her mentoring and other support to help her develop a solid track record as a researcher. She is enhancing her research knowledge and skills to conduct research independently and be competitive for major grant support. Her research agenda consists of four main areas: (1) socioeconomic status; (2) life course frameworks i.e. the stress process, cumulative advantage and disadvantage; (3) stressful life events; and (4) social networks. The objectives of Dr. Marshall's research are to understand the relationship between financial hardship, debt and health while expanding indicators of SES; and to identify where to intervene using longitudinal data to model long-term trajectories of stress and stressors such as financial hardship and its impact on mental and physical health associated with changes over time.

Dr. Marshall has 4 publications in peer-review journals since her appointment to the faculty at UW Tacoma in September 2015 and 7 publications since her appointment in 2013 as an Assistant Professor at Case Western Reserve University. She is the sole author for 2 publications and the first author for 7 publications. Dr. Marshall has 5 publications that are currently under review and 3 publications in progress. She has presented her work at 7 refereed conferences since coming to UW Tacoma. The committee was impressed with Dr. Marshall's solid and well-planned approach for future publications based on her funding awards.

The committee recommends the following:

- Continue funded/planned research studies.
- Complete and submit manuscripts in progress to peer-review journals; continue to submit manuscripts to peer-review journals.
- Continue to work with mentor.
- Continue to submit abstracts to refereed conferences for future presentations.

## Teaching

The committee noted that Dr. Marshall has taught 2 courses at the University of Washington Tacoma (Introduction to Social Work and Human Behavior and the Social Environment). Her teaching evaluation for the undergraduate course, Introduction to Social Work was very positive (4.8 overall rating from student teaching evaluation) and certainly meets the expectations of the program with regard to teaching effectiveness at the undergraduate level. Her teaching evaluation for the graduate level course in Human Behavior and the Social Environment was extremely low (2.8 overall rating from student teaching evaluation). This low rating is not as strong as the typical rating for faculty who teach Social Work graduate courses. Students commented about the lack of clarity regarding assignments and grading as well as the instructor being unprepared for class. They felt that course material was not posted or made available in a timely manner. The committee noted that there seemed to be some organizational and communication issues in the graduate class as well as a lack of attention to detail. The committee noted that the peer evaluation of Dr. Marshall's teaching was quite favorable. Dr. Marshall has been the faculty adviser for 11 BASW students and 13 MSW students. The committee recommends the following:

- Have an annual peer evaluation of teaching by senior faculty from the Social Work and Criminal Justice Program.
- Get informal assessment of teaching from students at mid-term each quarter.
- Be proactive in developing syllabi, assignments, experiential activities, grading rubrics, etc. in preparing to teach at a higher level.
- Be attentive to detail in developing syllabi and other written material utilized in the classroom.
- Meet with mentor on a regular basis to discuss ways to improve teaching.
- Attend seminars, workshops, training, etc. to engage in activities to assess and improve teaching at the graduate level.
- Enlist the help and advice of senior faculty to have taught the assigned course for a period of time for suggestions.
- Develop assignments that are clear and understandable to students with accompanying clear and concise grading rubrics.

## Service

Dr. Marshall has engaged in some service since her arrival at the UW Tacoma. She is the representative for UW Tacoma on the BASW Degree Committee at the University of Washington, School of Social Work. She has also served on the BASW and MSW Admissions Committees at UW Tacoma. She has been a guest lecturer at Seattle University, University House Wallingford, University of Washington, and University of Washington Tacoma. Dr. Marshall has also reviewed manuscripts for several journals (Behavioral Medicine, Journal of Epidemiology and Community Health, Journal of Gerontology, Journal of Gerontological Social Work, International Journal of Aging and Human Development, and Research on Aging. The committee feels that her service to the program, campus and university should be increased over the next contract period. In particular opportunities to engage in service at the campus level should be considered.

We recommend Dr. Marshall:

- Work with mentor and program director to identify additional opportunities for service.
- Engage in community service opportunities that are consistent with research trajectory.

### **Recommendation**

The Reappointment Review Committee recommends renewal of the appointment for Dr. Gillian Marshall for a period which extends through the academic year in which a decision on promotion (and tenure) is required. The review committee feels that there is every reason to believe that Dr. Marshall will continue to be a productive scholar, continue her excellent teaching at the undergraduate level as reflected in her teaching evaluation and improve her teaching at the graduate level. It is anticipated that there will be a balance between research and teaching at the end of her K01 award. Dr. Marshall should also expand her service to the program, community, and profession.

RE: Follow up from this morning's meeting

Tom Diehm <tdiehm@uw.edu>

Fri 6/16/2017 12:52 PM

To: Gillian L Marshall <geegee@uw.edu>

Hi Gillian,

You will need to follow up with Academic HR and Melissa about receiving a copy of the letter.

Tom

\*\*\*\*\*  
Tom Diehm, PhD, MSW, MA                      253-692-5823 (direct line)  
Acting Program Director  
Director of Social Work Field Education    253-692-5825 (fax)  
Principal Lecturer  
Campus Box 358425                              Webpage: <http://www.tacoma.uw.edu/social-work>  
1900 Commerce St.                              STAR Access: <http://star.ssw.washington.edu>  
Tacoma, WA 98402

From: Gillian L Marshall [mailto:geegee@uw.edu]  
Sent: Thursday, June 15, 2017 10:59 PM  
To: Tom Diehm <tdiehm@uw.edu>  
Subject: Re: Follow up from this morning's meeting

Hello Tom,

I was not aware that you could not share a copy of the letter. Could you please provide or direct me to the program reappointment policy where it states this?

Gillian

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From: Tom Diehm <tdiehm@uw.edu>  
Sent: Thursday, June 15, 2017 11:54:14 AM  
To: Gillian L Marshall  
Subject: RE: Follow up from this morning's meeting

Hi, Gillian...

Thanks for the update. I'm not able to provide a copy of the letter since it is addressed to and intended for the EVCAA and it is not part of program reappointment policy to provide the candidate a copy of the Director's letter.

Tom

\*\*\*\*\*  
Tom Diehm, PhD, MSW, MA                    253-692-5823 (direct line)  
Acting Program Director  
Director of Social Work Field Education    253-692-5825 (fax)  
Principal Lecturer  
Campus Box 358425                            Webpage: <http://www.tacoma.uw.edu/social-work>  
1900 Commerce St.                            STAR Access: <http://star.ssw.washington.edu>  
Tacoma, WA 98402

From: Gillian L Marshall [<mailto:geeege@uw.edu>]  
Sent: Wednesday, June 14, 2017 4:48 PM  
To: Tom Diehm <[tdiehm@uw.edu](mailto:tdiehm@uw.edu)>  
Subject: Re: Follow up from this morning's meeting

Hello Tom,

I am following up on your recommendation to meet with Charley regarding generating ideas around how I can best position myself for a successful reappointment review in Spring 2018. We are scheduled to meet on Wednesday, June 21. Additionally, I have received Melissa's letter and I would also like a copy of your letter sometime before Tuesday. Since I will be meeting with Charley next week it would be helpful to review all documents so that Charley and I can discuss how to move forward.  
Best,

Gillian

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From: Tom Diehm <[tdiehm@uw.edu](mailto:tdiehm@uw.edu)>  
Sent: Monday, June 12, 2017 2:22 PM  
To: Gillian L Marshall  
Subject: Follow up from this morning's meeting

Hi Gillian,

I just wanted to do a quick follow up from our meeting this morning. I think this would be a good opportunity to make use of Charley Emlet as your mentor. He is likely to have ideas around how you can best position yourself for a successful outcome when your reappointment review is done again in Spring 2018. Certainly using informal mentors may be helpful as well, but I think Charley has a very strong sense of what matters to senior faculty in this program and I strongly urge you to seek his counsel.

Best wishes,

Tom

\*\*\*\*\*  
Tom Diehm, PhD, MSW, MA                    253-692-5823 (direct line)

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STAR Access: <http://star.ssw.washington.edu>

## RE: Follow-up

Melissa Lavitt <mlavitt@uw.edu>

Sat 6/17/2017 10:57 AM

To: Gillian L Marshall <geegee@uw.edu>; Alison Hendricks <alison5@uw.edu>;

Cc: Tom Diehm <tdiehm@uw.edu>;

Hi Gillian,

In general, UW practice on personnel processes is to summarize the review for the individual faculty while protecting the confidentiality of the deliberation. In the absence of specific policy or written procedures, I did advise against forwarding a copy of the letter. It is my recollection that it revealed specific details about the faculty vote.

That said, it is important for you to know the concerns that were raised so that you and Charley can come up with a plan. I believe that Tom described the nature of those concerns in our live meeting. If you do not have a clear enough understanding of what needs attention, then perhaps Tom can help debrief you and Charley when you meet.

**From:** Gillian L Marshall [mailto:geegee@uw.edu]

**Sent:** Friday, June 16, 2017 3:02 PM

**To:** Melissa Lavitt <mlavitt@uw.edu>; Alison Hendricks <alison5@uw.edu>

**Subject:** Follow-up

Hi Melissa,

Thank you for sending a copy of your letter via Amanda. I requested a copy of Tom's letter as well for review since he suggested I meet with Charley Emlett next week to discuss ideas for next steps. He first stated that it was "not part of program reappointment policy to provide the candidate a copy of the Director's letter." When I asked if he could provide where I could find this policy, he then directed me to contact you or academic HR (is that Allison?) for a copy. I am requesting a copy by Tuesday since I meet with Charley on Wednesday.

Thank you!

Gillian

**2015 – 2016: Program Meeting**

Faculty Member	Sept 2015	Oct 2015	Nov 2015	Dec 2015	Jan 2016	Feb 2016	March 2016	April 2016	May 2016	June 2016	
Gillian Marshall			X	X	X	X	X	X	X		
Rick Butt			X		X	X	X	X	X		
Erin Casey		X	X	X	X	X	X	X	X		
Tom Diehm		X	X		X	X	X	X	X		
Charley Emlet		X	X	X	X	X	X		X		
Rich Furman		X	X	X	X	X	X	X	X		
Michelle Garner (Sabbatical)											
Marian Harris		X	X			X	X	X			
Teresa Holt-Schaad			X	X	X	X	X	X	X		
JaeRan Kim		X	X	X		X	X	X	X		
Janice Laakso		X	X	X	X	X	X	X	X		
Marcie Lazzari		X	X	X	X	X	X	X	X		
Claudia Sellmaier		X	X	X	X	X	X	X	X		
Diane Young		X	X	X	X	X	X	X	X		
Alissa Ackerman		X	X	X	X	X	X	X	X		
Jeffrey Cohen					X	X	X	X	X		
Tarna Derby-McCurtin		X	X	X	X	X	X				
Jerry Flores			X	X				X	X		
Janelle Hawes			X		X		X		X		
Andrea Hill		X		X	X	X	X	X	X		
Eric Madfis		X	X	X	X	X	X	X	X		
Barbara Toews			X	X	X	X	X	X	X		

**2015 – 2016: Degree Meeting**

Faculty Member	Sept 2015 Curriculum	Oct 2015	Nov 2015	Dec 2015	Jan 2016	Feb 2016	March 2016	April 2016	May 2016	June 2016 Cancelled
Gillian Marshall	X			X	X	X		X		
Rick Butt	X	X		X		X		?	X	
Erin Casey	X	X	X	X	X	X	X	X	X	
Tom Diehm	X	X	X	X	X	X	X		X	
Charley Emlet	X	X	X	X	X	X	X	X		
Rich Furman	X		X	X	X		X		X	
Michelle Garner (Sabbatical)										
Marian Harris	X		X	X	X	X	X	X	X	
Teresa Holt-Schaad	X	X	X	X	X	X	X	X	X	
JaeRan Kim	X	X	X	X	X	X	X	X	X	
Janice Laakso	X	X	X	X	X	X	X	?	?	
Marcie Lazzari	X	X	X	X	X	X	X		X	
Claudia Sellmaier	X	X	X	X	X	X	X	X	X	
Diane Young	X	X		X	X		X	X	X	

**2016 – 2017: Program Meeting**

Faculty Member	Sept 2016	Oct 2016	Nov 2016	Dec 2016	Jan 2017	Feb 2017 cancelled	March 2017	April 2017	May 2017	June 2017
Gillian Marshall		X	X	X	X		X	X	X	X
Rick Butt		X	X	X	X		X	X	X	X
Erin Casey	✓	X	X	X	X		X	X	X	X
Tom Diehm	✓	X	X	X	X		X	X	X	X
Thea Drescher (temp)	✓		X	X	X		X	X	X	X
Charley Emlet	✓		X	X	X		X	X	X	
Rich Furman	✓		X	X			X	X	X	
Michelle Garner	✓	X	X	X	X		X	X	X	X
Marian Harris	✓	X	X	X	X		X	X	X	X
Teresa Holt-Schaad	✓	X	X	X	X		X	X	X	X
JaeRan Kim	✓		X	X	X		X	X	X	X
Claudia Sellmaier	✓	X	X	X	X		X	X	X	X
Diane Young (Sabbatical)										
Alissa Ackerman		X			X		X	X	X	
Jeffrey Cohen			X	X	X		X	X	X	X
Tarna Derby-McCurtin		X	X	X	X		X	X	X	X
Jerry Flores		X	X	X			Research	Research	Research	Research
Janelle Hawes		X	X	X				X	X	
Andrea Hill		X	X	X			X	X	X	X
Eric Madfis		X	X	X	X		X	X	X	X
Barbara Toews							X	X	X	

**2016 -2017: Degree Meeting**

Faculty Member	Sept 2016	Oct 2016	Nov 2016	Dec 2016	Jan 2017	Feb 2017	March 2017	April 2017	May 2017	June 2017 Cancelled
Gillian Marshall		X		X	X	X	X	X	X	
Rick Butt			X	X	X	X	X	X		
Erin Casey		X	X	X	X	X	X	X	X	
Tom Diehm		X	X	X	X	X	X	X	X	
Thea Drescher (temp)		X	X	X	X	X		X	X	
Charley Emlet				X	X	X	X	X	X	
Rich Furman		X	X	X	X	X	X		X	
Michelle Garner		X	X	X	X	X	X	X	X	
Marian Harris		X	X	X	X	X	X	X	X	
Teresa Holt-Schaad			X		X	X	X	?		
JaeRan Kim		X	X	X	X		X		X	
Claudia Sellmaier		X	X	X	X	X		X	X	
Diane Young (Sabbatical)										

2017 – 2018: Program Meeting

Faculty Member	Sept 2017	Oct 2017	Nov 2017 Canceled	Dec 2017	Jan 2018	Feb 2018	March 2018	April 2018	May 2018	June 2018
Gillian Marshall		X		X	X	X	X		X	
Rick Butt		X		X	X		X	X	X	X
Erin Casey	✓	X		X	X	X	X	X	X	X
Tom Diehm	✓	X		X	X	X	X	X	X	X
Thea Drescher (temp)	✓	X		X	X		X	X	X	
Charley Emlet	✓	X		Xxx	X	X	X	X	X	X
Rich Furman	✓	X		X	medical	medical	medical	X	X	X
Michelle Garner	✓	X		X	X	X	X	X	X	X
Marian Harris (Sabbatical)	✓									
Teresa Holt-Schaad (Sabbatical)	✓									
JaeRan Kim	✓	X		X	X	X	X	Research	Research	Research
Melissa Lavitt	✓	X		X			X	X	X	X
Ronnie San Nicholas	✓	X		X	X	X	X	X	X	X
Claudia Sellmaier	✓	X		X	X	X	X	X	X	X
Diane Young	✓	X		X	X	X	X	X	X	X
Jeffrey Cohen				X		X	X			X
Tarna Derby-McCurtin										
Janellw Hawes		X		X	X	X			X	X
Andrea Hill		X		X	X		X	X	X	X
Eric Madfis		X		X	X		X	X	X	
Barbara Toews		X		X	X	X	X	X	X	X

**2017 – 2018: Degree Meeting**

Faculty Member	Sept 2017	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	March 2018	April 2018	May 2018	June 2018 Cancelled
Gillian Marshall		X	X	X	X			X	X	
Rick Butt		X	X	X		X		X	X	
Erin Casey		X	X	X	X	X		X	X	
Tom Diehm		X	X	X	X	X		X	X	
Thea Drescher (temp)		X	X		X	X		X		
Charley Emlet		X	X	X	X	X		X	X	
Rich Furman		X	X					X	X	
Michelle Garner		X	X	X	X	X		X	X	
Marian Harris (Sabbatical S-D)										
Teresa Holt-Schaad (Sabbatical S-D)										
JaeRan Kim		X	X	X	X	X		Research	Research	Research
Melissa Lavitt				X	X			X	X	
Ronnie San-Nicolas		X	X	X	X	X		X	X	
Claudia Sellmaier		X	X	X	X	X		X	X	
Diane Young		X	X	X	X	X		X	X	

**2018 – 2019: Program Meeting**

Faculty Member	Sept 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	March 2019	April 2019	May 2019	June 2019
Gillian Marshall		X		X						
Rick Butt		X	X	X						
Erin Casey		X	X							
Tom Diehm		sabbatical								
Charley Emlet		X	X	X						
Rich Furman		X	X	X						
Michelle Garner			X	X						
Marian Harris			X							
Teresa Holt-Schaad		X	X	X						
JaeRan Kim		X	X	X						
Melissa Lavitt		X								
Ronnie San Nicholas		X	X	X						
Claudia Sellmaier		X	X	X						
Diane Young		X	X	X						
Jeffrey Cohen				X						
Tarna Derby-McCurtin		?								
Diana Falco		X	X	X						
Janellw Hawes		X	X		Sabbatical					
Andrea Hill		X	X	X						
Eric Madfis			X	X	Sabbatical					
Randy Meyers		X	X	X						
Barbara Toews		X		X						

**2018 – 2019: Degree Meeting**

Faculty Member	Sept 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	March 2019	April 2019	May 2019	June 2019	
Gillian Marshall			X	X							
Rick Butt											
Erin Casey											
Tom Diehm											
Thea Drescher (temp)											
Charley Emlet											
Rich Furman											
Michelle Garner											
Marian Harris (Sabbatical S-D)											
Teresa Holt-Schaad (Sabbatical S-D)											
JaeRan Kim											
Melissa Lavitt											
Ronnie San-Nicolas											
Claudia Sellmaier											
Diane Young											

## Re: Personnel file

Gillian L Marshall

Wed 11/8/2017 4:23 PM

Sent Items

To: SECRETARY OF THE FACULTY <secfac@uw.edu>

That's great news. Yes I did but thank you for the confirmation. We are at 13 business days since the request was made.

Thank you!

Gillian

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**From:** SECRETARY OF THE FACULTY <secfac@uw.edu>

**Sent:** Wednesday, November 8, 2017 11:52:05 AM

**To:** Gillian L Marshall

**Subject:** RE: Personnel file

I have a meeting with Cheryl next Wednesday. You might already have noted that under the Labor and Industries guidelines, the expectation is that, absent special circumstances, the file will be produced in 10 business days. <http://www.lni.wa.gov/WorkplaceRights/files/policies/esc7.pdf>

### MIKE TOWNSEND

Secretary of the Faculty, University of Washington

Associate Professor, School of Law

Adjunct Associate Professor, Department of Philosophy

Faculty Director, Ph.D. in Law Program

36 Gerberding, Box 351271, Seattle, WA 98195

206.543.2637

[secfac@uw.edu](mailto:secfac@uw.edu) / [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

**From:** Mark A Pagano [mailto:[mpagano@uw.edu](mailto:mpagano@uw.edu)]

**Sent:** Wednesday, November 8, 2017 7:11 AM

**To:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>; SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>

**Subject:** RE: Personnel file

Good Morning Professor Marshall,

I checked last Friday morning soon after you notified me. I understand that Academic Affairs is working through the appropriate protocols to address this request. Mark

**From:** Gillian L Marshall [mailto:gmarshe@uw.edu]  
**Sent:** Wednesday, November 08, 2017 5:12 AM  
**To:** Mark A Pagano; SECRETARY OF THE FACULTY  
**Subject:** Re: Personnel file

Hi Mark,

Now that you are aware of this situation, how would suggest we proceed?

Gillian

---

**From:** Mark A Pagano <mpagano@uw.edu>  
**Sent:** Friday, November 3, 2017 1:22:41 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Personnel file

Thank you Gillian.

This is the first I had heard of this. I appreciate you making me aware of it. Mark

**From:** Gillian L Marshall [mailto:gmarshe@uw.edu]  
**Sent:** Thursday, November 02, 2017 3:55 PM  
**To:** Mark A Pagano  
**Subject:** Fw: Personnel file

Hi Mark,  
I forgot to add you to this email. Please see below....

Thank you!  
Gillian

---

**From:** Gillian L Marshall  
**Sent:** Thursday, November 2, 2017 3:29 PM  
**To:** Allison Hendricks  
**Cc:** Cheryl A. Cameron; Laura Wood; SECRETARY OF THE FACULTY; Jill M Purdy  
**Subject:** Re: Personnel file

Hello Allison,

On Monday, October 23, 2017 I requested to view my personnel file and your response was to make a request through public records. I understand that the following section of the RCW 49.12.240 is the law that states I have the right to see my entire personnel file and you do not have the right to withhold it. Please let me see it.

Sincerely,

Gillian Marshall

RE: Follow-up

SECRETARY OF THE FACULTY <secfac@uw.edu>

Wed 10/25/2017 5:39 PM

To: Gillian L. Marshall <geegee@uw.edu>

Just found the following additional from ADMINISTRATIVE POLICY STATE OF WASHINGTON  
DEPARTMENT OF LABOR AND INDUSTRIES EMPLOYMENT STANDARDS  
(<http://www.lni.wa.gov/WorkplaceRights/files/policies/esc7.pdf>):

" 'Personnel file' includes records that are regularly maintained by the employer as part of the business records or those that are subject to reference for information given to persons outside the company. The term 'personnel files' is further interpreted to generally include, but is not limited to, records of employment and such other information required for business or legal purposes; documents containing employees' qualifications; verification of training completed; signed job descriptions; supervisor's files; all performance evaluations, letters of commendation and letters of reprimand; salary, sick and vacation leave hours; and summaries of benefits and other similar information.

...

The department may take complaints from employees who have been denied access to their personnel file. The department may take complaints from workers and determine whether the worker is entitled to the rights set out in RCW 49.12.240- 260. If so, the department will contact the employer to request that the employer comply by allowing the employee to inspect the file. The department takes no enforcement position pertaining to disputes over the contents of a personnel file."

You should read the statement in its entirety.

**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

36 Gerberding, Box 351271, Seattle, WA 98195  
206.543.2637  
[secfac@uw.edu](mailto:secfac@uw.edu) / [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

From: SECRETARY OF THE FACULTY  
Sent: Wednesday, October 25, 2017 5:33 PM  
To: Gillian L Marshall <geegee@uw.edu>  
Subject: RE: Follow-up

App. 0094

Marshall000099

I am trying to get to the bottom of the letter release.

Here's what I have.

- (a) There are several State statutes dealing with employers being required to allow employees to see their personnel file.

First, coverage--RCW 49.12.005 (<http://app.leg.wa.gov/rcw/default.aspx?cite=49.12&full=true#49.12.005>): "On and after May 20, 2003, 'employer' means any person, firm, corporation, partnership, business trust, legal representative, or other business entity which engages in any business, industry, profession, or activity in this state and employs one or more employees, and includes the state, any state institution, state agency, political subdivisions of the state, and any municipal corporation or quasi-municipal corporation. However, this chapter and the rules adopted thereunder apply to these public employers only to the extent that this chapter and the rules adopted thereunder do not conflict with: (i) Any state statute or rule; and (ii) respect to political subdivisions of the state and any municipal or quasi-municipal corporation, any local resolution, ordinance, or rule adopted under the authority of the local legislative authority before April 1, 2003.

... 'Employee' means an employee who is employed in the business of the employee's employer whether by way of manual labor or otherwise. "Employee" does not include an individual who is at least sixteen years old but under twenty-one years old, in his or her capacity as a player for a junior ice hockey team that is a member of a regional, national, or international league and that contracts with an arena owned, operated, or managed by a public facilities district created under chapter 36.100 RCW."

Second, what must they do? RCW 49.12.240 (<http://app.leg.wa.gov/RCW/default.aspx?cite=49.12.240>):

*"Employee inspection of personnel file.*

Every employer shall, at least annually, upon the request of an employee, permit that employee to inspect any or all of his or her own personnel file(s)."

RCW 49.12.250 (<http://app.leg.wa.gov/RCW/default.aspx?cite=49.12.250>):

*"Employee inspection of personnel file—Erroneous or disputed information.*

(1) Each employer shall make such file(s) available locally within a reasonable period of time after the employee requests the file(s).

(2) An employee annually may petition that the employer review all information in the employee's personnel file(s) that are regularly maintained by the employer as a part of his business records or are subject to reference for information given to persons outside of the company. The employer shall determine if there is any irrelevant or erroneous information in the file(s), and shall remove all such information from the file(s). If an employee does not agree with the employer's determination, the employee may at his or her request have placed in the employee's personnel file a statement containing the employee's rebuttal or correction. Nothing in this subsection prevents the employer from removing information more frequently.

(3) A former employee shall retain the right of rebuttal or correction for a period not to exceed two years."

Third, are there any limitations? CW 49.12.260 (<http://app.leg.wa.gov/RCW/default.aspx?cite=49.12.260>):

*"Employee inspection of personnel file—Limitations.*

RCW 49.12.240 and 49.12.250 do not apply to the records of an employee relating to the investigation of a possible criminal offense. RCW 49.12.240 and 49.12.250 do not apply to information or records compiled in preparation for an impending lawsuit which would not be available to another party under the rules of pretrial discovery for causes pending in the superior courts."

What is not clear is whether the letter at issue is part of the "personnel file," however defined.

(b) What is the UW policy? Administrative Policy Section 57.9 (<http://www.washington.edu/admin/rules/policies/APS/57.09.html>):

## "5. Requests by Employees for Their Own Personnel Records

### A. General Procedures

Employees may make such requests either to the Director of Public Records and Open Public Meetings or the custodian of the records. If records from several offices are desired, the employee may find it more convenient to apply to the Director of Public Records and Open Public Meetings to coordinate their release. In addition, the following procedures apply to specific requests:

- 1) **Staff Employees**—Upon written request by an employee to the appropriate human resources office, arrangements are made to allow the employee or employee representative to review the individual's personnel file at the human resources office.
- 2) **Faculty Members**—Faculty members who have filed petitions with the Faculty Adjudication Committee should check with the Vice Provost for Academic Affairs in the Provost's Office before applying to the Director of Public Records and Open Public Meetings.

### B. Procedures for Staff Employees' Performance Evaluations

A copy of the final performance evaluation will be made available to the employee after the evaluation interview. Performance evaluations can be released only to the employee, the supervisor, and the supervisor's superior. It is the employing department's responsibility to maintain these as well as all other personnel records in a locked or secured file. The performance evaluations must be destroyed at the end of three years."

Note that it says the you can apply to the "custodian of the records." Otherwise, the Office of Public Records will "coordinate" their release.

(c) You may be interested in the WSU policy (<https://public-records.wsu.edu/>):

*"Can an employee make a public records request for his or her personnel file?"*

The law provides that employees can view their own personnel records. They should contact University Human Resource Services if they wish to do so. An employee should not submit a public records request to view his or her own personnel file. See BPPM 90.07."

BPPM 90.07

([http://public.wsu.edu/~forms/HTML/BPPM/90\\_Records/90.07\\_Release\\_of\\_Personnel\\_Records.htm](http://public.wsu.edu/~forms/HTML/BPPM/90_Records/90.07_Release_of_Personnel_Records.htm))

**"ACCESS TO PERSONNEL RECORDS**

**Individual's Own Records**

An individual employee, applicant, or volunteer has access to any of his or her own personnel records.

Any department holding personnel records is to provide them upon request to the employee who is the subject of the records. The department may contact Human Resource Services and/or Payroll Services for assistance."

**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

36 Gerberding, Box 351271, Seattle, WA 98195

206 543 2637

[secfac@uw.edu](mailto:secfac@uw.edu) / [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

**From:** Gillian L Marshall [<mailto:geegee@uw.edu>]  
**Sent:** Wednesday, October 25, 2017 1:47 PM  
**To:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Subject:** Re: Follow-up

He said he would send Alison and email authorizing her to give me access to my entire file.

G

**From:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Sent:** Wednesday, October 25, 2017 12:59:58 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Follow-up

I seems that what he is now saying is that they will not release the letter unless it is required by the state's public records act. But I thought you said he sent an email down to Tacoma telling them to give you the letter?--Mike

**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
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[secfac@uw.edu](mailto:secfac@uw.edu) / [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

**From:** Gillian L Marshall [<mailto:gaegee@uw.edu>]  
**Sent:** Wednesday, October 25, 2017 12:56 PM  
**To:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Subject:** Re: Follow-up

No not specifically. I did hear from Jamaul who indicated after our call he did some additional research and determined that a request needed to be made to public records and meetings. This did not make any sense to me.

G

---

**From:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Sent:** Wednesday, October 25, 2017 12:10:39 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Follow-up

Have you heard any more about getting Tom Diehm's letter?--Mike

**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

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**W** UNIVERSITY of WASHINGTON

From: Gillian L Marshall [mailto:[geegee@uw.edu](mailto:geegee@uw.edu)]  
Sent: Wednesday, October 25, 2017 7:47 AM  
To: SECRETARY OF THE FACULTY <[serfac@uw.edu](mailto:serfac@uw.edu)>  
Subject: Follow-up

Good Morning Mike,

I sent you copies of all the letters, emails we discussed yesterday and please let me know if you are missing anything. Upon further reflection, both the director and interim director have acted inappropriately in terms of following the policies outlined by the faculty code. As you will see there are several references to my K01 grant (which they knew I would receive prior to coming to UW) in a punitive way. Also as evidenced by my response, some of the statements in the directors letter are untrue. In my 1st year review I would like to have the sections with some of the following language removed ... "Although you would prefer not to teach in this area at this time.." "I know that you would really like to teach practice courses and I will keep this in mind going forward. Given how many faculty members we have who are skilled and like to teach in this area. this curricular area must be shared."

I would like to also suggest that my entire 2yr review recommendation by the interim director be thrown out. I understand that according to the faculty code the director is not required to be a tenured person. But I also don't believe it explicitly states that the director has to have a PhD. Is this to mean that a senior janitor could perform the same duty? This logic just does not make any sense?

Also, I forgot to mention that the social work program in Tacoma is a part of the School of Social Work in Seattle. We are tied together due to accreditation and not viewed as separate but as 1 program. Will this make a difference in considering moving tenure lines?

I welcome your thoughts and look forward to hearing from you after your conversation with Jill Purdy.

Sincerely,  
Gillian

## RE: Follow-up

SECRETARY OF THE FACULTY <secfac@uw.edu>

Wed 11/1/2017 12:05 PM

Re: Gillian L Marshall <geegee@uw.edu>

A. I talked with Jill Purdy yesterday. She was unaware of your situation so I filled her in on the following.

- (1) The lack of proper follow up to your first regular conference.
- (2) The lack of a second regular conference.
- (3) The personnel file.
- (4) The teaching issue.
- (5) Milestones/benchmarks with respect to the postponement.
- (6) General lack of mentoring.
- (7) How all this relates to recruitment and retention of underrepresented groups.

She listened very carefully, and she said she will begin by talking with Diane Young.

B. I met with the Assistant Vice Provost today about the personnel file issue. She is not in a position to question the current policy, which is to have you go through the public records office per APS 57.9, which will result in a redacted file. If you wish, I can continue to climb the ladder on this. I will say that the Senate Leadership has become interested in this issue.

### MIKE TOWNSEND

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

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**W** UNIVERSITY of WASHINGTON

**From:** Gillian L Marshall [mailto:geegee@uw.edu]  
**Sent:** Friday, October 27, 2017 3:24 PM  
**To:** SECRETARY OF THE FACULTY <secfac@uw.edu>  
**Subject:** Re: Follow-up

Thank you very much!  
Gillian

**From:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Sent:** Friday, October 27, 2017 3:01:43 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Follow-up

I have a meeting set up with yet a different Assistant Vice-Provost for Academic Personnel about this letter. I am calling Jill Purdy next Tuesday afternoon.--Mike

**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

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**W** UNIVERSITY of WASHINGTON

**From:** SECRETARY OF THE FACULTY  
**Sent:** Thursday, October 26, 2017 1:49 PM  
**To:** 'Gillian L Marshall' <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Subject:** RE: Follow-up

I called up the State. Their view is that the UW is covered, that the definition of "personnel file" includes the letter you request, and that they would expect it to be produced within 10 days of a request. What I am trying to track down is how one makes the request. APS 57.9 and AHR direct you to the Public Records Office, but someone at Public Records said they deal with public records requests not RCW 49.12.240 requests. I am slowly climbing up the ladder to try to get this resolved. I currently have a question in to the Assistant Vice-Provost for Academic Personnel. I'll let you know what I hear.--Mike

**MIKE TOWNSEND**

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**W** UNIVERSITY of WASHINGTON

**From:** Gillian L Marshall (<mailto:geegee@uw.edu>)  
**Sent:** Thursday, October 26, 2017 1:14 PM  
**To:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Subject:** Re: Follow-up

Thank you!

G

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**From:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Sent:** Wednesday, October 25, 2017 5:38:46 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Follow-up

Just found the following additional from ADMINISTRATIVE POLICY STATE OF WASHINGTON  
DEPARTMENT OF LABOR AND INDUSTRIES EMPLOYMENT STANDARDS  
(<http://www.lni.wa.gov/WorkplaceRights/files/policies/esc7.pdf>):

“ ‘Personnel file’ includes records that are regularly maintained by the employer as part of the business records or those that are subject to reference for information given to persons outside the company. The term ‘personnel files’ is further interpreted to generally include, but is not limited to, records of employment and such other information required for business or legal purposes: documents containing employees’ qualifications; verification of training completed; signed job descriptions; supervisor’s files; all performance evaluations, letters of commendation and letters of reprimand; salary, sick and vacation leave hours; and summaries of benefits and other similar information.

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The department may take complaints from employees who have been denied access to their personnel file. The department may take complaints from workers and determine whether the worker is entitled to the rights set out in RCW 49.12.240- 260. If so, the department will contact the employer to request that the employer comply by allowing the employee to inspect the file. The department takes no enforcement position pertaining to disputes over the contents of a personnel file.”

You should read the statement in its entirety.

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**W** UNIVERSITY of WASHINGTON

**From:** SECRETARY OF THE FACULTY  
**Sent:** Wednesday, October 25, 2017 5:33 PM  
**To:** Gillian L Marshall <[geee@uw.edu](mailto:geee@uw.edu)>  
**Subject:** RE: Follow-up

I am trying to get to the bottom of the letter release.

App. 0102

Marshall000107

Here's what I have.

- (a) There are several State statutes dealing with employers being required to allow employees to see their personnel file.

First, coverage--RCW 49.12.005 (<http://app.leg.wa.gov/rcw/default.aspx?cite=49.12&full=true#49.12.005>): "On and after May 20, 2003, 'employer' means any person, firm, corporation, partnership, business trust, legal representative, or other business entity which engages in any business, industry, profession, or activity in this state and employs one or more employees, and includes the state, any state institution, state agency, political subdivisions of the state, and any municipal corporation or quasi-municipal corporation. However, this chapter and the rules adopted thereunder apply to these public employers only to the extent that this chapter and the rules adopted thereunder do not conflict with: (i) Any state statute or rule; and (ii) respect to political subdivisions of the state and any municipal or quasi-municipal corporation, any local resolution, ordinance, or rule adopted under the authority of the local legislative authority before April 1, 2003.

... 'Employee' means an employee who is employed in the business of the employee's employer whether by way of manual labor or otherwise. "Employee" does not include an individual who is at least sixteen years old but under twenty-one years old, in his or her capacity as a player for a junior ice hockey team that is a member of a regional, national, or international league and that contracts with an arena owned, operated, or managed by a public facilities district created under chapter 35.100 RCW."

Second, what must they do? RCW 49.12.240 (<http://app.leg.wa.gov/RCW/default.aspx?cite=49.12.240>):

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(3) A former employee shall retain the right of rebuttal or correction for a period not to exceed two years."

Third, are there any limitations? CW 49.12.260 (<http://app.leg.wa.gov/RCW/default.aspx?cite=49.12.260>):

*"Employee inspection of personnel file—Limitations.*

RCW [49.12.240](#) and [49.12.250](#) do not apply to the records of an employee relating to the investigation of a possible criminal offense. RCW [49.12.240](#) and [49.12.250](#) do not apply to information or records compiled in preparation for an impending lawsuit which would not be available to another party under the rules of pretrial discovery for causes pending in the superior courts."

What is not clear is whether the letter at issue is part of the "personnel file," however defined.

(b) What is the UW policy? Administrative Policy Section 57.9 (<http://www.washington.edu/admin/rules/policies/APS/57.09.html>):

## "5. Requests by Employees for Their Own Personnel Records

### A. General Procedures

Employees may make such requests either to the Director of Public Records and Open Public Meetings or the custodian of the records. If records from several offices are desired, the employee may find it more convenient to apply to the Director of Public Records and Open Public Meetings to coordinate their release. In addition, the following procedures apply to specific requests:

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Note that it says the you can apply to the "custodian of the records." Otherwise, the Office of Public Records will "coordinate" their release.

(c) You may be interested in the WSU policy (<https://public-records.wsu.edu/>):

*"Can an employee make a public records request for his or her personnel file?"*

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BPPM 90.07

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**"ACCESS TO PERSONNEL RECORDS**

**Individual's Own Records**

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**MIKE TOWNSEND**

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**W** UNIVERSITY of WASHINGTON

**From:** Gillian L Marshall [<mailto:geegee@uw.edu>]  
**Sent:** Wednesday, October 25, 2017 1:47 PM  
**To:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Subject:** Re: Follow-up

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G

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**Sent:** Wednesday, October 25, 2017 12:59:58 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Follow-up

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**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
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**Sent:** Wednesday, October 25, 2017 12:56 PM  
**To:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Subject:** Re: Follow-up

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G

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**From:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Sent:** Wednesday, October 25, 2017 12:10:39 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Follow-up

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**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

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[secfac@uw.edu](mailto:secfac@uw.edu) / [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

From: Gillian L Marshall [mailto:[geegee@uw.edu](mailto:geegee@uw.edu)]  
Sent: Wednesday, October 25, 2017 7:47 AM  
To: SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
Subject: Follow-up

Good Morning Mike,

I sent you copies of all the letters, emails we discussed yesterday and please let me know if you are missing anything. Upon further reflection, both the director and interim director have acted inappropriately in terms of following the policies outlined by the faculty code. As you will see there are several references to my K01 grant (which they knew I would receive prior to coming to UW) in a punitive way. Also as evidenced by my response, some of the statements in the directors letter are untrue. In my 1st year review I would like to have the sections with some of the following language removed ... "Although you would prefer not to teach in this area at this time.." "I know that you would really like to teach practice courses and I will keep this in mind going forward. Given how many faculty members we have who are skilled and like to teach in this area. this curricular area must be shared."

I would like to also suggest that my entire 2yr review recommendation by the interim director be thrown out. I understand that according to the faculty code the director is not required to be a tenured person. But I also don't believe it explicitly states that the director has to have a PhD. Is this to mean that a senior janitor could perform the same duty? This logic just does not make any sense?

Also, I forgot to mention that the social work program in Tacoma is a part of the School of Social Work in Seattle. We are tied together due to accreditation and not viewed as separate but as 1 program. Will this make a difference in considering moving tenure lines?

I welcome your thoughts and look forward to hearing from you after your conversation with Jill Purdy.

Sincerely,  
Gillian

## RE: Public Records Request PR-2017-00909 (Marshall)

SECRETARY OF THE FACULTY <secfac@uw.edu>

Fri 12/8/2017 5:26 PM

To: Gillian L Marshall <geegee@uw.edu>

I heard back from WSU. Their position is that they are free to define "personnel file" so that it does not include materials related to reappointment, promotion, or tenure. RPT materials have to be accessed through a public-records request. When I asked for specific authority justifying such freedom, there were some words about how the statute (the RCW's) and accompanying state administrative policy statement (ES.C.7) are vague. In other words, WSU seems to be taking the same position as the UW. I have a call in to State Labor and Industries because that does not seem consistent with what I was told by the State originally.--Mike

### MIKE TOWNSEND

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

36 Gerberding, Box 351271, Seattle, WA 98195  
206.543.2637

[secfac@uw.edu](mailto:secfac@uw.edu) / [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

**From:** Gillian L Marshall [mailto:[geegee@uw.edu](mailto:geegee@uw.edu)]  
**Sent:** Monday, December 4, 2017 10:43 AM  
**To:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Subject:** Re: Public Records Request PR-2017-00909 (Marshall)

Thank you for your help.

G

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**From:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Sent:** Monday, December 4, 2017 10:39:38 AM  
**To:** Gillian L Marshall  
**Subject:** RE: Public Records Request PR-2017-00909 (Marshall)

So far, I have not found a receptive ear on this. If I can't get anyone to listen to me before December 13, we'll have to see what is produced and go from there.--Mike

### MIKE TOWNSEND

Secretary of the Faculty, University of Washington

Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

36 Gerberding, Box 351271, Seattle, WA 98195  
206.543.2637  
[secfac@uw.edu](mailto:secfac@uw.edu) / [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

**From:** Gillian L Marshall [<mailto:geegee@uw.edu>]  
**Sent:** Saturday, December 2, 2017 7:37 PM  
**To:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Subject:** Re: Public Records Request PR-2017-00909 (Marshall)

Hi Mike,

I hope this email finds you well. Nothing has changed here and thought I would check in to see how your two other meetings have gone.

Thanks!  
G

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**From:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Sent:** Monday, November 20, 2017 10:05:22 AM  
**To:** Gillian L Marshall  
**Subject:** RE: Public Records Request PR-2017-00909 (Marshall)

We should see what they produce. I have one or two other people that I can call in the meantime.--Mike

**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

36 Gerberding, Box 351271, Seattle, WA 98195  
206.543.2637  
[secfac@uw.edu](mailto:secfac@uw.edu) / [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

**From:** Gillian L Marshall [<mailto:geegee@uw.edu>]  
**Sent:** Monday, November 20, 2017 10:00 AM  
**To:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Subject:** Re: Public Records Request PR-2017-00909 (Marshall)

I agree it is not a public records request, but no one else besides you and I seem to believe that this is an HR personnel issue. I am at a loss. Should we just wait and see what they offer in regards to documentation?

G

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**From:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Sent:** Monday, November 20, 2017 9:55:18 AM  
**To:** Gillian L Marshall  
**Subject:** RE: Public Records Request PR-2017-00909 (Marshall)

They are treating it as a public records request, which it is not. Of course, the proper RCW is 49.12.250, which applies to personnel file requests and which is interpreted by the state as 10 days unless there is specific need (<http://www.lni.wa.gov/WorkplaceRights/files/policies/esc7.pdf>).--Mike

**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

36 Gerberding, Box 351271, Seattle, WA 98195  
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**W** UNIVERSITY of WASHINGTON

---

**From:** Gillian L Marshall [<mailto:geee@uw.edu>]  
**Sent:** Monday, November 20, 2017 9:29 AM  
**To:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Subject:** Fw: Public Records Request PR-2017-00909 (Marshall)

FYI....

---

**From:** PUBLIC RECORDS OFFICE <[pubrec@uw.edu](mailto:pubrec@uw.edu)>  
**Sent:** Monday, November 20, 2017 9:23 AM  
**To:** Gillian L Marshall  
**Subject:** Public Records Request PR-2017-00909 (Marshall)

November 20, 2017  
Gillian Marshall  
4101 15th Ave NE  
Seattle, WA 98105  
Re: Public Records Request PR-2017-00909  
Dear Ms. Marshall:

I am writing to acknowledge receipt of your public records request on November 13, 2017. We estimate we will respond to your request by December 13, 2017. As allowed by RCW 42.56.520, if

additional time is needed to locate, review or assemble documents or to notify third parties affected by your request, we will contact you.

If you need to contact us about your request, please have the request number noted above available.

If you have any questions, please feel free to contact this office.

Sincerely,

Andrew Palmer

Compliance Analyst

UNIVERSITY OF WASHINGTON

Office of Public Records and Open Public Meetings

Mail: Roosevelt Commons-Box 354997, Seattle, WA 98195

Street: 4311 11th Ave NE, #360

206.543.9180 fax 206.616.6294

[pubrec@uw.edu](mailto:pubrec@uw.edu) <http://depts.washington.edu/pubrec/>

## Public Records and Open Meetings

[depts.washington.edu](http://depts.washington.edu)

University of Washington

RE: Follow-up

SECRETARY OF THE FACULTY <secfac@uw.edu>

Wed 10/25/2017 5:39 PM

To: Gillian L Marshall <geegee@uw.edu>

Just found the following additional from ADMINISTRATIVE POLICY STATE OF WASHINGTON  
DEPARTMENT OF LABOR AND INDUSTRIES EMPLOYMENT STANDARDS  
(<http://www.lni.wa.gov/WorkplaceRights/files/policies/esc7.pdf>):

" 'Personnel file' includes records that are regularly maintained by the employer as part of the business records or those that are subject to reference for information given to persons outside the company. The term 'personnel files' is further interpreted to generally include, but is not limited to, records of employment and such other information required for business or legal purposes; documents containing employees' qualifications; verification of training completed; signed job descriptions; supervisor's files; all performance evaluations, letters of commendation and letters of reprimand; salary, sick and vacation leave hours; and summaries of benefits and other similar information.

...

The department may take complaints from employees who have been denied access to their personnel file. The department may take complaints from workers and determine whether the worker is entitled to the rights set out in RCW 49.12.240- 260. If so, the department will contact the employer to request that the employer comply by allowing the employee to inspect the file. The department takes no enforcement position pertaining to disputes over the contents of a personnel file."

You should read the statement in its entirety.

**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

36 Gerberding, Box 351271, Seattle, WA 98195  
206.543.2837

[secfac@uw.edu](mailto:secfac@uw.edu) / [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

**From:** SECRETARY OF THE FACULTY  
**Sent:** Wednesday, October 25, 2017 5:33 PM  
**To:** Gillian L Marshall <geegee@uw.edu>  
**Subject:** RE: Follow-up

App. 0112

Marshall000117

I am trying to get to the bottom of the letter release.

Here's what I have.

- (a) There are several State statutes dealing with employers being required to allow employees to see their personnel file.

First, coverage--RCW 49.12.005 (<http://app.leg.wa.gov/rcw/default.aspx?cite=49.12&full=true#49.12.005>): "On and after May 20, 2003, 'employer' means any person, firm, corporation, partnership, business trust, legal representative, or other business entity which engages in any business, industry, profession, or activity in this state and employs one or more employees, and includes the state, any state institution, state agency, political subdivisions of the state, and any municipal corporation or quasi-municipal corporation. However, this chapter and the rules adopted thereunder apply to these public employers only to the extent that this chapter and the rules adopted thereunder do not conflict with: (i) Any state statute or rule; and (ii) respect to political subdivisions of the state and any municipal or quasi-municipal corporation, any local resolution, ordinance, or rule adopted under the authority of the local legislative authority before April 1, 2003.

... 'Employee' means an employee who is employed in the business of the employee's employer whether by way of manual labor or otherwise. "Employee" does not include an individual who is at least sixteen years old but under twenty-one years old, in his or her capacity as a player for a junior ice hockey team that is a member of a regional, national, or international league and that contracts with an arena owned, operated, or managed by a public facilities district created under chapter 36.100 RCW."

Second, what must they do? RCW 49.12.240 (<http://app.leg.wa.gov/RCW/default.aspx?cite=49.12.240>):

*"Employee inspection of personnel file.*

Every employer shall, at least annually, upon the request of an employee, permit that employee to inspect any or all of his or her own personnel file(s)."

RCW 49.12.250 (<http://app.leg.wa.gov/RCW/default.aspx?cite=49.12.250>):

*"Employee inspection of personnel file—Erroneous or disputed information.*

(1) Each employer shall make such file(s) available locally within a reasonable period of time after the employee requests the file(s).

(2) An employee annually may petition that the employer review all information in the employee's personnel file(s) that are regularly maintained by the employer as a part of his business records or are subject to reference for information given to persons outside of the company. The employer shall determine if there is any irrelevant or erroneous information in the file(s), and shall remove all such information from the file(s). If an employee does not agree with the employer's determination, the employee may at his or her request have placed in the employee's personnel file a statement containing the employee's rebuttal or correction. Nothing in this subsection prevents the employer from removing information more frequently.

(3) A former employee shall retain the right of rebuttal or correction for a period not to exceed two years."

Third, are there any limitations? CW 49.12.260 (<http://app.leg.wa.gov/RCW/default.aspx?cite=49.12.260>):

*"Employee inspection of personnel file—Limitations.*

RCW [49.12.240](#) and [49.12.250](#) do not apply to the records of an employee relating to the investigation of a possible criminal offense. RCW [49.12.240](#) and [49.12.250](#) do not apply to information or records compiled in preparation for an impending lawsuit which would not be available to another party under the rules of pretrial discovery for causes pending in the superior courts."

What is not clear is whether the letter at issue is part of the "personnel file," however defined.

(b) What is the UW policy? Administrative Policy Section 57.9 (<http://www.washington.edu/admin/rules/policies/APS/57.09.html>):

## "5. Requests by Employees for Their Own Personnel Records

### A. General Procedures

Employees may make such requests either to the Director of Public Records and Open Public Meetings or the custodian of the records. If records from several offices are desired, the employee may find it more convenient to apply to the Director of Public Records and Open Public Meetings to coordinate their release. In addition, the following procedures apply to specific requests:

- 1) **Staff Employees**—Upon written request by an employee to the appropriate human resources office, arrangements are made to allow the employee or employee representative to review the individual's personnel file at the human resources office.
- 2) **Faculty Members**—Faculty members who have filed petitions with the Faculty Adjudication Committee should check with the Vice Provost for Academic Affairs in the Provost's Office before applying to the Director of Public Records and Open Public Meetings.

### B. Procedures for Staff Employees' Performance Evaluations

A copy of the final performance evaluation will be made available to the employee after the evaluation interview. Performance evaluations can be released only to the employee, the supervisor, and the supervisor's superior. It is the employing department's responsibility to maintain these as well as all other personnel records in a locked or secured file. The performance evaluations must be destroyed at the end of three years."

Note that it says the you can apply to the "custodian of the records." Otherwise, the Office of Public Records will "coordinate" their release.

(c) You may be interested in the WSU policy (<https://public-records.wsu.edu/>):

*"Can an employee make a public records request for his or her personnel file?"*

The law provides that employees can view their own personnel records. They should contact University Human Resource Services if they wish to do so. An employee should not submit a public records request to view his or her own personnel file. See BPPM 90.07."

BPPM 90.07

([http://public.wsu.edu/~forms/HTML/BPPM/90\\_Records/90.07\\_Release\\_of\\_Personnel\\_Records.htm](http://public.wsu.edu/~forms/HTML/BPPM/90_Records/90.07_Release_of_Personnel_Records.htm))

**"ACCESS TO PERSONNEL RECORDS**

**Individual's Own Records**

An individual employee, applicant, or volunteer has access to any of his or her own personnel records.

Any department holding personnel records is to provide them upon request to the employee who is the subject of the records. The department may contact Human Resource Services and/or Payroll Services for assistance."

**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

36 Gerberding, Box 351271, Seattle, WA 98195  
206.543.2637  
[secfac@uw.edu](mailto:secfac@uw.edu) / [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

From: Gillian L Marshall (<mailto:geegee@uw.edu>)  
Sent: Wednesday, October 25, 2017 1:47 PM  
To: SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
Subject: Re: Follow-up

He said he would send Alison and email authorizing her to give me access to my entire file.

G

**From:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Sent:** Wednesday, October 25, 2017 12:59:58 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Follow-up

I seems that what he is now saying is that they will not release the letter unless it is required by the state's public records act. But I thought you said he sent an email down to Tacoma telling them to give you the letter?--Mike

**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

36 Gerberding, Box 351271, Seattle, WA 98195  
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[secfac@uw.edu](mailto:secfac@uw.edu) | [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

**From:** Gillian L Marshall [<mailto:geezee@uw.edu>]  
**Sent:** Wednesday, October 25, 2017 12:56 PM  
**To:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Subject:** Re: Follow-up

No not specifically. I did hear from Jamaul who indicated after our call he did some additional research and determined that a request needed to be made to public records and meetings. This did not make any sense to me.

G

---

**From:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Sent:** Wednesday, October 25, 2017 12:10:39 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Follow-up

Have you heard any more about getting Tom Diehm's letter?--Mike

**MIKE TOWNSEND**

Secretary of the Faculty, University of Washington  
Associate Professor, School of Law  
Adjunct Associate Professor, Department of Philosophy  
Faculty Director, Ph.D. in Law Program

36 Gerberding, Box 351271, Seattle, WA 98195  
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[secfac@uw.edu](mailto:secfac@uw.edu) | [www.washington.edu/faculty/secfac](http://www.washington.edu/faculty/secfac)

**W** UNIVERSITY of WASHINGTON

From: Gillian L Marshall (<mailto:geegee@uw.edu>)  
Sent: Wednesday, October 25, 2017 7:47 AM  
To: SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
Subject: Follow-up

Good Morning Mike,

I sent you copies of all the letters, emails we discussed yesterday and please let me know if you are missing anything. Upon further reflection, both the director and interim director have acted inappropriately in terms of following the policies outlined by the faculty code. As you will see there are several references to my K01 grant (which they knew I would receive prior to coming to UW) in a punitive way. Also as evidenced by my response, some of the statements in the directors letter are untrue. In my 1st year review I would like to have the sections with some of the following language removed ... "Although you would prefer not to teach in this area at this time.." "I know that you would really like to teach practice courses and I will keep this in mind going forward. Given how many faculty members we have who are skilled and like to teach in this area. this curricular area must be shared."

I would like to also suggest that my entire 2yr review recommendation by the interim director be thrown out. I understand that according to the faculty code the director is not required to be a tenured person. But I also don't believe it explicitly states that the director has to have a PhD. Is this to mean that a senior janitor could perform the same duty? This logic just does not make any sense?

Also, I forgot to mention that the social work program in Tacoma is a part of the School of Social Work in Seattle. We are tied together due to accreditation and not viewed as separate but as 1 program. Will this make a difference in considering moving tenure lines?

I welcome your thoughts and look forward to hearing from you after your conversation with Jill Purdy.

Sincerely,  
Gillian

**From:** Gillian L Marshall [<mailto:gmarshall@uw.edu>]  
**Sent:** Wednesday, November 08, 2017 5:12 AM  
**To:** Mark A Pagano; SECRETARY OF THE FACULTY  
**Subject:** Re: Personnel file

Hi Mark,

Now that you are aware of this situation, how would suggest we proceed?

Gillian

---

**From:** Mark A Pagano <[mpagano@uw.edu](mailto:mpagano@uw.edu)>  
**Sent:** Friday, November 3, 2017 1:22:41 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Personnel file

Thank you Gillian,

This is the first I had heard of this, I appreciate you making me aware of it. Mark

**From:** Gillian L Marshall [<mailto:gmarshall@uw.edu>]  
**Sent:** Thursday, November 02, 2017 3:55 PM  
**To:** Mark A Pagano  
**Subject:** Fw: Personnel file

Hi Mark,  
I forgot to add you to this email. Please see below....

Thank you!  
Gillian

---

**From:** Gillian L Marshall  
**Sent:** Thursday, November 2, 2017 3:29 PM  
**To:** Alison Hendricks  
**Cc:** Cheryl A. Cameron; Laura Wood; SECRETARY OF THE FACULTY; Jill M Purdy  
**Subject:** Re: Personnel file

Hello Allison,

On Monday, October 23, 2017 I requested to view my personnel file and your response was to make a request through public records. I understand that the following section of the RCW 49.12.240 is the law that states I have the right to see my entire personnel file and you do not have the right to withhold it. Please let me see it.

Sincerely,

Gillian Marshall

RE: Great to see you yesterday!

Mark A Pagano <mpagano@uw.edu>

Sun 12/3/2017 12:18 PM

To: Gillian L Marshall <geegee@uw.edu>

Hello Professor Marshall,

I was glad to see you too - our paths have not crossed often this fall. I will check to find out the status of your information request. Also, I was surprised to hear that you are not being encouraged with your NIH grant work. My understanding is that we knew about this when you were recruited. I will also look into why you might be receiving this advice.

Thank you, and I hope you enjoyed your week end. Mark

---

**From:** Gillian L Marshall [mailto:geegee@uw.edu]

**Sent:** Saturday, December 02, 2017 7:18 PM

**To:** Mark A Pagano

**Subject:** Great to see you yesterday!

Hi Chancellor Pagano,

It was nice to see you at the Equity and Inclusion Holiday Celebration yesterday. Thank you for asking about the status of receiving my personnel file. As I shared, to date I have not received anything.

Also, thank you for asking about my research project based on my funded NIH grant. Although the advice I received from senior faculty (Dr. Charley Emler) in my unit was to not apply for any other grants. I was happy to learn from you during our discussion that was not your position and you are in support of my efforts to apply for future NIH funding.

Thank you!

Gillian

## Re: Personnel file

Gillian L Marshall

Thu 11/2/2017 3:29 PM

Sent Items

To: Alison Hendricks <alison5@uw.edu>;

Cc: Cheryl A. Cameron <ccameron@uw.edu>; Laura Wood <lwood3@uw.edu>; SECRETARY OF THE FACULTY <secfac@uw.edu>; Jill M Purdy <jpurdy@uw.edu>;

Hello Allison,

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Sincerely,

Gillian Marshall

RE: Great to see you yesterday!

Mark A Pagano <mpagano@uw.edu>

Sun 12/3/2017 12:18 PM

To: Gillian L Marshall <geegee@uw.edu>;

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Thank you, and I hope you enjoyed your week end. Mark

---

**From:** Gillian L Marshall [mailto:geegee@uw.edu]

**Sent:** Saturday, December 02, 2017 7:18 PM

**To:** Mark A Pagano

**Subject:** Great to see you yesterday!

Hi Chancellor Pagano,

It was nice to see you at the Equity and Inclusion Holiday Celebration yesterday. Thank you for asking about the status of receiving my personnel file. As I shared, to date I have not received anything.

Also, thank you for asking about my research project based on my funded NIH grant. Although the advice I received from senior faculty (Dr. Charley Emlet) in my unit was to not apply for any other grants, I was happy to learn from you during our discussion that was not your position and you are in support of my efforts to apply for future NIH funding.

Thank you!

Gillian

## RE: Follow-up

Mark A Pagano <mpagano@uw.edu>

Wed 5/9/2018 7:09 AM

To: Gillian L Marshall <geegee@uw.edu>;

Gillian,

Dr. Purdy understands that we have provided the documents from your file that we are permitted to send. If there is something that Mike Townsend believes you should have access to that you have not been provided, please let the Records Office know and they can request it. These faculty personnel files that seem to be what you are referring to are kept in Seattle. Mark

---

**From:** Gillian L Marshall [mailto:geegee@uw.edu]

**Sent:** Monday, May 07, 2018 9:25 AM

**To:** Mark A Pagano

**Subject:** Fw: Follow-up

Hello Chancellor Pagano,

Below was the information send to me by the secretary of the faculty stating I should have access to my entire file.

Thanks!

Gillian

---

**From:** SECRETARY OF THE FACULTY <secfac@uw.edu>

**Sent:** Wednesday, October 25, 2017 5:38 PM

**To:** Gillian L Marshall

**Subject:** RE: Follow-up

Just found the following additional from ADMINISTRATIVE POLICY STATE OF WASHINGTON DEPARTMENT OF LABOR AND INDUSTRIES EMPLOYMENT STANDARDS

(<http://www.lni.wa.gov/WorkplaceRights/files/policies/esc7.pdf>):

“ ‘Personnel file’ includes records that are regularly maintained by the employer as part of the business records or those that are subject to reference for information given to persons outside the company. The term ‘personnel files’ is further interpreted to generally include, but is not limited to, records of employment and such other information required for business or legal purposes; documents containing employees’ qualifications; verification of training completed; signed job descriptions; supervisor’s files; all performance evaluations, letters of commendation and letters of reprimand; salary, sick and vacation leave hours; and summaries of benefits and other similar information.

## Fw: congratulations and a question

Marian Harris <mh24@uw.edu>

Thu 3/1/2018 11:24 AM

To: Gillian L Marshall <geegee@uw.edu>;

FYI

\*\*\*\*\*

**Marian S. Harris, PhD, MSW, LICSW, ACSW**  
Professor of Social Work  
University of Washington Tacoma  
Social Work & Criminal Justice Program  
1900 Commerce Street  
Tacoma, WA 98402-3100  
Phone: (253) 692-4554  
Fax: (253) 692-5825

---

**From:** Diane S Young <youngd4@uw.edu>  
**Sent:** Thursday, March 1, 2018 8:39 AM  
**To:** Marian Harris  
**Subject:** RE: congratulations and a question

Hi Marian,

Perhaps Gillian did know your reasons – My email to you went out before I'd received one from her saying she decided not to request you be on the committee. When I emailed her you declined, I learned it was a joint decision and you had concerns about the process and it was a confidential discussion. I would not have contacted you with the request while on sabbatical if I'd known, so sorry about that! If at some point you want to discuss information related to your concerns about the process, in the hopes of improving our process, please let me know.

Take care and enjoy the rest of your leave!  
Diane

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**From:** Marian Harris [mailto:mh24@uw.edu]  
**Sent:** Wednesday, February 28, 2018 3:53 PM  
**To:** Diane S Young <youngd4@uw.edu>  
**Subject:** Re: congratulations and a question

Hi Diane:

You are welcome! Thank you for removing me from the committee. Frankly, I thought that I had made it clear to Gillian the reasons I could not serve on her committee. Thank you for removing me from the committee.

You are absolutely right about a sabbatical time being 'especially precious'. The time goes by very quickly.

Best,  
Marian

\*\*\*\*\*

**Marian S. Harris, PhD, MSW, LICSW, ACSW**  
Professor of Social Work  
University of Washington Tacoma  
Social Work & Criminal Justice Program  
1900 Commerce Street  
Tacoma, WA 98402-3100  
Phone: (253) 692-4554  
Fax: (253) 692-5825

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**From:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Sent:** Wednesday, February 28, 2018 12:51 PM  
**To:** Marian Harris  
**Subject:** RE: congratulations and a question

Hello Marian,  
Thank you for your quick reply. I will leave you off the committee. Sabbatical time is especially precious.  
Best wishes,  
Diane

---

**From:** Marian Harris [<mailto:mh24@uw.edu>]  
**Sent:** Wednesday, February 28, 2018 11:57 AM  
**To:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Subject:** Re: congratulations and a question

Hi Diane:  
Thank you! I am not interested nor do I have the time to serve on Gillian's committee.  
Marian

Sent from my iPhone

On Feb 28, 2018, at 11:52 AM, Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)> wrote:

Hello Marian,  
I hope you are well.

Congratulations on your award as Social Worker of the Year for NASW-WAI That is outstanding.

I am putting together Gillian's reappointment review committee and she told me that she has asked you to be on it. I checked with Academic HR (Alison Hendricks) and she explained that there is no rule against serving while you are on sabbatical, but it is not advisable because the time is intended for other things. At the same time, if you choose to do so, it is your decision. I do not like to ask you while on sabbatical, but Gillian prefers you to be on it, and I want to honor that. I believe the decision should be yours, and so I am reaching out with the request. If you will let me know your preference, I am happy to go with that and support your decision.

Some additional information should you consider serving... Because we are waiting for Gillian's course evals from winter quarter to come in, the committee's review will take place in April. Gillian's materials are due April 2 and the Committee needs to have its report completed by April 30. Melissa Lavitt has agreed to Chair and Charley has also agreed to serve.

Thank you for your consideration,  
Diane

## FW: Getting together

Michelle D. Garner <mdgarner@uw.edu>

Mon 4/23/2018 9:48 AM

To: Gillian L Marshall <geegee@uw.edu>;

Hi Gillian,

Further to my message below – I should directly clarify that your email's characterization of our Friday conversation does not match my understanding, nor does it accurately reflect what I expressed. I am happy to speak further, if that would be helpful to you.

I am sorry you are struggling with your student evaluations. I am glad to offer perspective, suggestions, or moral support, which we all need from time to time.

Sincerely,  
Michelle

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**From:** Michelle D. Garner  
**Sent:** Saturday, April 21, 2018 11:55 AM  
**To:** 'Gillian L Marshall' <geegee@uw.edu>  
**Subject:** RE: Getting together

Hi Gillian– I am glad we were able to touch bases about this. As I relayed to you yesterday, when asked by students about you and how our classes might differ I had encouraged students to take your class and offered that, juxtaposed to taking another class with me, you: have a different background and expert knowledge, work a lot in geriatric research and will be really current with literature and practice issues, will have different examples, and generally will offer a different lens and take on social work. Like you, I think it is important to foster a collaborative, supportive relationship with my fellow faculty. Let me know if there are ways I can further develop such a relationship with you going forward.

Sincerely,  
Michelle

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**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Friday, April 20, 2018 9:25 PM  
**To:** Michelle D. Garner <mdgarner@uw.edu>  
**Subject:** Re: Getting together

Hi Michelle,

Thank you for your honesty and apology today regarding the statements you made about me to students. Although you stated it was not your intention for it to come across negatively, it was received negatively and impacted my teaching evaluations. I hope moving forward we will be positive about one another when talking with students.

Best,  
Gillian

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**From:** Michelle D. Garner <[mdgarner@uw.edu](mailto:mdgarner@uw.edu)>  
**Sent:** Friday, April 20, 2018 10:24:36 AM  
**To:** Gillian L Marshall  
**Subject:** RE: Getting together

That works. Connect after the meeting then?  
M

---

**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Wednesday, April 18, 2018 4:17 PM  
**To:** Michelle D. Garner <[mdgarner@uw.edu](mailto:mdgarner@uw.edu)>  
**Subject:** Re: Getting together

Hi Michelle,

That's fine. I can check in with you after Friday's meeting if that works?

G

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**From:** Michelle D. Garner <[mdgarner@uw.edu](mailto:mdgarner@uw.edu)>  
**Sent:** Tuesday, April 10, 2018 10:38:57 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Getting together

Hi Gillian – sorry to have run past you today. I was literally scurrying to my class (that was moments from starting). The day was like that, with one meeting ending largely because the next was about to start. I could call you tomorrow....

Cheers,  
M

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**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Tuesday, April 10, 2018 1:05 PM  
**To:** Michelle D. Garner <[mdgarner@uw.edu](mailto:mdgarner@uw.edu)>  
**Subject:** Re: Getting together

Hi Michelle,

It will only take 5 minutes or so if you have the time today. I would appreciate it.

Thanks!

G

---

**From:** Michelle D. Garner <[mdgarner@uw.edu](mailto:mdgarner@uw.edu)>

**Sent:** Tuesday, April 10, 2018 11:43:51 AM

**To:** Gillian L Marshall

**Subject:** RE: Getting together

Hi Gillian – I am on campus latter today, but am booked with back to back meetings through class tonight. My Thur this weeks is the same and next Tuesday is shaping up similarly. It is the flurry of spring tasks and graduate school contemplation, etc. What did you want to talk about? Might a phone call work, which would make scheduling easier?

Best,

M

---

**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>

**Sent:** Monday, April 9, 2018 12:24 PM

**To:** Michelle D. Garner <[mdgarner@uw.edu](mailto:mdgarner@uw.edu)>

**Subject:** Getting together

Hi Michelle,

I hope your quarter is off to a good start. I am wondering if you will be around tomorrow? I would like to get together if you are available.

Thanks!

G

April 16, 2018

To: Diane Young, Director – SW&CJ, UWT  
Fr: Melissa Lavitt (Chair), Charles Emlet, and Taryn Lindhorst  
Reappointment Review Committee  
Re: Reappointment of Gillian Marshall

The three-member review committee met on April 11, 2018 on the Seattle campus. We discussed, at length, Dr. Marshall's 339-page file. Earlier, we received and reviewed the memo from last year's reappointment committee. The 2017 reappointment decision was postponed until this year. This memorandum will summarize our deliberation as well as our recommendations.

**Research:**

Clearly research is Dr. Marshall's area of strength. As documented in last year's report, Dr. Marshall's research - both in quality and quantity - is outstanding. She has enjoyed tremendous and on-going success in securing external funding including a K01 award, and an NIF/NCI Diversity Supplement. Dr. Marshall has 15 publications, including eight that were completed at UWT. Her research on older adults, stress, financial hardship and health provides a rich and fruitful foundation for future work. There is no doubt that Dr. Marshall is building a reputation as a leading scholar in this area.

Dr. Marshall's success as a researcher is unequivocal. Her scholarship is on a trajectory for increasing productivity and impact in an under-explored and critical area of inquiry. If this were the sole requirement for reappointment, then the decision would be an easy one. Unlike many junior faculty who may struggle to establish a research agenda and track record, Dr. Marshall's research file more closely resembles that of a more senior scholar. The previous reappointment postponement and the current decision hinge more specifically on her teaching and service. Therefore, the remainder of this summary will focus on these two aspects of her file with particular emphasis on teaching.

**Teaching:**

Dr. Marshall's K01 award requires the institution to provide her 75% release time to devote to her research. This leaves only 25% effort divided (unequally) between teaching and service commitments. This was the agreement under which Dr. Marshall was hired; however, teaching only one course per year provides few data points to demonstrate one's teaching effectiveness. To date, Dr. Marshall has taught three classes: Intro to Social Work (TSOCW 101) and the second HBSE class (TSOCW 503). Based on last year's recommendation, Dr. Marshall gave up her research quarter (W'18) to teach HBSE again in an effort to demonstrate an improved experience for students.

To summarize, with only three classes and three sets of evaluations there is limited and contradictory evidence of teaching excellence. Her evaluations in the undergraduate TSOCW 101 were strong and on track, but her teaching evaluations in the graduate HBSE classes have been poor. In her last review, Dr. Marshall was provided with several suggestions for obtaining consultation to improve her teaching and she followed through on these recommendations made by last year's committee. Specifically, she sought out help from experts in Seattle's Center for Teaching and Learning, made extensive revisions to the syllabus for TSOCW 503, attended teaching workshops at CSWE, and described a variety of other strategies to demonstrate her commitment to quality teaching. In spite of these efforts, students rated their overall experience this year as 1.3, down from last year's score of 2.8, combined median and 3.3 adjusted median. The most recent score (both adjusted and unadjusted median) is an extraordinarily

low score for SW&CJ faculty and a surprising trend downwards given the effort that Dr. Marshall made to improve her teaching performance.

It should be noted that student evaluations are only one measure of teaching effectiveness, and as the research suggests, these represent an imperfect measure at best. As we know, and Dr. Kalikoff's letter confirms, student evaluations are subject to gender and racial biases similar to those found in the general public. We assume that Dr. Marshall's evaluations reflect similar biases. In spite of her extensive planning (see rubrics, outlines, class discussion questions, etc. found in the portfolio) students complained that the course and the instructor were "disorganized." It is difficult to understand the basis for the students' critique, and we believe that bias does provide some explanation. Dr. Kalikoff notes that some students are also unprepared for an active learning classroom in which they are expected to have high levels of participation, such as the kind of teaching strategy that Dr. Marshall employs. There is evidence of this belief in the student evaluations where they stated that they would have preferred traditional lectures over experiential learning exercises. Without more evidence (i.e., similar evaluations in courses other than TSOCW 503) we are unsure if these two factors (racial/gender bias and active learning teaching) completely account for the students' negative assessment.

While student evaluations are but one measure of classroom effectiveness, social work faculty on this campus, in general, receive much higher scores. It should be noted that two collegial assessments of Gillian's teaching positively evaluated her classroom performance and were particularly impressed with the high level of preparation and attention to equity that they observed. The committee acknowledges the role of bias in student assessments of faculty, and this bias requires, unfortunately, that affected faculty develop strategies to address negative predispositions that students may hold. This is the essence of the challenge that Dr. Marshall must face: with limited workload effort devoted to teaching, how can she develop a specific plan, based on more targeted feedback, in order to create a more successful teaching experience for her students?

The steps that Dr. Marshall took last year based on the committee's recommendations are laudable, but clearly failed to produce the desired results. Therefore, we recommend that Dr. Marshall have the opportunity to work in an on-going manner with one of UWT's talented instructors. Ideally, this individual has tenure outside of Social Work and is experienced in facing obstacles similar to those that Dr. Marshall must endure. For example, there are several women faculty of color who have won teaching awards and would be outstanding teaching mentors for Dr. Marshall. In order to avoid further exploiting faculty of color with an additional unpaid "mentoring" assignment, we recommend that the Director of Social Work confer with the EVCAA and identify institutional resources to support this level of teaching support.

Recently, the Office of Equity and Inclusion surveyed faculty of color. Unfortunately, respondents reported multiple experiences of bias and discrimination. We believe that the institution has an obligation to retain and support all faculty, particularly faculty of color who have not fared well at UWT. The cost of a course release and replacement for this level of individualized teaching support is far less than the cost of losing Dr. Marshall and searching for a replacement. Dr. Marshall is mastering the research skills needed to be a successful faculty member; given the emphasis at UW-Tacoma on a similar level of teaching mastery, it is incumbent upon the institution to invest further in helping Dr. Marshall develop her expertise in the classroom.

We recommend that the assigned and compensated teaching mentor spend more time observing and actively working with Dr. Marshall - both in and out of the classroom - in order to identify, target, and

plan an intervention that improves her teaching. The single snapshot provided by the collegial reviews is insufficient to making an informed judgment on the reasons for Dr. Marshall's low student evaluations. A complex and nuanced problem such as classroom expressions of institutionalized racism requires a more in-depth examination and analysis in order to achieve better results. Working in an on-going manner with someone who has successfully conquered such hurdles will hopefully have a positive impact. We suggest that Dr. Marshall, the Director, Dean Bartlett (if an SIAS faculty is selected as mentor), and the EVCAA work collaboratively to develop a specific plan with the assigned mentor that is focused on improving Dr. Marshall's teaching skills as evidenced through her students' evaluations. Rather than a checklist of things to try, we envision a detailed intervention plan that "diagnoses" and addresses any perceived threats or challenges to Dr. Marshall's teaching success. As her tenure clock ticks down, with limited opportunities to teach because of her assigned research effort, we believe that Dr. Marshall should be afforded additional resources to see if her teaching performance can be improved.

**Service:**

Dr. Marshall's record of service is limited given the constraints imposed by her externally funded research. That said, at the advice of last's year review committee she added new service commitments to her load. Thus, her record reflects service at multiple levels: department, campus, profession and community. It is understandable that these commitments remain limited. Therefore, we urge Dr. Marshall to consider how she uses her limited time for service work. Specifically, we note that she serves as a mentor to doctoral students at UW Seattle. While this is laudable we suggest that she strategically evaluate all service requests in order to better position herself for a positive tenure outcome on the Tacoma campus. It is the UWT faculty and campus that need to observe and evaluate her role as a campus citizen. Additional service, particularly activities that benefit Seattle's doctoral students, should be of a lower priority. With a restricted bandwidth for "extra" work, Dr. Marshall is advised to focus her service commitments within the UWT department, university and larger Tacoma community. We urge Dr. Marshall to keep in mind that her portfolio in regards to service should provide evidence that allows the Tacoma faculty to assess her service contributions.

**Recommendation:**

REDACTED CONTENT HERE

The support for Dr. Marshall's reappointment also acknowledges that her teaching, unlike her research, is currently not on track for a positive tenure vote. Unless significant improvement in her teaching occurs, it is unlikely that Dr. Marshall will be successfully promoted as a tenured member of the faculty on a teaching-intensive campus. We applaud the previous efforts that Dr. Marshall has made to address her teaching. Unfortunately, these have proved insufficient. Therefore, we now recommend that an assigned and compensated faculty person be identified to provide more direct support and guidance. Ideally this would be another female faculty person of color outside of Social Work. We believe that this needs to be someone who does not vote nor weigh in on a future tenure decision. Furthermore, we strongly recommend that the Office of Academic Affairs/Chancellor's Office use this as an opportunity to demonstrate the institution's commitment to retaining faculty of color. We will be unable to recruit faculty of color in the future if we are unable to improve our retention rates for current faculty.

In conclusion, after a thorough review and discussion of Dr. Marshall's file, we commend her record of outstanding research, and note improvements needed in teaching and service. REDACTED CONTENT HERE. Because her teaching is not on track for tenure, we strongly urge the Director to implement the mentoring suggestion made by the committee.



RE: meeting

Jill Purdy <jpurdy@uw.edu>

Tue 6/12/2018 4:48 PM

To: Gillian L Marshall <geegee@uw.edu>;

Cc: Mark A Pagano <mpagano@uw.edu>; Noreen Slease <nslease@uw.edu>;

Hi Gillian,

I'm sorry for being unclear, I did mean Wednesday June 13. We look forward to seeing you in GWP 312.

Thanks,

Jill

---

**From:** Gillian L Marshall <geegee@uw.edu>

**Sent:** Tuesday, June 12, 2018 4:47 PM

**To:** Jill Purdy <jpurdy@uw.edu>

**Cc:** Mark A Pagano <mpagano@uw.edu>; Noreen Slease <nslease@uw.edu>

**Subject:** Re: meeting

Hello Jill,

If you are referring to tomorrow (Wednesday, June 12th) at 9:00am, then yes I am available and would be happy to meet with you both.

Thanks!

Gillian

---

**From:** Jill Purdy <jpurdy@uw.edu>

**Sent:** Tuesday, June 12, 2018 3:13:14 PM

**To:** Gillian L Marshall

**Cc:** Mark A Pagano; Noreen Slease

**Subject:** meeting

Hi Gillian,

If you are available Wednesday morning at 9am, Mark Pagano and I would like to meet with you in his office.

Could you please let us know if you are able to join us?

Thank you,

Jill Purdy

**DR. JILL PURDY**

Executive Vice Chancellor for Academic Affairs

GWP 312 | 253.692.5635

Campus Box 358430 | Tacoma, WA 98402

## Follow-up to reappointment meeting

Gillian L Marshall

Fri 6/15/2018 7:26 AM

Sent Items

To: Jill Purdy <jpurdy@uw.edu>; Mark A Pagano <mpagano@uw.edu>;

Good Morning Chancellor Pagano and Vice Chancellor Purdy,

When we met on Wednesday, June 13, 2018, to review the reappointment decision, you said that the committee recommended to reappoint, the faculty voted not to reappoint, and the director voted not to reappoint. You did not provide the vote count nor did either of you provide anything in writing. Then you indicated that you have three potential options:

- 1) **To Reappoint:** You could overturn the decision by the faculty and the director and reappoint me for another 3-years. You said even with positive scores in the future, there is a strong possibility that I would not be successful during tenure and promotion.
- 2) **Not to Reappoint:** You could move forward with the faculty and the director's recommendation and decide not to reappoint me for another 3-year term. Instead I would remain at UW-Tacoma for one year and would be required to leave after that. Also, you said the implication of this decision not to reappoint, would result in my not being eligible for any other positions across the University of Washington system.
- 3) **Resign:** I would resign from my current position as a tenure-track Assistant Professor.

You asked me to think about these three options and suggest which option I would prefer. I would prefer to be treated with the same respect and dignity as a Caucasian faculty member. I satisfied the committee's earlier recommendations for teaching, and the committee recommended retention. Therefore, I will not resign.

You know or should know that the University of Washington's Tacoma campus suffers from ongoing institutional racism, inequity and unfair treatment of faculty of color which is well documented, and until that problem is addressed and solved, qualified persons of color, such as myself, will continue to be denied tenure track positions. You are in a position to bring an end to this problem. The decision is really yours not mine.

Sincerely,

Gillian L. Marshall

# Reappointment

Jill Purdy <jpurdy@uw.edu>

Fri 6/15/2018 3:46 PM

To: Gillian L Marshall <geegee@uw.edu>;

Cc: Diane S Young <youngd4@uw.edu>; Mark A Pagano <mpagano@uw.edu>;

Importance: High

 1 attachments (60 KB)

Marshall G Reappt EVCAA.pdf;

Dear Gillian,

The attached letter confirms your reappointment as Assistant Professor and offers feedback on your progress toward promotion and tenure. Please arrange to meet with me at your convenience so we may discuss ways UW Tacoma can support your success.

Congratulations!

**DR. JILL PURDY**

Executive Vice Chancellor for Academic Affairs

GWP 312 | 253.692.5635

Campus Box 358430 | Tacoma, WA 98402

**W** UNIVERSITY of WASHINGTON | TACOMA



June 15, 2018

Dr. Gillian Marshall  
Assistant Professor  
Social Work and Criminal Justice  
Campus Box 358425

Dear Dr. Marshall:

The University's Faculty Code (Chap 24-41) calls for the dean or chancellor to conduct a review in the second or third year of an assistant professor's appointment. A review was conducted during the second year of your appointment, at which time the review committee recommended reappointment, the faculty vote was split between reappointment and postponement, and the acting director recommended postponement. The EVCAA supported postponement by one year in a letter dated June 12, 2017, noting "it is critical that her record reflects additional evidence of supporting students" and recommending increased engagement in service to her unit.

Consequently, a review was conducted in the third year of your appointment, and the voting faculty and the director of Social Work and Criminal Justice have recommended that you not be reappointed to a second three-year term as Assistant Professor. In response, I carefully reviewed the materials you submitted as well as the advice of your unit. I have concluded that you should be reappointed as an Assistant Professor for a three year term, with mandatory promotion and tenure review occurring in 2020-2021. Below I provide a summary of your professional contributions in teaching, research and service, and an assessment of your progress toward promotion and tenure.

#### **TEACHING**

Due to the responsibilities of your grant, your teaching responsibilities are reduced from a six-course annual load to a one-course annual load until 2020. You taught an undergraduate course in your first year (TSOCWF 101) and a graduate course in your second and third years (TSOCW 503), all in a face-to-face format. Student evaluations for the undergraduate course were solid; however, evaluations for the graduate course were poor and showed significant decline between the first and

second time you taught the course. In 2017, a peer evaluation conducted by a tenured faculty member in the School of Education positively assessed your use of equity-based inclusive teaching practices. In 2018, students expressed confidence in your expertise yet raised substantial concerns about the organization and quality of the course. A peer evaluation conducted by the Center for Teaching & Learning positively assessed the quality of class discussion and offered possible explanations for low student ratings including the active learning approach used and ratings biases experienced by women of color.

Your narrative indicates that you consulted the Center for Teaching and Learning and a social work colleague regarding teaching. This resulted in revisions to the TSOCW 503 course including readings, class activities, and assignments as well as a revised grading scheme for the course. In 2018, faculty in the unit noted concerns that you have not sought support teaching support from those most familiar with the course and have not engaged meaningfully with your assigned mentor at UW Tacoma to address teaching improvement.

The effectiveness of UW Tacoma faculty in supporting student learning is central to our urban-serving mission. Appointment to the rank of associate professor requires a record of substantial success in both teaching and research. The 2018 review committee notes that your teaching is not on track for tenure. Given your grant commitments, you will have very limited opportunities to demonstrate strong teaching capability prior to promotion and tenure review.

### **SCHOLARSHIP**

Your scholarly record includes fifteen peer-reviewed publications, eight of which were completed while in rank as Assistant Professor. In addition, you have received external funding for three projects including a prestigious K01 grant from the NIH/National Institute of Aging. You have disseminated your work through refereed and invited presentations, and your scholarly work addresses relevant questions that may have significant implications for public health. While taking the lead role in several projects, you have successfully partnered with a variety of collaborators. These accomplishments provide a strong foundation for your research portfolio and demonstrate substantial progress toward meeting the expectations of promotion and tenure with respect to scholarship.

### **SERVICE**

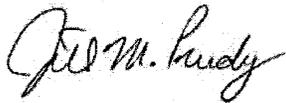
Your record of service at the unit level includes past membership on unit level admissions committees and current service on the Seattle/Tacoma BASW degree

committee. Your narrative notes that you additionally served on a faculty search committee during the past year. At the campus level, you served on the Faculty Affairs and Public Lectures committees. You have also mentored three doctoral students and provided several guest lectures in the School of Social Work at UW Seattle. In service to your profession, you serve as an ad hoc reviewer for six journals and are a member of numerous professional organizations.

Faculty in your unit have expressed concern that your service activities are notably lower than other junior faculty members, and that your level of engagement and representation in those activities is also lower than expected. Of particular concern is the level of internal engagement with students and activities in your unit. Competence in service does not carry the same level of importance in promotion and tenure review as teaching and scholarship do, yet internal and external service are important responsibilities of UW faculty and are integral to the University's mission.

In conclusion, I encourage you to attend to the concerns outlined here as you advance toward promotion and tenure review. I stand ready to support your ongoing development as a teacher, scholar and colleague.

Sincerely,

A handwritten signature in black ink that reads "Jill M. Purdy". The signature is written in a cursive style with a large initial "J" and "P".

Jill M. Purdy  
Executive Vice Chancellor for Academic Affairs

C: Diane Young, Director of Social Work and Criminal Justice  
Mark A. Pagano, Chancellor

# Reappointment Letter

Jill Purdy <jpurdy@uw.edu>

Thu 6/21/2018 10:09 AM

To: Gillian L Marshall <geegee@uw.edu>;

Cc: Diane S Young <youngd4@uw.edu>; Mark A Pagano <mpagano@uw.edu>;

📎 1 attachments (73 KB)

Marshall G Reappt EVCAA Rev 062018.pdf

Dear Dr. Marshall:

I am attaching an updated version of your reappointment letter that makes two corrections:

1. It notes that the faculty vote on reappointment during the 2017 second year review was split between non-reappointment and postponement. The previous version mistakenly stated that the vote was split between reappointment and postponement. (Paragraph 1, Line 5)
2. It removes language indicating a one course per year teaching load, as things are a bit more complex than that given the percentage of grant release time and a prior research release from teaching. The corrected version simply omits any specific statement about teaching load (Teaching section Paragraph 1, Line 2).

In addition, the paragraph at the top of page 2 reorders the sentences to provide a clearer chronological flow.

The finding of the letter regarding your reappointment is unchanged. Please let me know if you have any questions.

Jill

**DR. JILL PURDY**

Executive Vice Chancellor for Academic Affairs

GWP 312 | 253.692.5635

Campus Box 358430 | Tacoma, WA 98402

**W** UNIVERSITY of WASHINGTON | TACOMA



June 20, 2018

Dr. Gillian Marshall  
Assistant Professor  
Social Work and Criminal Justice  
Campus Box 358425

Dear Dr. Marshall:

The University's Faculty Code (Chap 24-41) calls for the dean or chancellor to conduct a review in the second or third year of an assistant professor's appointment. A review was conducted during the second year of your appointment, at which time the review committee recommended reappointment, the faculty vote was split between non-reappointment and postponement, and the acting director recommended postponement. The EVCAA supported postponement by one year in a letter dated June 12, 2017, noting, "it is critical that her record reflects additional evidence of supporting students" and recommending increased engagement in service to your unit.

Consequently, a review was conducted in the third year of your appointment, and the voting faculty and the director of Social Work and Criminal Justice have recommended that you not be reappointed to a second three-year term as Assistant Professor. In response, I carefully reviewed the materials you submitted as well as the advice of your unit. I have concluded that you should be reappointed as an Assistant Professor for a three-year term, with mandatory promotion and tenure review occurring in 2020-2021. Below I provide a summary of your professional contributions in teaching, research, and service, and an assessment of your progress toward promotion and tenure.

#### **TEACHING**

Due to the responsibilities of your grant, your teaching responsibilities are reduced from a six-course annual load. You taught an undergraduate course in your first year (TSOCWF 1010) and a graduate course in your second and third years (TSOCW 503), all in a face-to-face format. Student evaluations for the undergraduate course were solid; however, evaluations for the graduate course were poor and showed significant decline between the first and second time you taught the course. In

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253.692.5646 fax 253.692.5643 [tacoma.uw.edu/academic-affairs](http://tacoma.uw.edu/academic-affairs)

2017, a peer evaluation conducted by a tenured faculty member in the School of Education positively assessed your use of equity-based inclusive teaching practices.

Your narrative indicates that during the past year, you consulted the Center for Teaching and Learning and a social work colleague regarding teaching. This resulted in revisions to the TSOCW 503 course including readings, class activities, and assignments as well as a revised grading scheme for the course. In 2018, students expressed confidence in your expertise yet raised substantial concerns about the organization and quality of the course. A peer evaluation conducted by the Center for Teaching and Learning positively assessed the quality of class discussion. That reviewer offered possible explanations for low student ratings including the active learning approach used and rating biases experienced by women of color. In 2018, faculty in the unit noted concerns that you have not sought teaching support from those most familiar with the course and have not engaged meaningfully with your assigned mentor at UW Tacoma to address teaching improvement.

The effectiveness of UW Tacoma faculty in supporting student learning is central to our urban-serving mission. Appointment to the rank of associate professor requires a record of substantial success in both teaching and research. The 2018 review committee notes that your teaching is not on track for tenure and promotion. Given your grant commitments, you will have very limited opportunities to demonstrate strong teaching capability prior to promotion and tenure review.

### **SCHOLARSHIP**

Your scholarly record includes fifteen peer-reviewed publications, eight of which were completed while in rank as Assistant Professor. In addition, you have received external funding for three projects including a prestigious K01 grant from the NIH/National Institute of Aging. You have disseminated your work through refereed and invited presentations, and your scholarly work addresses relevant questions that may have significant implications for public health. While taking the lead role in several projects, you have successfully collaborated with a variety of research partners. These accomplishments provide a strong foundation for your research portfolio and demonstrate substantial progress toward meeting the expectations of promotion and tenure with respect to scholarship.

### **SERVICE**

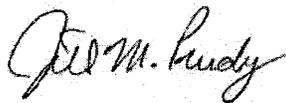
Your record of service at the unit level includes past membership on unit level admissions committees and current service on the Seattle/Tacoma BASW degree

committee. Your narrative notes that you additionally served on a faculty search committee during the past year. At the campus level, you served on the Faculty Affairs and Public Lectures committees. You have also mentored three doctoral students and provided several guest lectures in the School of Social Work at UW Seattle. In service to your profession, you are an ad hoc reviewer for six journals and are a member of numerous professional organizations.

Faculty in your unit have expressed concern that your service activities are notably lower than other junior faculty members, and that your level of engagement and representation in those activities is lower than expected. Of particular concern is the level of internal engagement with students and activities in your unit. Competence in service does not carry the same level of importance in promotion and tenure review as teaching and scholarship do, yet internal and external service are important responsibilities of UW faculty and are integral to the University's mission.

In conclusion, I encourage you to attend to the concerns outlined here as you advance toward promotion and tenure review. I stand ready to support your ongoing development as a teacher, scholar and colleague.

Sincerely,



Jill M. Purdy  
Executive Vice Chancellor for Academic Affairs

C: Diane Young, Director of Social Work and Criminal Justice  
Mark A. Pagano, Chancellor

## Fw: reappointment outcomes

Marian Harris <mh24@uw.edu>

Fri 7/20/2018 4:35 PM

To: Gillian L Marshall <geegee@uw.edu>;

Hi Gillian:

FYI

\*\*\*\*\*

**Marian S. Harris, PhD, MSW, LICSW, ACSW**  
Professor of Social Work  
University of Washington Tacoma  
Social Work & Criminal Justice Program  
1900 Commerce Street  
Tacoma, WA 98402-3100  
Phone: (253) 692-4554  
Fax: (253) 692-5825

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**From:** Eric Madfis <emadfis@uw.edu>

**Sent:** Wednesday, June 20, 2018 9:32 AM

**To:** Rich Furman; Diane S Young; Charles Emlet; Marian Harris; Melissa Lavitt; Erin Casey; Michelle D. Garner; Jeff Cohen

**Subject:** Re: reappointment outcomes

I would also like to hear from Jill, and yes, in the fall. I am concerned about what this decision says about how faculty votes and decision making are to be valued under this leadership.

Eric

Eric Madfis, Ph.D.  
Associate Professor of Criminal Justice  
University of Washington, Tacoma  
1900 Commerce Street, Box 358425  
Tacoma, WA 98402

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**From:** Rich Furman <rcfurman@uw.edu>  
**Sent:** Monday, June 18, 2018 12:32:14 PM  
**To:** Diane S Young; Charles Emler; Marian Harris; Melissa Lavitt; Erin Casey; Michelle D. Garner; Jeff Cohen; Eric Madfis  
**Subject:** Re: reappointment outcomes

I frankly would like to hear what Jill has to say- in the fall.

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**From:** Diane S Young <youngd4@uw.edu>  
**Sent:** Monday, June 18, 2018 9:05:09 AM  
**To:** Charles Emler; Marian Harris; Rich Furman; Melissa Lavitt; Erin Casey; Michelle D. Garner; Jeff Cohen; Eric Madfis  
**Subject:** reappointment outcomes

Hello,

I wanted to give you the outcomes of the two reappointments for this year. I received notice from the EVCAA late last week.

Janelle has been granted a postponement.

Gillian was reappointed. In her letter to Gillian, the EVCAA informed her that the voting faculty and the director did not support her reappointment. I am telling you this because I want you to be aware that Gillian knows the outcomes of your majority vote and of my recommendation. Jill has offered to meet with you to discuss this decision. She is also willing to put resources toward teaching coaching/mentoring for Gillian.

Perhaps you could let me know whether you would like to meet as a group with the EVCAA to discuss, and if so when (this summer or not until autumn).

Thank you,  
Diane

Diane S. Young, Ph.D., MSW  
Director and Associate Professor  
Social Work and Criminal Justice Program  
University of Washington – Tacoma  
Box 358425  
1900 Commerce St., WCG 203A  
Tacoma, WA 98402  
VM 253.692.4703

RE: merit result

Diane S Young <youngd4@uw.edu>

Mon 10/8/2018 12:02 PM

To: Gillian L Marshall <geegee@uw.edu>;

Thank you for getting back to me. I will let you know once the committee is appointed.  
Diane

**From:** Gillian L Marshall <geegee@uw.edu>

**Sent:** Monday, October 8, 2018 11:57 AM

**To:** Diane S Young <youngd4@uw.edu>

**Subject:** Re: merit result

Hi Diane,

I have already stated my position below and I have no further input.

Gillian

---

**From:** Diane S Young <youngd4@uw.edu>

**Sent:** Friday, October 5, 2018 10:00:09 AM

**To:** Gillian L Marshall

**Subject:** RE: merit result

Hello Gillian,

According to 24-55H of the Faculty Code, the appointed faculty members (for the review committee) are to be department faculty superior in rank. For our campus, that means within SWCI; this mirrors how merit voting occurs.

If you would like to provide me with input about the membership of the review committee relative to the nine SWCI faculty members who are eligible to serve on that committee, you have until the end of next week. After that I will move ahead and appoint a committee.

Diane

**From:** Gillian L Marshall <geegee@uw.edu>

**Sent:** Wednesday, October 3, 2018 2:35 PM

**To:** Diane S Young <youngd4@uw.edu>

**Subject:** Re: merit result

Hi Diane,

If I am understanding your message below correctly, there is no policy and rather this is a practice. This is one of the problems that leads to institutional racism. It is less likely with an insular group that

this process will be fair. Therefore why no broaden the scope and allow for others outside the program to serve on this committee? Looking forward to your thoughts.

Thank you!  
Gillian

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**From:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Sent:** Wednesday, October 3, 2018 12:22:46 PM  
**To:** Gillian L Marshall  
**Subject:** RE: merit result

Hi Gillian,  
I checked in on this question with the EVCAA in June and was told it is routine UW practice and makes sense given how merit decisions are made and the purpose of the merit review committee.  
Diane

**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Wednesday, October 3, 2018 11:34 AM  
**To:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Subject:** Re: merit result

Hi Diane,  
Thank you for your email. Is the need for members to the merit review committee come from the faculty of SWCJ program, a policy or a practice?

Thank you!  
Gillian

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**From:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Sent:** Wednesday, October 3, 2018 10:40:56 AM  
**To:** Gillian L Marshall  
**Subject:** RE: merit result

Hello Gillian,  
The members on the committee need to be from the faculty who vote on your merit, and thus from within the SWCJ program. It is those who would best understand what is needed to move to a meritorious review and the context within our program.

There is no set number required to serve on the committee. Typically internal review committees (promotion, reappointment) are 3-4 people.  
Diane

**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Wednesday, October 3, 2018 9:44 AM  
**To:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Subject:** Re: merit result

Hello Diane,

Thank you for providing the names of the faculty in our program who may potentially serve on the merit review committee. I had a chance to review the section of the faculty code you referenced below (Section 24-55 H), and it is my understanding that I am not limited to only selecting faculty from our program. Is that correct? Also, I did not see any mention of how many people are required to serve on the committee. Is there a particular reason why you selected 4 committee members as opposed to having 2 or 3? I look forward to your responses.

Thanks!

Gillian

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**From:** Gillian L Marshall  
**Sent:** Friday, September 28, 2018 8:49:51 AM  
**To:** Diane S Young  
**Subject:** Re: merit result

Hello Diane,

I will need to get back to you on this next week.

Thanks!

Gillian

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**From:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Sent:** Thursday, September 27, 2018 9:18:45 AM  
**To:** Gillian L Marshall  
**Subject:** RE: merit result

Hi Gillian,

The merit review committee is to be made up of senior faculty in our Program; these are the faculty members who are eligible to vote on your merit. There are 9 possibilities:

Charley  
Rich  
Marian  
Melissa  
Erin  
Michelle  
Randy  
Jeff  
Eric.

I don't know which of them are available; I have not asked anyone until you and I discuss committee composition. I think a committee of 4 or so members makes sense and seems typical practice for review committees generally.

Of these members, is there anyone you prefer NOT be on the committee?

Of these members, which six would you most prefer to serve? I have asked for six names in case some individuals are not available.

I will ask members to serve on the committee and appoint the committee.

The committee will meet with you and review more fully your record and merit. Upon completion of their review, they will report in writing the results to you and to me. They will also provide advice related to actions to be taken to improve your merit ranking or to address misjudgments of your merit and correct any salary inequity. You will have 21 days to respond in writing to me and the committee in response to the committee's report and advice.

For reference and more details, the section of the Faculty Code that discusses this type of review is Section 24-55 H.

Let me know your thoughts in answer to my questions about committee composition. Thank you,

Diane

**From:** Gillian L Marshall <geetee@uw.edu>  
**Sent:** Thursday, September 27, 2018 7:17 AM  
**To:** Diane S Young <youngd4@uw.edu>  
**Cc:** Casey Byrne <cbyrne2@uw.edu>  
**Subject:** Re: merit result

Hello Diane,

I'm glad this date worked for your schedule.

I am happy to discuss the merit review committee via email.

Thank you!  
Gillian

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**From:** Diane S Young <youngd4@uw.edu>  
**Sent:** Wednesday, September 26, 2018 12:02:13 PM  
**To:** Gillian L Marshall  
**Cc:** Casey Byrne  
**Subject:** RE: merit result

Hello Gillian,  
I put the October 3 meeting on my calendar related to reappointment review.

The composition of a merit review committee is not part of that agenda – that is something for the two of us to discuss as I indicated below. We still need to attend to that. We can try to do this via email or set up a meeting or call with Academic HR providing a notetaker. Please note that I've copied Casey Byrne, Director of Academic HR on this message.

Let me know as soon as you can whether you would like to proceed via email or a meeting.  
Thank you,  
Diane

**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Monday, September 24, 2018 10:07 AM  
**To:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Subject:** Re: merit result

Good Morning Diane,

In addition to the composition of merit review committee, there are a number of other items unaddressed from my reappointment that also need to be discussed. Based on my previous conversation with Jill, she indicated that she would be happy to be present for our meeting. As I indicated in my previous email, I have already arranged for one of my mentors to be present at the meeting who can take notes.

I checked with Jill's office and she is available October 3 (Wednesday) from 8:30-9:30am. I dropped by the office this morning to discuss a mutual time for all of us to meet but you were unavailable. Jennifer checked your schedule and it appears you are also available on Wednesday morning. Let's plan to meet on Wednesday, October 3 at 8:30am.

Thanks!  
Gillian

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**From:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Sent:** Friday, September 21, 2018 7:40:09 AM  
**To:** Gillian L Marshall  
**Subject:** RE: merit result

Hi Gillian,  
The meeting I am speaking of here is about discussing the composition of a review committee given the finding of non-merit two years in a row. This process is dictated by the Faculty Code. This meeting is for you and me and does not involve Jill, so we do not need to schedule around her. I am glad you are available; will any time between 2:00-4:00 work? I can see whether Academic HR would be able to arrange a note-taker for that time.

Who would you like to bring to the meeting and what do you see as their role?  
Diane

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**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Friday, September 21, 2018 6:42 AM  
**To:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Subject:** Re: merit result

Hello Diane,

I am available on 9/26, however, Jill Purdy is not. I am waiting to hear back from her on some possible dates.

I agree I would like to have someone present during our meetings and I have already arranged that for us.

In regards to our agenda, I would like to discuss teaching specifically in the undergrad program and 1 remaining course release. Are there items on your list?

Thank you!

Gillian

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**From:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Sent:** Thursday, September 20, 2018 4:17:59 PM  
**To:** Gillian L Marshall  
**Subject:** RE: merit result

Hi Gillian,

I can meet on the 26<sup>th</sup> after Convocation between 2:00-4:00 (Sept. 26). Does that time frame work for you? If not, please suggest some alternate dates/times.

In light of the concerns you've told me you raised with UCIRO, if we meet in person or talk via phone, I think it would be helpful for us to have a note-taker to document the conversation and its key points/agreements. That might require a little more scheduling time. Alternatively, we can address the review committee's composition via email. Which approach do you prefer?

Thank you,  
Diane

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**From:** Gillian L Marshall <[geeeee@uw.edu](mailto:geeeee@uw.edu)>  
**Sent:** Wednesday, September 19, 2018 7:18 PM  
**To:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Subject:** Re: merit result

Hi Diane,

I wanted to check back with you. Could you provide some dates when you might be available.

Thanks!  
Gillian

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**From:** Gillian L Marshall  
**Sent:** Tuesday, September 4, 2018 9:14:39 AM  
**To:** Diane S Young  
**Subject:** Re: merit result

Hi Diane,

There appears to be some miscommunication. I was suggesting we find a time to connect on the issue AFTER the fall retreat, not on the day of the fall retreat. Please feel free to send me a few dates when you might be available this month (after September 24th) or next month.

Thank you!  
Gillian

**From:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Sent:** Tuesday, September 4, 2018 8:34:27 AM  
**To:** Gillian L Marshall  
**Subject:** RE: merit result

Hi Gillian,  
Thanks for your reply.

I won't be able to meet with you about this on the day of the retreat, so if you'd like to wait until after the retreat, let's find a time the week of Sept. 24. The Chancellor's Office hopes for full faculty participation in Convocation on Wednesday the 26<sup>th</sup>. If you'll be here, we could meet just after at about 2:00. Does that work?  
Diane

**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Sunday, September 2, 2018 10:19 AM  
**To:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Subject:** Re: merit result

Hello Diane,

My apologies, I just realized I never got back to on this issue. I would prefer to hold off on finalizing a date until I am back on contract. In the meantime, let's plan to connect on this issue after the fall retreat.

Thank you!  
G

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**From:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Sent:** Wednesday, July 11, 2018 1:05:19 PM  
**To:** Gillian L Marshall  
**Subject:** RE: merit result

Hello Gillian,  
The merit letter I sent you gives the section of the Faculty Code that dictates what happens next and provides information about the process. I do not know of any other appeal process. You might want to contact Casey Byrne, Director of Academic Personnel at UW-T, if you have questions regarding UW and/or UW-T policies.

Please suggest some possible times to call or meet with me so that we can discuss the make-up of the review committee. We can hold off on this until the fall if you would prefer.  
Diane

**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Tuesday, July 10, 2018 6:54 PM  
**To:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Subject:** Re: merit result

Hi Diane,

Thank you. Can you please provide me with the information for the appeals process.  
Gillian

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**From:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Sent:** Wednesday, June 27, 2018 10:20:31 AM  
**To:** Gillian L Marshall  
**Subject:** merit result

Hello Gillian,  
There is a hard copy of this letter in your mailbox, but I am sending it electronically as well.  
I will be in touch regarding committee formation.  
Diane

Diane S. Young, Ph.D., MSW  
Director and Associate Professor  
Social Work and Criminal Justice Program  
University of Washington – Tacoma  
Box 358425  
1900 Commerce St., WCG 203A  
Tacoma, WA 98402  
VM 253.692.4703

## RE: merit review committee

Diane S Young <youngd4@uw.edu>

Mon 10/29/2018 4:06 PM

To: Gillian L Marshall <geegee@uw.edu>;

Hello Gillian,

There were opportunities for you to give feedback on specific prospective members of the review committee in the weeks prior. Once you declined to give that feedback, I went ahead and appointed a committee as the Faculty Code instructs. Care was taken, working within the constraints of individual availability and willingness, to form a committee that recognizes and respects the importance and fairness of this kind of process. The Committee is established and has been tasked with beginning the work.

I know I have mentioned Casey Byrne, Academic HR Director to you previously. If you have concerns about the process, you might want to speak with her.

Diane

**From:** Gillian L Marshall <geegee@uw.edu>

**Sent:** Monday, October 29, 2018 7:58 AM

**To:** Diane S Young <youngd4@uw.edu>

**Subject:** Re: merit review committee

Hi Diane,

Thank you for "circling back" and providing the list of committee members you have selected to serve on my merit review committee. I would like this to be a fair internal process and I am ok with Randy Myers serving as he is new and does not hold any bias. Melissa Lavitt chaired my reappointment committee and is familiar with my file so I am also ok with her serving on this committee. Erin Casey "appears" to be neutral and I am ok with her serving on this committee as well. However, I have concerns with the rest of the committee members you have selected. Michelle Garner and Eric Madfis have openly expressed their lack of support of my being here and I would like them removed from the committee.

Thank you!  
Gillian

---

**From:** Diane S Young <youngd4@uw.edu>

**Sent:** Friday, October 26, 2018 2:16:59 PM

**To:** Gillian L Marshall

**Subject:** merit review committee

Hello Gillian,

I am circling back to let you know that your merit review committee has been appointed. The committee members are:

Erin Casey, Chair

Michelle Garner

Melissa Lavitt

Eric Madfis

Randy Myers

Erin will be in touch with you. Feel free to reach out to Erin, me, or to Casey Byrne, Academic Human Resources Director if you have questions about the process.

Diane

Diane S. Young, Ph.D., MSW

Director and Associate Professor

Social Work and Criminal Justice Program

University of Washington – Tacoma

Box 358425

1900 Commerce St., WCG 203A

Tacoma, WA 98402

VM 253.692.4703

July 12, 2018

Dear Vice Chancellor Purdy,

Thank you for providing a copy of the letter reappointing me as an Assistant Professor in the Social Work and Criminal Justice (SWCJ) Program for another three years. In your letter, I saw statements that need some clarification. However, first I want to ensure that you are aware of my interactions with both Diane Young (Director) and Tom Diehm (Interim Director while Diane Young was on sabbatical) since I agreed to join the faculty at UW-Tacoma. They have been significant impediments to my success, which I have no doubt is owing to my race, and if permitted to do so, I anticipate they will remain significant impediments to my success in the coming three years.

#### **Teaching**

- All new faculty, upon hire, are offered one course release. Based on the course release from my first grant (Diversity Supplement through NCI), my new grant (K01 through NIA) and the one course release for being a new faculty member, I would have had a "0" teaching load during my first year (2015-2016) at UW-Tacoma. I did not want to start my new job and not teach a course, so I talked with Diane and told her that I was committed to teaching at least one course a year, and that I had decided to use my course release at a later time. Although there is no policy indicating this, she said that "course reductions in teaching are given to new instructors who are typically teaching several new courses while also needing time to develop their scholarly work. With the K Award this is not your situation." Essentially, Diane made the decision that, because I have been successfully funded, I would be penalized by taking away the one course release I opted to defer and thus denying me all the same benefits my colleagues/peers received.
- On at least two occasions (during the interviewing process and after being hired), I provided Diane with a list of 10-12 possible courses I have experience in and the skill set to teach. In 2016, none of my teaching requests were honored and instead a temporary lecturer (lower in rank than me) was scheduled to teach several of the classes had I requested. I was forced to teach "Intro to Research Methods" because I was told by Diane that there was no one else to teach this course. When I brought this to Diane's attention, she ignored me and stated that I was not hired to teach any of the courses on the list I provided, and she already had coverage in those areas. So, I asked "why did you hire me?" Her response was because of the other skills I possessed. I asked, "such as?" She stated that I write grants and she wanted the in-directs.
- It is hard to imagine a valid business reason for giving a temporary lecturer preferential treatment in teaching assignments over a tenure-track faculty member. I brought this to the attention of the previous Executive Vice Chancellor for Academic Affairs (EVCAA) Melissa Lavitt. Melissa, then addressed this with Diane who then offered me one course to teach off the list that I provided instead of the Intro to Research Methods course.

#### **Research/Policy**

- Last year, the recommendation by the review committee and faculty was to postpone my approved research quarter leave and instead teach a section of "Human Behaviors and the Social Environment," which I did. I am scheduled to take my research leave this year, but instead Diane has asked me to re-apply for the leave. So, I asked her why would I re-apply for something that was already approved and awarded to me? Diane then stated that the policy states that I must re-apply. When I asked to see the policy, she provided a copy of the description and process to apply for the research leave. She still has not provided a policy that addresses this question.

- Earlier this year, I had to establish my review committee. Although Marian Harris was on sabbatical, she was willing to serve on the committee so that I would have continuity. Diane informed me that Marian Harris could not serve on my committee as it was against the UW policy. When I asked to see the policy, she called Allison Hendricks (former academic HR) to ask for this policy. Diane later informed me that there was no policy. After a conversation with Marian Harris, and in lieu of the departmental climate, we both agreed it was not in my best interest for her to serve on my committee. I informed Diane of this decision and that the reason was confidential. Diane then proceeded to ask Marian Harris about the details of our “confidential” conversation.

#### **Grant Administration**

- My first grant with NIH was through the National Cancer Institute. Prior to transferring it to UW-Tacoma from Case Western Reserve University I spoke with Diane several times about what was necessary to transfer the award and needed assurance from UW-Tacoma, that there would be someone in the grants office who would manage the grant. After several excuses and delays, she wrote a letter indicating that Lisa Isozaki has experience with pre and post awards and would be managing the grant (see attached). When I arrived, I met with Lisa Isozaki and she told me she only worked on pre-awards and in fact there was no post-award person to manage my grant and I had to manage it myself. This is a violation of NIH policies as UW-Tacoma received 54.5% in indirect costs and part of those indirect costs are for grants management. This violation placed me at risk as a new investigator with NIH.
- When I was awarded my second grant (K01) through NIH, I had the grant processed through the UW School of Social Work in Seattle since they have pre and post-award staff who could support this type of funding mechanism. I was told during my interview process on a number of occasions by Diane and other faculty members that all new grants could be initiated through UW-Seattle School of Social Work as there was an agreement between UW-Tacoma and UW-Seattle where by grants (regardless of whether faculty at UW-Tacoma are working with a PI or Co-PI at UW-Seattle) can be submitted through the UW-Seattle campus. I believe this agreement was established when David Takeuchi, former Associate Dean for Research, was at the Seattle campus.
- During a meeting with Diane she called me “not forth coming with information” and “deceptive” because I chose to have my grant processed through and managed by the Seattle School of Social Work. Again, UW-Tacoma did not (and still does not) have a post-award person hired in the grants office and no one at UW-Tacoma had any experience managing a grant of this magnitude. I did not want to be in violation of NIH policies and guidelines which is why the K01 was processed and managed in Seattle. Instead of respecting the role of the PI (myself), Diane who knows nothing about NIH funding kept calling and emailing various persons in the grants office in Seattle trying to get the grant transferred to UW-Tacoma where there is no post-award person employed to manage it. Had she been successful in moving my grant to UW-Tacoma, I would have had to report her actions to my program officer at NIH who would then recall my funding and Diane would have placed the entire UW system (all 3 campuses) at risk of a potential audit.
- Diane Young asked me to attend a meeting with her and Jan Rutledge (Associate Vice Chancellor Finance, UW-Tacoma) on March 3, 2016 and asked me to explain to them the functions of a post-award grants manager. Naturally, I referred them to Seattle as this is not my area of expertise. They decided that they would call NIH themselves to get a response. That day I happened to run into the previous EVCCA (Melissa Lavitt) and mentioned this to her. She immediately called them and instructed them not to make that call to NIH since she felt it may trigger a campus-wide audit of all of the University grant financials.

### **Merit Increase/Raise**

- In both 2017 and 2018, I was voted as being non-meritorious by the Director and the faculty. I strongly disagree with both these decisions and I believe that if I were a white male with this funding record in Tacoma, or if I were assigned to the Seattle campus, this would not be happening. Based on the evaluation criteria for non-meritorious, I should have received meritorious or extra-meritorious. The following three criteria are what is used to justify a non-meritorious vote:
  - 1) Patterns of concern in teaching (problematic syllabi, student and peer evaluations).
  - 2) Scholarship (none or minimal notable activity).
  - 3) Service (fewer than 2 committees)
  
- **Patterns of concern in teaching (problematic syllabi, student and peer evaluations)**
  - Each year the SWCJ program receives a copy of my syllabus. There were not any concerns mentioned in either 2015-2016, 2016-2017 or 2017-2018.
  - By 2016-2017, I had one stellar student evaluation (4.7) and one poor student evaluation (2.8)
  - In 2017-2018 I had one poor student evaluation (1.4)
  - In both 2016-2017 & 2017-2018 my peer evaluations were excellent.
  
- **Scholarship (none or minimal notable activity)**
  - In 2016-2017 I had three papers accepted and had five under review. I gave three guest lectures and had five abstracts accepted to conferences.
  - In 2017-2018: I had four papers accepted and had two under review. I was also selected (one out of seven junior faculty) to attend a funded NIMH two-year grant writing program. I also received the Loan Repayment Program - \$70,000 in loan repayment from NIH.
  
- **Service (fewer than 2 committees);**
  - In 2016-2017 I committed to five service opportunities;
    - 3 guest lectures, reviewed BASW and MSW admissions applications, public lectures selection committee, BASW committee
  
  - In 2017-2018 I committed to 5 service opportunities;
    - Two guest lectures, reviewed BASW and MSW applications, BASW committee, public lectures selection committee, served on faculty affairs committee, social work faculty search committee.

When I was notified of the result of my merit review, Diane did not have a conversation with me expressing any concerns, and she did not provide any evidence for why this decision was made or any suggestions on how I could improve. She also never offered any additional resources to ensure my success. It is clear to me that my contributions are not valued by her and some of the other members of the faculty in this program unit. I suggest that I am not the only person of color who has encountered this type of treatment at UW-Tacoma as evidenced by the campus-climate report surveying faculty of color.

In addition, the 2018 review committee stated that my “scholarship is on a trajectory for increasing productivity and impact in an unexplored and critical area of inquiry...[her] research file more closely resembles that of a more senior scholar.” Therefore, I do not believe my efforts warranted a vote of non-meritorious.

### Tom Diehm

- Tom is a non-tenured lecturer and Diane placed him in charge of making decisions about the future of my career by making him interim director. In 2016, in his role as interim director he said according to “the policy” I could not have anyone from the Seattle campus School of Social Work (SSW) serve on my 3<sup>rd</sup> year review committee. I shared with Tom that the policy states that I could indeed have someone from Seattle SSW as we are part of the same program. Tom said if I did not provide him with where he could find the policy, then it did not exist. Terri Simonsen, SWCJ program assistant, later provided him with the reference to the policy. Although he acknowledged that someone else found the policy, he never apologized for providing incorrect information while in his role as interim director.
- As interim director, Diane assigned Tom the responsibility of making recommendations for my reappointment. In a meeting with Charley Emlett and my former colleague Jerry Flores, I addressed my concern about having a lecturer evaluate my materials and make a recommendation for reappointment. Charley said that Tom has served as interim director before and it should be fine.
- After my reappointment review in 2017, Tom requested that I meet with Charley Emlett to discuss next steps. I asked Tom for a copy of his recommendation to the EVCAA. Tom’s letter and the EVCAA’s letter would be used as the basis for my meeting with Charley. Tom said that it was against the UW policy to provide me with a copy of his recommendation. When I asked to see the policy, he directed me to Academic HR (Alisson Hendricks) and the EVCAA (Melissa Lavitt). When I emailed them, Melissa replied by stating there is not a policy, preventing me from gaining a copy of the letter. However, Melissa made the decision not to provide me with a copy but I understand Tom’s recommendation was not to reappoint.

Now to return to your letter, may I offer the following clarifications:

- You stated on page 2 of your letter that I did not consult with faculty who have taught this course. However, on page 17 of my review materials, and on page 15 of my narrative statement, I specifically outlined the ten steps I took to revise my course to improve it, one of which was consulting with Michelle Garner who is the other instructor who teaches this course. Not only did I consult with her, I also consulted with a number of other faculty nationally who have taught this course for over 10 years who provided feedback on my syllabus, readings, lesson plans, activities and AV materials.
- Also, you stated that faculty in the unit noted concerns that I had “not engaged meaningfully with [my] assigned mentor at UW Tacoma to address teaching improvements. My assigned mentor, Charley Emlett (a white male) has provided little to no assistance in either teaching or research. In a meeting on June 21, 2017, Charley kept asking me if I wanted to be at UW-Tacoma and when I replied “...it doesn’t matter what I want, the question is, do the faculty want me here?”, Charlie became agitated and raised his voice at me. Perhaps a better question to ask would be has Gillian Marshall’s director and assigned mentor provided her with any support or engaged with her in a meaningful way? The answer would be “NO.” Upon Diane’s return from sabbatical, she had not discussed the previous review decision with me, nor had she provided any assistance or resources connected with my teaching.
- To be the recipient of the first K01 career development award funded by the National Institutes of Health (NIH) on the entire UW-Tacoma campus is indeed prestigious. As you know, unlike my colleagues, NIH pays 75% of my salary + benefits to protect my time so that it is dedicated to research endeavors. In addition, to ensure my funding continues, I must annually submit a

progress report to NIH to demonstrate that I am achieving all the objectives and goals set out in the proposal. Therefore, comparing my teaching record and service activities to my colleagues who do not have that funding commitment is not a fair comparison. Frankly speaking, considering my research commitments, I believe I have gone above and beyond what has been asked of me. Diane was made aware before my campus interview by Erin Casey (chair of the search committee) and Charley Emlett that there was a 95% possibility that I would receive this award. I was told that UW-Tacoma was becoming more research intensive and that having faculty with this type of award would be "good for UW-Tacoma."

Above are only some examples of the bias, discrimination and unfair treatment I have experienced with the leadership of Diane Young and Tom Diehm in the Social Work and Criminal Justice program here at UW-Tacoma. Diane has not supported me and has been an obstructionist force since I arrived at UW-Tacoma. She has acted punitively and abused her position as Director by consistently citing policies in an effort to deny my reasonable requests, yet, when asked she cannot produce the cited policies that are supposed to support the denial of a specific request. I hope that from this point forward, unfair treatment and discriminatory actions will stop and I will be treated fairly.

Sincerely,

Gillian L. Marshall, MSW, PhD

# Re: Reappointment

Gillian L Marshall

Mon 8/6/2018 2:04 PM

Sent Items

To: Jill Purdy <jpurdy@uw.edu>;

Hi Jill,

I hope you had a nice weekend and thank you for meeting with me this past Friday. I wanted to briefly recap our discussion and next steps. Among the many things we discussed, here are the main points.

- **Teaching mentor:** suggestion for me to work with either Caroline West or Diviya McMillian for assistance with course design, delivery and preparation. Whoever is selected would be paid for their time. You suggested a commitment of minimum of 10hrs.
- **Teaching:** based a on previous conversation with the Chancellor who suggested teaching to my strengths, which would mean teaching at the undergraduate level. We also discussed honoring a course release and research quarter leave that was awarded. Your suggestion was to set up a meeting with Diane Young to discuss these concerns and suggestions further.
- **Grant Funding:** discussion about the K01 and our (my and the institutions) responsibilities to ensure we are in compliance (see handout provided). We also discussed that I plan to apply for a (R21 or R03) this fall and submitting the proposal through UW-Seattle School of Social Work.
- **Investigation:** In reference to my response to your reappointment letter, you asked if I would like an investigation done. Since you explained this is the process, I confirmed I would like an investigation completed.

## Next Steps

- You will be speaking with either Caroline West or Divya McMillian to serve as my teaching mentor and get back to me with a decision.
- You will schedule a meeting with all three of us (yourself, Diane Young and myself) to discuss teaching options for this academic year and beyond, course release, and research quarter leave.
- I shared that I will be applying for another funding mechanism (R21 or R03) this fall. I will follow-up with Diane Young.
- You will follow-up with me about the next steps and process involved with the investigation.

Thank you!

Gillian

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## RE: Update

Mark A Pagano <mpagano@uw.edu>

Fri 8/10/2018 7:53 AM

To: Gillian L Marshall <geegee@uw.edu>;

📎 1 attachments (157 KB)

Response to Reappointment - Marshall.pdf;

Professor Marshall,

The way you summarized the options is fairly accurate. I am not aware of a mechanism in the academic HR Office to conduct an investigation into the issues you outline in your attached letter. I assume they would use UCIRO or regular HR to assist. Likewise, the AG would most likely only be involved if it were more of a contractual or legal matter. From the allocations you have described to me, I certainly believe this situation is most applicable to the work UCIRO does and in my experience they do it very well. As we talked about in our meeting yesterday, a one-on-one intake with UCIRO staff to clarify the allegations made in your letter, as they relate to a protected class will, be critical to determining next steps. Mark

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**From:** Gillian L Marshall [mailto:geegee@uw.edu]

**Sent:** Thursday, August 09, 2018 6:52 PM

**To:** Mark A Pagano

**Subject:** Re: Update

Hi Mark,

Just to recap our meeting today, you suggested three different ways to proceed. First, you suggested filing a complaint with either human resources or academic human resources. You stated that academic resources do not do investigations, so it would have to be human resources. Second, you mentioned filing a complaint with the attorney general's office. However, from what you shared, they primarily hear cases related to illegal activities. The third option is to file a complaint with UCIRO who would then conduct an investigation. Thank you for referring me to UCIRO and I plan on following-up with them.

As I shared during our meeting today, I am frustrated with my experience at UW-Tacoma and this entire process. I am frustrated that in every meeting I have to continue to explain and apologize for being a researcher when this was known when I was hired. As I stated before, the University of Washington's Tacoma campus suffers from ongoing institutional racism, inequity and unfair treatment of faculty of color which is well documented (i.e. faculty of color survey). Although I have clearly laid out my concerns in a 5-page memo sent on 7/12/2018, I feel demoralized at every intervention (meeting) with you, Jill and Diane as there is never any resolution and I continue to be subjected to hostility in the workplace.

## Re: Meeting info

Gillian L Marshall

Mon 9/10/2018 5:01 PM

Sent Items

To: Jill Purdy <jpurdy@uw.edu>;

Hi Jill,

Please note, that I was referencing my experience after my reappointment review process last year> Both the interim director and the director upon her return from Sabbatical did not have a follow-up meeting (as you are suggesting below) to discuss expectations for future performance or how I will be supported for the upcoming year. Also, when you initially suggested a meeting, we agreed that the purpose of the meeting would be to 1) discuss having me teach at the undergraduate level; 2) my one course release; and 3) my research quarter leave. As I stated before, I would like to focus on these three items.

Unfortunately something has come up and I will need to reschedule our meeting. I will be in touch with some future dates.

Thank you!  
Gillian

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**From:** Jill Purdy <jpurdy@uw.edu>  
**Sent:** Wednesday, September 5, 2018 11:48:58 AM  
**To:** Gillian L Marshall  
**Subject:** RE: Meeting info

Hi Gillian,  
We are on for September 13 from 12-1. Thanks for adding this to your calendar.

Please note that the policy I quoted comes from the Reappointment Review process, so a similar meeting would not have occurred at any previous time in your career at UW Tacoma. A key purpose of the meeting is to discuss the expectations for future performance, so this would include all aspects of teaching, research and service, not just immediate issues of specific teaching responsibilities.

Thanks for letting me know that you have filed a complaint with UCIRO. I agree that should proceed independently and not be a part of this conversation.

Please let me know if you have other questions or concerns!  
Thank you,  
Jill

**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Wednesday, August 29, 2018 8:41 AM  
**To:** Jill Purdy <jpurdy@uw.edu>  
**Subject:** Re: Meeting info

Hi Jill,

I will put September 13 from 12-1pm on my calendar.

I too have reviewed the policy and although it does indicate that the "director meets with the candidate to discuss the decision and give direction for future performance" this has never occurred during my time at UW-Tacoma. Therefore I am glad you are raising this issue.

In regards to the agenda, I am always happy to discuss teaching, research and service but would appreciate information on what specifically you would like to focus on. I think the focus of the meeting should remain a discussion about teaching in the undergraduate program, and whether the course release and the research quarter leave will be honored. Since I have filled a complaint with UCIRO, I do not think it is appropriate to speak about the other items listed below at this time.

Thank you!  
Gillian

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**From:** Jill Purdy <jpurdy@uw.edu>  
**Sent:** Tuesday, August 28, 2018 3:22:11 PM  
**To:** Gillian L Marshall  
**Subject:** Meeting info

It looks like we are all able to meet on September 13 from 12-1pm.

In thinking about the agenda, I was revisiting the policies of Social Work and Criminal Justice, and the last step in the reappointment process is "Director meets with candidate to discuss decision and give direction for future performance." I think the three topics we discussed fit into this framework because they are related to future performance. I also think that the scope of the meeting should include discussion of teaching, research, and service more broadly as it relates to future performance. For example, we should talk about mentorship support (both as recommended by the reappointment committee and other options that may be available). If there are concerns about policies or practices that are discriminatory, this would be an opportunity to discuss those. If there are concerns about how grants are being submitted and how that relates to performance, that could be another topic.

Before moving forward I want to see if you are comfortable with this broader agenda. The meeting prescribed by the reappointment process will need to occur between you and Diane no matter what, and I am comfortable with being present if that is your preference. Please let me know.

**DR. JILL PURDY**

Executive Vice Chancellor for Academic Affairs

GWP 312 | 253.692.5635

Campus Box 358430 | Tacoma, WA 98402

**W** UNIVERSITY of WASHINGTON | TACOMA

## RE: UCIRO - follow up

Beth K Louie <bklouie@uw.edu>

Mon 8/27/2018 9:06 AM

To: Gillian L Marshall <geegee@uw.edu>;

📎 1 attachments (63 KB)

APS 46.3.pdf

Hi Gillian,

Thanks for your email. The time limits are set out by the University's Administrative Policy Statement 46.3. I have attached a copy here. It establishes that UCIRO can investigate matters that occurred in the past year, unless the investigation is conducted at the request of an administrative head. In those instances, the investigation may include events beyond the year. That is why there is a difference in what events could be included in the investigation if requested by Chancellor Pagano, an administrative head, rather than yourself.

UCIRO's time limits are governed by APS 46.3, not state law. So the state statute of limitations does not dictate the limits of the University's internal process.

Would it work to have schedule another quick call? I'd like to make sure I address any remaining questions you may have, and that I am clear about how you would like to proceed. I'm available tomorrow after 11am, if you have any time then. If not, please let me know what would work best for your schedule.

Best,  
Beth

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**From:** Gillian L Marshall <geegee@uw.edu>

**Sent:** Friday, August 24, 2018 7:02 AM

**To:** Beth K Louie <bklouie@uw.edu>

**Subject:** Re: UCIRO - follow up

Hi Beth,

Thanks for your call today. Based on our conversation, you indicated that there are two different ways to proceed. If I understand you correctly, I could either;

- A) Change my mind and have the UW-Tacoma Chancellor (Mark Pagano) initiate the investigation. If he does, he will be the first person to receive a report of the findings from the investigation and the Chancellor will also have the option to attend the meeting when the findings from the investigation are reported to me. There is also no statute of limitations of the events that could be included in the investigation.

OR

B) Move forward with the investigation I initiated on 8/15/2018. I would be the first to receive a report of the findings from the investigation. You also stated that I could only include events from the previous year.

I am however, puzzled as to why only events from the previous year could be included as part of the investigation when I initiate the investigation, but there is not time limitation when the Chancellor initiates the investigation? Also, I learned that the statute of limitations for discrimination cases in the state of Washington is three years, so why am I only limited to 1 year of events? I would like to continue to move forward with the initiation of the investigation and would like to include all events since I have been employed at UW Tacoma.

Thanks!

Gillian

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**From:** Gillian L Marshall  
**Sent:** Thursday, August 23, 2018 9:33:30 AM  
**To:** Beth K Louie  
**Subject:** Re: UCIRO - follow up

Hi Beth,  
I can be reached at (206) 856-2526.  
Thanks!  
Gillian

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**From:** Beth K Louie <[bkLouie@uw.edu](mailto:bkLouie@uw.edu)>  
**Sent:** Thursday, August 23, 2018 9:27:17 AM  
**To:** Gillian L Marshall  
**Subject:** RE: UCIRO - follow up

Hi Gillian,

Great, 12:30 works for me. What is a good number for me to call?

Best,  
Beth

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**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Thursday, August 23, 2018 9:22 AM  
**To:** Beth K Louie <[bkLouie@uw.edu](mailto:bkLouie@uw.edu)>  
**Subject:** Re: UCIRO - follow up

Hi Beth,  
I'm happy to chat today. How does 12:30pm work?  
Gillian

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**From:** Beth K Louie <[bkLouie@uw.edu](mailto:bkLouie@uw.edu)>  
**Sent:** Thursday, August 23, 2018 8:52:05 AM  
**To:** Gillian L Marshall  
**Subject:** UCIRO - follow up

Hi Gillian,

I wanted to reach out to you and see whether we could schedule a quick phone call. I have spoken with my manager, and have some information that I'd like to share and some thoughts about how moving forward with UCIRO could look.

If you have any availability today, I'm free between 11am and 2pm. Otherwise, tomorrow is pretty booked up but I could do Monday or Tuesday afternoon. Let me know what works for you, and if you have any questions.

Best,  
Beth

**BETH LOUIE**

Investigation and Resolution Specialist / University Complaint Investigation and Resolution Office  
(UCIRO)

UW Compliance and Risk Services  
Roosevelt Commons East, Box 354996  
4311 11<sup>th</sup> Ave. N.E., Suite 320  
Seattle, WA 98105  
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**W** UNIVERSITY of WASHINGTON

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## RE: UCIRO

Beth K Louie <bklouie@uw.edu>

Fri 10/5/2018 9:55 AM

To: Gillian L Marshall <geegee@uw.edu>;

📎 1 attachments (198 KB)

Gillian Marshall-Chanc UCIRO request 9-11-18.pdf;

Hi Gillian,

No, not at all – I just wanted to make sure I send you the correct document. The request is attached.

Best,  
Beth

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**From:** Gillian L Marshall <geegee@uw.edu>

**Sent:** Friday, October 5, 2018 8:51 AM

**To:** Beth K Louie <bklouie@uw.edu>

**Subject:** Re: UCIRO

Hi Beth,

Yes, that is correct. I requested a copy of the investigation that Mark requested based on my complaints. I apologize if the terminology was incorrect.

Thanks!  
Gillian

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**From:** Beth K Louie <bklouie@uw.edu>

**Sent:** Friday, October 5, 2018 8:44:41 AM

**To:** Gillian L Marshall

**Subject:** RE: UCIRO

Hi Gillian,

I do not think sharing the investigation request template would be helpful – it's an internal UCIRO document that is not specific to your complaint. When we met, I think we had talked about the investigation request that Mark sent, which is his request that UCIRO investigate your complaints. Is that perhaps what you are referencing? If so, I can send that. But if not, let me know if there is a specific reason you would like the non-specific request form, and we can talk about it.

Best,

Beth

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**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Thursday, October 4, 2018 10:45 AM  
**To:** Beth K Louie <[bklouie@uw.edu](mailto:bklouie@uw.edu)>  
**Subject:** Re: UCIRO

Hi Beth,

Thanks for your time yesterday and for sending Mark the email. I am also wondering if you could send me a copy of the investigation request template you referenced during our conversation please?

Thanks!  
Gillian

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**From:** Beth K Louie <[bklouie@uw.edu](mailto:bklouie@uw.edu)>  
**Sent:** Wednesday, October 3, 2018 12:03:03 PM  
**To:** Gillian L Marshall  
**Subject:** Re: UCIRO

Hi Gillian,

I am outside of the CP building, on the campus side. I realized I'm not sure whether there are multiple entrances to the building, so let me know if you meant somewhere else!

Best,  
Beth

On Oct 2, 2018, at 4:20 PM, Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)> wrote:

Hi Beth,

You can meet me in front of the Cherry Parks building at 12:00pm.

See you than,  
Gillian

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**From:** Beth K Louie <[bklouie@uw.edu](mailto:bklouie@uw.edu)>  
**Sent:** Tuesday, October 2, 2018 3:22:58 PM  
**To:** Gillian L Marshall  
**Subject:** RE: UCIRO

Hi Gillian,

I wanted to check in with you and see where you would like to meet. I look forward to seeing you tomorrow!

Best,

Beth

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**From:** Beth K Louie  
**Sent:** Thursday, September 20, 2018 7:02 AM  
**To:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Subject:** Re: UCIRO

Hi Gillian,

Great! It's on my calendar. I look forward to meeting with you and your mentor then.

Best,  
Beth

On Sep 19, 2018, at 7:07 PM, Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)> wrote:

Hi Beth,

Let's plan for Wednesday, October 3 at 12pm. I will find a location for us to meet.

Thanks!  
Gillian

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**From:** Beth K Louie <[bkLouie@uw.edu](mailto:bkLouie@uw.edu)>  
**Sent:** Wednesday, September 19, 2018 9:32:07 AM  
**To:** Gillian L Marshall  
**Subject:** RE: UCIRO

Hi Gillian,

Sure, just let me know. I'm actually out of the office next week, so would be looking at the week of October 1 if tomorrow does not work. I think I could come down to Tacoma during midday again on Tuesday, Wednesday, or Thursday of that week. If tomorrow and those days in the week of October 1 do not work, I think we should consider doing this via phone.

I also want to let you know that I wanted us to talk so that we could go over the procedure and next steps, but otherwise, my office is ready to open an investigation based on Chancellor Pagano's request. I was thinking it made the most sense to wait to open the investigation until after we have had a chance to talk, to make sure that we are all on the same page. But, if you would prefer that we open it sooner, we can go ahead and do that before this meeting. You can let me know if that is something you would like.

Best,  
Beth

**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Wednesday, September 19, 2018 8:09 AM  
**To:** Beth K Louie <bklouie@uw.edu>  
**Subject:** Re: UCIRO

Hi Beth,

I need to check with my mentor to make sure they are available. Other than tomorrow, are there any other days and times next week might you be available?

Thanks!  
Gillian

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**From:** Beth K Louie <bklouie@uw.edu>  
**Sent:** Tuesday, September 18, 2018 11:11:26 AM  
**To:** Gillian L Marshall  
**Subject:** RE: UCIRO

Hi Gillian,

Sure, I understand – I also prefer to meet in person. If it's not possible to do so in Seattle, I can come to Tacoma. Right now, I'm available to do so on Thursday (Sept 20), any time between 12:00pm and 2:00pm. Would that work for you?

I was thinking we could block 30 minutes for the meeting, but let me know if you are thinking something different. Also, can you let me know where your office is located (or where you would like to meet, if not your office)?

Thanks!  
Beth

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**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Tuesday, September 18, 2018 8:37 AM  
**To:** Beth K Louie <bklouie@uw.edu>  
**Subject:** Re: UCIRO

Hi Beth,

Thank you for your response. My preference would be to meet in person and it would be most convenient in Tacoma. Please let me know when you might be available.

Thank you!  
Gillian

**From:** Beth K Louie <bklouie@uw.edu>  
**Sent:** Monday, September 17, 2018 3:05:58 PM  
**To:** Gillian L Marshall  
**Subject:** RE: UCIRO

Hi Gillian,

You're exactly right – APS 46.3 is an internal UW policy. That does mean, however, that I and my office have to follow it. I also agree that an investigation in this case should go back more than one year. Under APS 46.3, the only way to do that is for an administrative head (in this case, Chancellor Pagano), to request the investigation. Chancellor Pagano has done so, and my office is ready to open the investigation. I do want to make sure we clear up any misunderstandings before I do so, however, so am glad that you are able to speak with me.

You listed specific questions in your email, which I want to try to answer. It is a bit difficult to do so in writing, since there are a lot of nuances here, so I think these are things we can and should definitely discuss when we speak.

(a) the Chancellor (Mark Pagano) and I cannot not jointly initiate an investigation?  
Yes; an investigation would have to be requested either by you (in which case we could only go back one year), or by Chancellor Pagano (in which case there is no limit on how far back we can go).

(b) If the Chancellor initiates the investigation and not me, then at the conclusion of the investigation, am I  
right that I as the victim would get limited information pertaining to the results of the investigation?

This question is difficult for me to answer because I'm not sure what you mean by limited information. However, the differences between the two types of investigations are primarily procedural. The main difference we have been discussing is that a Chancellor-initiated investigation does not have the same time limitation as an investigation requested by an individual. The other difference that we had talked about in our initial conversation was that where the Chancellor requests an investigation, the results of the investigation are shared with him (and others who have a business need to know) first. I would then request permission from the Chancellor to report the results of the investigation to you. Sometimes the administrative head who requested the investigation wants to be present at meetings with the complainant (the person who raised the complaint; in this case, you), or to share information themselves, and that is up to the administrative head.

(c) If I initiate the investigation and not the Chancellor, I would get the full results of the investigation?  
Yes; we report the results of the investigation in both of these types of investigations (either requested by an individual or by an administrative head).

In terms of meeting, I'm not sure when I will next be on the Tacoma campus. I think you had mentioned earlier you would be willing to meet by phone – is that still an option? I can provide a conference line, so that your support person can also call in,

if that would be helpful. As of right now, I'm free tomorrow and Wednesday, and also have availability Thursday afternoon or Friday morning. If there is a day and time that works best for you, let me know.

Please let me know if you have any questions!

Best,  
Beth

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**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Monday, September 17, 2018 7:58 AM  
**To:** Beth K Louie <[bkLouie@uw.edu](mailto:bkLouie@uw.edu)>  
**Subject:** Re: UCIRO

Hi Beth,

I had a chance to review APS 46.3 you cited in your previous email. It appears to be an internal policy created by UW management. I am still puzzled as to why you would not go beyond a one year period when Washington state law clearly states that discrimination cases can go back three years if I am initiating the investigation. In my opinion, in order to conduct a complete and fair investigation you must go back the full 3 years to properly understand what's taken place in the last year.

Based on what I have read, the policy states that:

Matters which occurred more than 365 days prior to an individual request for investigation or, in the case of a state or federal agency complaint, outside the prescribed time periods, will not be accepted for a UCIRO investigation, but may be referred to other University offices. UCIRO investigations conducted at the request of an administrative head may encompass time periods beyond 365 days, depending on the scope and nature of the request.

Is this to mean,

- (a) the Chancellor (Mark Pagano) and I cannot not jointly initiate an investigation?
- (b) If the Chancellor initiates the investigation and not me, then at the conclusion of the investigation, am I right that I as the victim would get limited information pertaining to the results of the investigation?
- (c) If I initiate the investigation and not the Chancellor, I would get the full results of the investigation?

After you respond to my email, I would be happy to meet with you in Tacoma based on your request to meet and I will bring along a person to hear what you have to share.

Thanks!  
Gillian

**From:** Beth K Louie <[bklouie@uw.edu](mailto:bklouie@uw.edu)>  
**Sent:** Thursday, September 13, 2018 9:11:17 AM  
**To:** Gillian L Marshall  
**Subject:** RE: UCIRO

Hi Gillian,

Thanks for asking. I do not consent to recording meetings or calls. Of course, you are more than welcome to take notes, or bring someone with you as a support person who could also take notes.

For our call or meeting, do you have any time next week? I'm generally available Monday, Tuesday, and Wednesday, so please let me know if there is a day and/or time that works best for you.

Best,  
Beth

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**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Wednesday, September 12, 2018 11:52 AM  
**To:** Beth K Louie <[bklouie@uw.edu](mailto:bklouie@uw.edu)>  
**Subject:** Re: UCIRO

Hi Beth,  
I'm glad you had a chance to speak with Chancellor Pagano. I am happy to meet in person or by phone. Would it be ok to tape our call or conversation?  
Thanks!  
Gillian

---

**From:** Beth K Louie <[bklouie@uw.edu](mailto:bklouie@uw.edu)>  
**Sent:** Tuesday, September 11, 2018 1:26:14 PM  
**To:** Gillian L Marshall  
**Subject:** UCIRO

Hi Gillian,

I wanted to let you know that I spoke with Chancellor Pagano yesterday about the options for moving forward. He has now formally requested that my office conduct an institutional investigation. I believe this is the best way to look at your concerns, as it is the only way to go back more than one year.

I know that you may still have some questions about the process, and I would like to talk about the next steps. Please let me know if you're available for a brief call or meeting, either this week or next.

Best,  
Beth

**BETH LOUIE**

Investigation and Resolution Specialist / University Complaint  
Investigation and Resolution Office (UCIRO)

UW Compliance and Risk Services  
Roosevelt Commons East, Box 354996  
4311 11<sup>th</sup> Ave. N.E., Suite 320  
Seattle, WA 98105  
206.616.7108  
[bkLouie@uw.edu](mailto:bkLouie@uw.edu) / <https://compliance.uw.edu>

<image001.gif>

*Privileged, confidential or patient identifiable information may be contained in this message. This information is meant only for the use of the intended recipients. If you are not the intended recipient of this message, or if this message has been addressed to you in error, do not read, disclose, reproduce, distribute, disseminate, or otherwise use this transmission. Instead, please notify the sender by reply e-mail, and then destroy all copies of the message and any attachments. Thank you.*



To: Ian Messerle  
Manager, UCIRO

From: Mark A. Pagano *MAD*  
Chancellor, UW Tacoma

Date: September 10, 2018

Re: Request for Investigation

I have been made aware of concerns raised regarding the alleged conduct of numerous faculty and administrators in the Social Work and Criminal Justice Program at UW Tacoma as they relate to the career advancement of one of our Assistant Professors, Dr. Gillian Marshall. Dr. Marshall believes that the conduct constitutes discrimination and/or harassment and is impeding her career progress.

If these allegations are substantiated, I believe they may violate Executive Order 31. I am requesting that UCIRO conduct an institutional investigation into these concerns pursuant to Administrative Policy Statement 46.3.

Should other issues arise in the course of UCIRO's investigation that are related to the above-referenced concerns, I hope that these issues will be investigated by your office as well, if appropriate.

Thank you for your assistance in this matter.

# RE: UCIRO - Institutional investigation in Social Work and Criminal Justice Program

Mark A Pagano <mpagano@uw.edu>

Thu 10/4/2018 5:17 PM

To: Beth K Louie <bklouie@uw.edu>;

Cc: Gillian L Marshall <geegee@uw.edu>;

Beth,

I apologize for not answering, but I was traveling most of the day yesterday and did not get back to Tacoma until fairly late in the evening. And after three days away, I have not had much time today to get to my email back-log.

Certainly - I would expect to share the results of the investigation with Dr. Marshall once the final report has been received. We can do that through you giving a face-to-face overview with her or through another means which we deem appropriate once we see the detailed nature of findings. Please let me know what else you might need from my office.

Thank you, Mark

---

**From:** Beth K Louie [mailto:bklouie@uw.edu]

**Sent:** Wednesday, October 03, 2018 4:03 PM

**To:** Mark A Pagano

**Cc:** Gillian L Marshall

**Subject:** UCIRO - Institutional investigation in Social Work and Criminal Justice Program

Dear Chancellor Pagano,

As you know, my office will be opening an institutional investigation into concerns raised by Gillian Marshall (cc'd here). UCIRO's process for reporting the results of institutional investigations is to first report the results to the administrative head who requested the investigation, then ask the administrative head for permission to make similar reports to the complainant and subject(s). It would be unusual for UCIRO not to receive this permission.

I met with Gillian today and she asked whether I could seek your permission now for me to have this meeting with her at the end of the investigation. I agreed to do so, and think having the assurance that she would be able to have access to this information at the end of the investigation would be helpful.

Can you please let us know whether you are able, at this stage, give me the permission to report out the results of the investigation to Gillian once it is finished? Please let me know if you have any questions.

Best,  
Beth

October 8, 2018

**PERSONAL & CONFIDENTIAL**

Gillian Marshall  
geegee@uw.edu

RE: Institutional Investigation  
UCIRO File #EV2018052449

Dear Dr. Marshall:

Based on our prior conversation, this letter confirms that the University Complaint Investigation and Resolution Office (UCIRO), at the request of Chancellor Mark Pagano, University of Washington Tacoma, will be investigating concerns you raised about race discrimination, harassment, and/or retaliation under Section 46.3 of the University of Washington Administrative Policy Statements. The purpose of this institutional investigation is to determine whether Executive Order 31, the University's policy prohibiting discrimination, harassment, and retaliation, was violated. At this time, UCIRO has already mailed notices about the opening of the investigation to Tom Diehm, Diane Young, and the University of Washington Tacoma department of Social Work, including those with a business need to know.

Specifically, UCIRO will investigate your allegations that you were discriminated against, harassed, and/or retaliated against in 2017, when the decision of whether to reappoint you to your position was postponed, and in 2018 when the faculty and Director of Social Work and Criminal Justice recommended you not be reappointed. Additionally, UCIRO will investigate your allegations that you were discriminated against, harassed, and/or retaliated against in 2017 and 2018 when the faculty and Director voted you as non-meritorious, leading to you not receiving a merit raise in those years.

As you know, I will be the Investigation & Resolution Specialist assigned to this matter. I will be contacting you to obtain additional information, including documentation, as needed. In the interim, contact me if you have any questions. My role is to be a neutral, objective fact-finder. I will be interviewing you and others with pertinent information, requesting and examining relevant documents, and gathering any additional related factual information. I do not act as your attorney or the University's attorney. No communication with me is subject to attorney-client privilege.

**Mandatory Document Retention and Recordkeeping.** Start a separate confidential file for all of your notes and correspondence relating to this matter. Do not destroy, delete, alter, or damage any documents that may relate in any way to the allegations in this investigation. A document is anything containing information about the allegations, whether in electronic or paper form. Handwritten notes are documents, as are text messages, voicemails, and photographs.

**Informing Others about the Investigation.** Although notice of this investigation is provided to those who have a business need to know, such as the Executive Vice Chancellor for Academic

Affairs, please limit the dissemination of information to preserve the integrity of the investigation. UCIRO may ask the persons who are interviewed not to discuss their interviews. We may also ask that they, except as necessary, decline to discuss even the fact that they are being interviewed.

Because the University of Washington is a public institution, written information contained in UCIRO files may be subject to disclosure under the state Public Records Act. Some information, such as medical information, student records, or information that is otherwise exempt from the Public Records Act, will not be subject to disclosure under the Act. The University's Public Records Office makes these determinations in the event a request is made under the Act. Information UCIRO obtains may also be disclosed if otherwise required by law, for example, pursuant to a subpoena or court order.

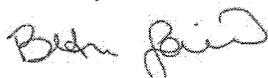
**Mandatory Participation and Release Time.** Section 46.3 of the University of Washington Administrative Policy Statements requires University employees to "participate, provide information as requested, and otherwise fully cooperate with the process..." Full cooperation means that you should provide all the information and documentation that is requested of you.

**Results of the Investigation.** At the investigation's conclusion, UCIRO will issue written closure notices to the department, you, Tom Diehm, and Diane Young that briefly state the investigation's outcome. Prior to this, I will report the findings and conclusions in more detail to Chancellor Pagano orally. Chancellor Pagano may direct me to schedule a similar meeting with you. I may hold similar meetings with Tom Diehm and Diane Young. Finally, neither the department, you, nor Tom Diehm, and Diane Young may appeal the results of a UCIRO investigation. You may contact state or federal agencies at any time.

**Prohibition Against Retaliation.** It is against University policy to penalize or retaliate against any individual for participation in the complaint process. If you believe that you are being retaliated against for participating in this process, you should inform me as soon as possible. You may also inform other appropriate University employees such as you're your administrator. Likewise, you may not retaliate against or penalize anyone for their participation in this process.

Again, I will be in touch with you when I am ready to schedule an interview. If you have other questions about the investigation process, please feel free to call me.

Sincerely,



Beth Louie  
Investigation and Resolution Specialist  
UCIRO

## Re: Checking-in

Gillian L Marshall

Fri 10/26/2018 8:02 AM

Sent Items

To: Beth K Louie <bklouie@uw.edu>;

Hi Beth,

Thanks for the update!

G

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**From:** Beth K Louie <bklouie@uw.edu>  
**Sent:** Wednesday, October 24, 2018 2:59:31 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Checking-in

Hi Gillian,

I haven't; I'm going to be out of the office next week, but will request documents and potential witnesses from Tom and Diane when I return.

Best,  
Beth

---

**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Wednesday, October 24, 2018 7:23 AM  
**To:** Beth K Louie <bklouie@uw.edu>  
**Subject:** Re: Checking-in

Hi Beth,

Thank you for the update. I am curious, have you begun the fact finding stage?

Thanks!  
Gillian

---

**From:** Beth K Louie <bklouie@uw.edu>  
**Sent:** Tuesday, October 23, 2018 1:49:52 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Checking-in

Hi Gillian,

There has been no change in investigation status since my email last week.

As we discussed, UCIRO investigations are taking anywhere from 3-9 months, on average – this is primarily due to workload, and the number of other outstanding investigations. The majority of this time is spent in the fact finding stage, which is where I review documents and interview witnesses. I can let you know once I have finished with the fact finding and move on to the analysis portion, which will likely be much shorter.

In the meantime, please let me know if there are any individuals you think may have relevant or helpful information that you would like me to consider interviewing.

Thanks,  
Beth

---

**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Monday, October 22, 2018 3:39 PM  
**To:** Beth K Louie <[bkLouie@uw.edu](mailto:bkLouie@uw.edu)>  
**Subject:** Re: Checking-in

Hi Beth,

I just wanted to check-in with you to see what stage we are in with the investigation and where we are.

Thanks!  
Gillian

---

**From:** Gillian L Marshall  
**Sent:** Thursday, October 18, 2018 3:42:18 PM  
**To:** Beth K Louie  
**Subject:** Re: Checking-in

Thank you for the update Beth.

Best,  
Gillian

---

**From:** Beth K Louie <[bkLouie@uw.edu](mailto:bkLouie@uw.edu)>  
**Sent:** Thursday, October 18, 2018 9:16:31 AM  
**To:** Gillian L Marshall  
**Subject:** RE: Checking-in

Hi Gillian,

Sure. My office sent out the opening notices, marking the administrative beginning of the investigation, early last week. My next step is to request documents and a list of potential witnesses from Tom and Diane, and begin the fact finding portion of the investigation.

Please let me know if you have any other questions!

Best,  
Beth

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**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Wednesday, October 17, 2018 9:38 AM  
**To:** Beth K Louie <[bkLouie@uw.edu](mailto:bkLouie@uw.edu)>  
**Subject:** Checking-in

Good Morning Beth,

I am checking-in to see where we are with the investigation process. Could you please provide me with an update please?

Thanks much!  
G

## SOCIAL WORK AND CRIMINAL JUSTICE PROGRAM LIST OF EXAMPLE FACULTY ACTIVITIES Revised 9-22-17

[NOTE - EACH OF THE BELOW SAMPLE ACTIVITIES CAN ALSO BE AN OPPORTUNITY TO DESCRIBE EFFORTS RELATED TO EQUITY AND INCLUSION]

### Teaching

- Undergraduate departmental courses (5 credit usually)
  - Size of class
- Graduate departmental courses (3 credit usually)
  - Size of class
- Independent studies supervised
- Internship supervision (not SW practicum)
- New course development
- Online and hybrid development
- Development or use of instructional technology
- Old course revisions
- Revision to online or hybrid course and/or presentation
- Revisions to courses to enhance inclusion and support of underrepresented students and students with disabilities
- Student advising and mentoring
- Field/Practicum Coordination
- Serving as thesis or dissertation committee member or chair
- Teaching awards or recognition
- Invited guest lecturing on a UW Campus
- Invited guest lecturing outside UW
- Evidence of Teaching Engagement
- Presenting Teaching Forum or Symposium
- Brown-bags
- Attending Faculty Development Activities
- Incorporating equity and inclusion-related online or experiential resources into courses
- Arranging for peer-review of teaching
- Seeking mentorship or peer-review related to inclusive practices in the classroom

### Scholarship/Research

- Submitting scholarship for dissemination
- Submitting conference paper or poster
- Research planning
- IRB application/reports
- Grant application
  - Internal funding opportunity
  - Foundation or Agency
  - Government
- Conference presentation (paper or poster)
  - Invited
  - Peer reviewed & accepted
  - National or International
- Article in press
- Article published

(Scholar should discuss choice of journal/dissemination venue, e.g., quality, relevance, specialization, access, etc.)

- Pedagogical scholarship in refereed publications and media of high quality
- Efforts to engage community and students in scholarship and research, particularly students from underrepresented groups or communities
- Professional development regarding ethical, inclusive and anti-oppressive research practices
- Studies of success rates of students taught
- Research awards and recognition
  - Professional, campus, government, etc.
- Grant awarded
- Other external funding
- Application for external funding

### Service

- Departmental committee
  - Chairing a departmental committee
- Campus committee
  - Chairing a campus committee
- Faculty Assembly committee
  - Chairing a Faculty Assembly Committee
- Tacoma representative to a UW Seattle-based committee
- Advising student organizations
- Organizing or supporting campus/department programming to support students from underrepresented groups
- Participation in efforts to address program or campus climate, equity, and inclusion
- Partnering with local community groups on efforts related to social justice, equity, or inclusion
- Completion of Peer Teaching evaluation for others
- Professional service
- Sitting on or chairing committee of a professional organization
- Editorial Board for a journal
- Reviewer for a journal
- Volunteer Community Service
  - Board of Directors for Community Organization
  - Other Community Organization involvement
- Appointed position (e.g., civic task force)
- Lecturing, presenting, consulting for community group or organization
- Community Service award or Recognition
- Mentoring other faculty
- Part-time lecturer development
- Hosting or co-hosting events on campus related to equity and inclusion

\* Note: This is a non-exhaustive list of typical Teaching, Scholarship/Research, and Service activities. Non-listed faculty activity should be included in the most appropriate section.

TENURE TRACK FACULTY REVIEW FRAMEWORK

Non-Meritorious 0-1	Meritorious 2-3	Extra Meritorious 4-6
<p><b>Teaching</b></p> <ul style="list-style-type: none"> <li>• Pattern of concerning teaching (problematic syllabi, student evaluations, peer evaluations, etc.)</li> </ul>	<p><b>Teaching</b></p> <ul style="list-style-type: none"> <li>• Teach assigned courses</li> <li>• Preparation of syllabi</li> </ul>	<p><b>Teaching</b></p> <p><u>Individual activities might qualify:</u></p> <ul style="list-style-type: none"> <li>• Non-compensated course development</li> <li>• Teaching an extra course (no work reduction elsewhere)</li> <li>• Disproportionally teaching required courses over multiple years</li> <li>• Teaching award</li> <li>• Other notable activity</li> </ul> <p>OR Culmination of several activities (see list)</p>
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App. 0184

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June 8, 2016

Dear Gillian,

I am writing to inform you that a majority of your senior colleagues, pursuant to Section 24-55 of the *Faculty Code*, made a recommendation of meritorious regarding your performance for the 2015-2016 academic year. I concur with this recommendation.

I look forward to our continued work together within Social Work and Criminal Justice.

Sincerely,

  
Diane S. Young,  
Director, Social Work and Criminal Justice Program

cc. Personnel file



June 5, 2017

Dear Gillian,

I am writing to inform you that your senior colleagues, pursuant to Section 24-55 of the *Faculty Code*, made a recommendation of non-meritorious regarding your performance for the 2016-2017 academic year.

I have passed this recommendation on to the Executive Vice Chancellor for Academic Affairs who will make a final determination of merit.

I look forward to our continued work together within the Social Work and Criminal Justice Program.

Sincerely,

A handwritten signature in black ink, appearing to read 'Tom Diehm'.

Tom Diehm  
Acting Director

Cc: Personnel file



UNIVERSITY of WASHINGTON | TACOMA  
SOCIAL WORK & CRIMINAL JUSTICE PROGRAM

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Date: September 11, 2017  
To: Gillian Marshall  
From: Diane Young *DY*  
Director, Social Work & Criminal Justice  
Re: 2017 Faculty Merit Increase

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The University of Washington is proceeding with fiscal year 2018 merit salary increases. A salary pool of 2% was made available for faculty merit salary adjustments, effective September 1, 2017.

All faculty members who were determined to be meritorious received a minimum 2% merit salary adjustment unless they received a prior salary adjustment that precluded further adjustment (i.e. retention increase).

Your performance during the past year was deemed non-meritorious and you will not receive a merit salary increase.

If you have questions or want to discuss your work and expectations for the coming academic year, please let me know. I hope that you have a successful year.

Cc: Jill Purdy, Interim Executive Vice Chancellor for Academic Affairs

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- Reviewer for a journal
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  - Board of Directors for Community Organization
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TENURE TRACK FACULTY REVIEW FRAMEWORK

App. 0189

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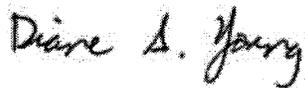
June 15, 2018

Dear Gillian,

I am writing to inform you that your senior colleagues, pursuant to Section 24-55 of the *Faculty Code*, made a recommendation of non-meritorious regarding your performance for the 2017-2018 academic year. I concur with this recommendation.

Because this is your second consecutive annual rating of no merit, there is a review process dictated by the Faculty Code, Section 24-55 H, which we will follow. I will appoint an ad hoc committee of faculty higher in rank than you from within our Program to meet with you and review more fully your record and merit. I will be in touch with you to consult about the makeup of this review committee.

Sincerely,



Diane S. Young,  
Director, Social Work and Criminal Justice Program

cc. Personnel file

Dear Merit Review Committee,

Before our meeting this Friday, I wanted to make sure you were all aware of my interactions with both Diane Young (Director) and Tom Diehm (Interim Director while Diane Young was on sabbatical) since I joined the faculty at UW-Tacoma. They have been significant impediments to my success, which I have no doubt is owing to my race, and if permitted to do so, I anticipate they will remain significant impediments to my success in the coming three years. I have experienced biased, unfair treatment and hostility which I believe accounts for an undeserved rating of non-meritorious. Please see below for some examples.

### **Teaching**

- All new faculty, upon hire, are offered one course release. Based on the course release from my first grant (Diversity Supplement through NCI), my new grant (K01 through NIA) and the one course release for being a new faculty member, I would have had a "0" teaching load during my first year (2015-2016) at UW-Tacoma. I did not want to start my new job and not teach a course, so I talked with Diane and told her that I was committed to teaching at least one course a year, and that I had decided to use my course release at a later time. Although there is no policy indicating this, she said that "course reductions in teaching are given to new instructors who are typically teaching several new courses while also needing time to develop their scholarly work. With the K Award this is not your situation." Essentially, Diane made the decision that, because I have been successfully funded, I would be penalized by taking away the one course release I opted to defer and thus denying me all the same benefits my colleagues/peers received.
- On at least two occasions (during the interviewing process and after being hired), I provided Diane with a list of 10-12 possible courses I have experience in and the skill set to teach. In 2016, none of my teaching requests were honored and instead a temporary lecturer (lower in rank than me) was scheduled to teach several of the classes had I requested. It is hard to imagine a valid business reason for giving a temporary lecturer preferential treatment in teaching assignments over a tenure-track faculty member. When this was brought to the attention of the previous Executive Vice Chancellor for Academic Affairs (EVCAA) Melissa Lavitt I was offered one course to teach off the list that I provided.

### **Research/Policy**

- Last year, the recommendation by the review committee and faculty was to postpone my approved research quarter leave and instead teach a section of "Human Behaviors and the Social Environment," which I did. I am scheduled to take my research leave this year, but instead Diane has asked me to re-apply for the leave. So, I asked her why would I re-apply for something that was already approved and awarded to me? Diane then stated that the policy states that I must re-apply. When I asked to see the policy, she provided a copy of the description and process to apply for the research leave. Even as I write this today, no policy has been provided to me.
- Earlier this year, I had to establish my reappointment review committee. Karina Walters was unable to serve this year due to a conflict of interest and although Marian Harris was on sabbatical, she was willing to serve on the committee so that I would have continuity. Diane informed me that Marian Harris could not serve on my committee as it was against the UW policy. When I asked to see the policy, she called Allison Hendricks (former academic HR) to ask for this policy. Diane later informed me that there was no policy. After a conversation with Marian Harris, and in lieu of the departmental climate, we both agreed it was not in my best interest for her to serve on my committee. I informed Diane of this decision and that the reason was confidential. Diane then proceeded to ask Marian Harris about the details of our "confidential" conversation.

### Grant Administration

- My first grant with NIH was through the National Cancer Institute. Prior to transferring it to UW-Tacoma from Case Western Reserve University I spoke with Diane several times about what was necessary to transfer the award and needed assurance from UW-Tacoma, that there would be someone in the grants office who would manage the grant. After asking several times and receiving varying responses, I got the impression Diane was stalling for some reason. She led me to believe that Lisa Isozaki would be the post-award person managing my grant. Diane wrote a letter to NCI indicating that Lisa Isozaki has experience with pre and post awards and would be managing the grant. When I arrived, I met with Lisa Isozaki and she told me she only worked on pre-awards and in fact there was no post-award person to manage my grant and I had to manage it myself. This is a violation of NIH policies as UW-Tacoma received 54.5% in indirect costs and part of those indirect costs are for grants management. This violation placed me at risk as a new investigator with NIH.
- When I was awarded my second grant (K01) through NIH, I had the grant processed through the UW School of Social Work in Seattle since they have pre and post-award staff who could support this type of funding mechanism. During my interview process on a number of occasions by Diane and other faculty members stated that all new grants could be initiated through UW-Seattle School of Social Work as there was an agreement between UW-Tacoma and UW-Seattle where by grants (regardless of whether faculty at UW-Tacoma are working with a PI or Co-PI at UW-Seattle) can be submitted through the UW-Seattle campus. I believe this agreement was established when David Takeuchi, former Associate Dean for Research, was at the Seattle campus. To stay in compliance with the NIH procedure and guidelines, my second grant (K01) was initiated and is managed in Seattle. For several months, I felt harassed and bullied by Diane because I chose to comply with NIH procedures and guidelines. By not following NIH procedures and guidelines could have serious ramifications -such as losing my funding, ruining my reputation with NIH and leaving the university vulnerable to a potential tri-campus audit.
- During a meeting with Diane she called me “not forth coming with information” and “deceptive” because I chose to have my grant processed through and managed by the Seattle School of Social Work. Again, UW-Tacoma did not (and still does not) have a post-award person hired in the grants office and no one at UW-Tacoma had any experience managing a grant of this magnitude. I did not want to be in violation of NIH policies and guidelines which is why the K01 was processed and managed in Seattle. Instead of respecting the role of the PI (myself), Diane who knows nothing about NIH funding kept calling and emailing various persons in the grants office in Seattle trying to get the grant transferred to UW-Tacoma where there is no post-award person employed to manage it. Had she been successful in moving my grant to UW-Tacoma, I would have had to report her actions to my program officer at NIH who would then recall my funding and Diane would have placed the entire UW system (all 3 campuses) at risk of a potential audit.
- Diane Young asked me to attend a meeting with her and Jan Rutledge (Associate Vice Chancellor Finance, UW-Tacoma) on March 3, 2016 and asked me to explain to them the functions of a post-award grants manager. Naturally, I referred them to Seattle as this is not my area of expertise. They decided that they would call NIH themselves to get a response. That day I happened to run into the previous EVCCA (Melissa Lavitt) and mentioned this to her. She immediately called them and instructed them not to make that call to NIH since she felt it may trigger a campus-wide audit of all of the University grant financials.
- Most recently, when I applied for the Loan Repayment Program (LRP) renewal, Diane misrepresented the information provided by the NIH LRP personnel to deny my certification of 2-years which could have had serious financial repercussions if the Chancellor did not intervene and overrule her decision.

### **Merit Increase/Raise**

- In both 2017 and 2018, I was voted as being non-meritorious by the Director and the faculty. I strongly disagree with both these decisions and I believe that if I were a white male with this funding record in Tacoma, or if I were assigned to the Seattle campus, this would not be happening. Based on the evaluation criteria for non-meritorious, I should have received meritorious or extra-meritorious. The following three criteria are what is used to justify a non-meritorious vote:
  - 1) Patterns of concern in teaching (problematic syllabi, student and peer evaluations).
  - 2) Scholarship (none or minimal notable activity).
  - 3) Service (fewer than 2 committees)
- **Patterns of concern in teaching (problematic syllabi, student and peer evaluations)**
  - Each year the SWCJ program receives a copy of my syllabus. There were not any concerns mentioned in either 2015-2016, 2016-2017 or 2017-2018.
  - By 2016-2017, I had one stellar student evaluation (4.7) and one poor student evaluation (2.8)
  - In 2017-2018 I had one poor student evaluation (1.4)
  - In both 2016-2017 & 2017-2018 my peer evaluations were excellent.
- **Scholarship (none or minimal notable activity)**
  - In 2016-2017 I had three papers accepted and had five under review. I gave three guest lectures and had five abstracts accepted to conferences.
  - In 2017-2018: I had four papers accepted and had two under review. I was also selected (one out of seven junior faculty) to attend a funded NIMH two-year grant writing program. I also received the Loan Repayment Program - \$70,000 in loan repayment from NIH.
- **Service (fewer than 2 committees);**
  - In 2016-2017 I committed to five service opportunities;
    - 3 guest lectures, reviewed BASW and MSW admissions applications, public lectures selection committee, BASW committee
  - In 2017-2018 I committed to 5 service opportunities;
    - Two guest lectures, reviewed BASW and MSW applications, BASW committee, public lectures selection committee, served on faculty affairs committee, social work faculty search committee.

When I was notified of the result of my merit review, Diane did not have a conversation with me expressing any concerns, and she did not provide any evidence for why this decision was made or any suggestions on how I could improve. She also never offered any additional resources to ensure my success. It is clear to me that my contributions are not valued by her and some of the other members of the faculty in this program unit. I suggest that I am not the only person of color who has encountered this type of treatment at UW-Tacoma as evidenced by the campus-climate report surveying faculty of color.

In addition, the 2018 review committee stated that my “scholarship is on a trajectory for increasing productivity and impact in an unexplored and critical area of inquiry...[her] research file more closely resembles that of a more senior scholar.” Therefore, I do not believe my efforts warranted a vote of non-meritorious.

**Tom Diehm**

- Tom Diehm is a non-tenured faculty member. He is a lecturer and as interim director was able to make decisions about the future of my career. In 2016, in his role as interim director he said according to "the policy" I could not have anyone from the Seattle campus School of Social Work (SSW) serve on my 3<sup>rd</sup> year review committee. I shared with Tom that the policy states that I could indeed have someone from Seattle SSW as we are part of the same program. Tom said if I did not provide him with where he could find the policy, then it did not exist. Terri Simonsen, SWCJ program assistant, later provided him with the reference to the policy. Although he acknowledged that someone else found the policy, he never apologized for providing incorrect information while in his role as interim director. In 2016-2017 with Diane on sabbatical, during the reappointment process, Tom wrote the letter recommending that I not be reappointed for another three years and be terminated. When I requested to see a copy of the letter of recommendation to the EVCAA (Melissa Lavitt), he refused to provide a copy.
- As interim director, Diane assigned Tom the responsibility of making recommendations for my reappointment. In a meeting with Charley Emlett and my former colleague Jerry Flores, I addressed my concern about having a lecturer evaluate my materials and make a recommendation for reappointment. Charley said that Tom has served as interim director before and it should be fine.
- After my reappointment review in 2017, Tom requested that I meet with Charley Emlett to discuss next steps. I asked Tom for a copy of his recommendation to the EVCAA. Tom's letter and the EVCAA's letter would be used as the basis for my meeting with Charley. Tom said that it was against the UW policy to provide me with a copy of his recommendation. When I asked to see the policy, he directed me to Academic HR (Alisson Hendricks) and the EVCAA (Melissa Lavitt). When I emailed them, Melissa replied by stating there is not a policy, preventing me from gaining a copy of the letter. However, Melissa made the decision not to provide me with a copy but I understand Tom's recommendation was not to reappoint.

Above are only some examples of the bias, discrimination and unfair treatment I have experienced with the leadership of Diane Young and Tom Diehm in the Social Work and Criminal Justice program here at UW-Tacoma. Diane has not supported me and has been an obstructionist force since I arrived at UT-Tacoma. She has acted punitively and abused her position as Director by consistently citing policies in an effort to deny my reasonable requests, yet, when asked she cannot produce the cited policies that are supposed to support the denial of a specific request. Based on these and other facts, an internal investigation has been initiated by the Chancellor to examine both Diane Young and Tom Diehm's actions toward me. I hope that from this point forward, unfair treatment and discriminatory actions will stop and I will be treated fairly in this academic unit.

Sincerely,

Gillian

# Untitled

Melissa Lavitt <mlavitt@uw.edu>

Wed 11/28/2018 10:29 AM

To: Gillian L Marshall <geegee@uw.edu>;

Sorry I couldn't take your call. Yes, I saw the email. Glad that you sent it. I wasn't planning on attending Friday's meeting. The process and intended purpose is not quite clear to me. As I shared with Erin, I reviewed the materials and conclude, again, that your performance was not the problem; climate bias and culture are to blame. I will try and call later this afternoon.

Melissa Lavitt

## **UW Tacoma Policy on Faculty Merit**

1. There is no UW Tacoma policy that defines the detailed procedures by which merit is awarded. UW Tacoma units must adhere to the University of Washington Faculty Code for merit policy and procedures. All faculty members are reviewed annually for merit and any applicable merit-based salary increases following the procedures outlined in the UW Faculty Code, **Section 24-55** and **Section 24-57**. Please note that if there is a conflict between this guidance and the Faculty Code, the provision of the **Faculty Code** will govern.
2. According to the Faculty Code, faculty should vote annually on the following:
  - a. Whether each faculty is meritorious or non-meritorious. (Extra-meritorious is not a category within the Faculty Code and faculty should not include this category in their vote.) Any faculty member whose performance is not deemed meritorious shall be informed by the Chair/Dean of the reasons.
  - b. Additional salary funds may be allocated by the provost to colleges and schools at any time during the biennium, after appropriate consultations with the Faculty Senate Planning and Budget Committee, to address differentials occurring in the academic labor market and to reflect assessments of the quality, standing, and contributions of units to college, school, and University goals. Unless specifically allocated by the provost for a particular unit or purpose, the Deans shall consult with their elected faculty councils before distributing any additional funds among their constituent units. The procedures of **Section 24-55 of the Faculty Code** will be followed in distributing funds allocated to adjust faculty salaries based on merit.

### **Section 24-55 Procedure for Salary Increases Based Upon Merit**

Faculty at the University of Washington shall be reviewed annually by their colleagues, according to the procedures detailed in this section, to evaluate their merit and to arrive at a recommendation for an appropriate merit salary increase. Such reviews shall consider the faculty member's cumulative record, including contributions to research/scholarship, teaching, and service, and their impact on the department, school/college, University, and appropriate regional, national, and international communities.

The evaluation of a faculty member's merit and salary shall be arrived at after review of the individual's performance in relation to that of their colleagues and by comparison of individuals' present salaries to those of their peers. In evaluating a faculty member's eligibility for merit-based salary increases (Section 24-70, Subsections B.1 and B.4; Section 24-71, Subsections A.1 and B.1) and for "market gap" salary increases (Section 24-71, Subsection B.2), the following procedure shall be followed.

- A.** In arriving at their recommendations for salary decisions the appropriate faculty, department (unit) chairs, and deans shall each consider the following:
  1. The cumulative record of the candidate, taking into account the qualifications prescribed in Sections 24-32, 24-33, 24-34, and 24-35 for the various academic ranks and titles;
  2. The candidate's current salary;

3. Documentation of the review conference required by Section 24-57, Subsection D; and

4. Any documents produced under Subsection H of this section.

Salary recommendations shall seek to minimize salary inequities. Salary compression and other inequities, including those resulting from variations in the level of merit funds available over time, may be considered in making merit salary recommendations.

- B. The merit and salary of each faculty member below the rank and title of professor shall be considered by the voting members of the department, or undepartmentalized college or school, who are his or her superiors in academic rank and title, and they shall recommend any salary increase which they deem merited.
- C. The chair of a department, or the dean of an undepartmentalized school/college, shall consider the merit and salary of each full professor in his or her unit. Before forwarding his or her recommendations the chair (or dean in an undepartmentalized school/college) shall seek the advice of the full professors according to a procedure approved by the voting members of the unit.
- D. If the recommendation is a departmental one, the chair shall transmit it to the dean with any supporting data the dean may request. If the chair does not concur in the recommendations he or she may also submit a separate recommendation.
- E. The dean shall review the department's recommendation and forward his or her recommendation regarding faculty merit and salary to the President.
- F. The dean of each college/school shall review the record and salary of the chair of each department and shall recommend an appropriate salary increase to the President.
- G. The President shall authorize the salary increases of the faculty, and of each dean.
- H. At the option of the faculty member affected, and mandatorily in the event of two consecutive annual ratings of no merit (as a result of reviews under this section), the chair of the faculty member's department (or dean of an undepartmentalized school or college) shall, after consultation with the faculty member, appoint an ad hoc committee of department (or school/college) faculty superior (or, in the case of full professors, equal) in rank or title to the faculty member. This committee shall meet at its earliest convenience with the faculty member and review more fully the record and merit of that faculty member.

The committee shall, upon completion of its review, report in writing the results to the

faculty member and to his or her department chair (or dean in an undepartmentalized school/college) and the committee shall advise them what actions, if any, should be undertaken to enhance the contributions and improve the merit ranking of this colleague, or to rectify existing misjudgments of his or her merit and make adjustments to correct any salary inequity. The faculty member may respond in writing to this report and advice within 21 calendar days to the department chair (or dean) and committee (unless upon the faculty member's request and for good cause the response period is extended by the chair or dean). The committee's report and advice, the faculty member's written response (if any), the response by the chair, and any agreement reached by the faculty member and the chair shall be incorporated into a written report.

*Section 13-31, April 16, 1956; S-A 58, May 16, 1978; S-A 75, April 6, 1987; S-A 82, November 21, 1990; S-A 99, July 9, 1999; S-A 124, July 5, 2011: all with Presidential approval. [See also Executive Order No. 45.]*



**Office of the Washington State Auditor  
Pat McCarthy**

December 26, 2018

Gillian Marshall  
geegee@uw.edu

Dear Gillian Marshall:

Thank you for your complaint asserting improper governmental action at the University of Washington. Specifically, you expressed concerns regarding violation of merit categories.

We reviewed your concern and determined the Human Rights Commission is better able to address the issue. Therefore, we will not open a whistleblower investigation (RCW 42.40.040).

If you would like our Office to summarize the concern and forward it to executive management at the Commission, please reply to Jeana Gillis, Whistleblower Program Coordinator, at jeana.gillis@sao.wa.gov. Please be assured we will not disclose your identity to the agency.

If you have any questions or need additional information, please contact me at (360) 725-5363.

Sincerely,

**TROY NIEMEYER**  
ASSISTANT DIRECTOR OF STATE AUDIT

TN:jmg

Ref. 179623

December 11, 2018

To: Gillian Marshall, Assistant Professor of Social Work and Criminal Justice  
Diane Young, Director, Social Work and Criminal Justice

From: Erin Casey, Professor of Social Work and Criminal Justice, and  
Chair – Merit Review Committee

RE: Merit Review Committee Findings

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Purpose and scope of committee:

Section 24-55 of the University of Washington Faculty Code dictates that, “in the event of two consecutive annual ratings of no merit,” for a faculty member, a committee of departmental faculty senior to that person is convened to “review more fully the record and merit of that faculty member.” Dr. Gillian Marshall received consecutive ratings of no merit in the 2016-2017, and 2017-2018 academic years. Accordingly, a merit review committee was convened in late October, 2018 to review the merit record for these years. This committee was comprised of myself, Michelle Garner, Associate Professor; Melissa Lavitt, Professor; Eric Madfis, Associate Professor; and Randy Myers, Associate Professor. All committee members are appointed to the Social Work and Criminal Justice (SWCJ) Program. The purpose of this memo is to detail the process and outcome of this committee, and all committee members have reviewed this document.

The charge of the committee was to review the process and content of Dr. Marshall’s merit reviews for the specified academic years, to identify “what actions, if any, should be undertaken to enhance the contributions and improve the merit ranking of this colleague, or to rectify existing misjudgments of his or her merit and make adjustments to correct any salary inequity.” The scope of the committee is limited to the merit review policy and relevant procedure documents approved by the faculty and in place at the time of the 16-17 and 17-18 academic years.

Process of merit review committee and materials considered:

The merit review committee convened three times; on November 2, 2018 to review the charge and process of the committee, on November 30, 2018 with Dr. Marshall to gather her input on the merit reviews in question, and on December 7, 2018 to discuss findings.

Several documents were considered in the merit review committee’s work. These included policy and reporting documents outlining the SWCJ Program’s merit review process (inclusive of the Tenure-Track Faculty Criteria for merit, Example Faculty Activities, and template Merit Rating Ballot documents), Dr. Marshall’s Faculty Activity Reports (FARs) for the 16-17 and 17-18 academic years, and the merit ballots containing faculty ratings and comments pertinent to Dr. Marshall for the specified years. Dr. Marshall also submitted four pages of written comments which the committee considered. In the document, Dr. Marshall describes events during the

entirety of her time in the department which she experienced as “significant impediments to my success, which I have no doubt is owing to my race.” In the document, Dr. Marshall reports that “I have experienced biased, unfair treatment and hostility which I believe accounts for an undeserved rating of non-meritorious.” In the document, Dr. Marshall also provided a re-cap of activities in teaching, service, and scholarship for the years in question, noting her perception that the ratings of no merit were unjustified for these years.

Finally, the committee considered Dr. Marshall’s verbal comments from the November 30 meeting with the full review committee. In this meeting, Dr. Marshall noted that she did not have additional information to add beyond the documentation she submitted, and noted that it was unclear to her why she received a rating of no merit in the specified years. Dr. Marshall noted that she did not receive feedback or an explanation regarding those merit decisions. She also noted that without information regarding the nature of the concerns that led to the no-merit decisions, it was difficult to describe what information, resources, or supports would be most useful to her moving forward.

#### Findings of the review committee:

The unanimous assessment of the review committee is that the merit review process, as specified in program policy and procedure documents at the time, was followed in Dr. Marshall’s case in both the 16-17 and 17-18 academic years. The evidence for this decision is described by academic year below.

#### **16-17 Academic Year**

The SWCJ merit review policy asks faculty to rate colleagues on a scale of 0-6 in each of the domains of faculty responsibility. A rating of 0 or 1 is operationalized in the merit documents as “non-meritorious” and a ranking of 0 or 1 in any single area results in an overall assessment of non-meritorious for the faculty member being evaluated.

In this year, faculty were nearly unanimous in assessing both Dr. Marshall’s teaching and her service as non-meritorious (4 out of 5 faculty provided ratings, and all 4 scored Dr. Marshall with a 0 or 1 in both of these domains). All faculty rated Dr. Marshall’s scholarship at a ‘3’ or higher (4-6 is considered “extra meritorious”). Consistent with policy, all faculty who gave Dr. Marshall an overall rating of non-meritorious provided comments explaining their decisions. These comments noted significant concerns with both teaching and service. All comments from faculty are listed below:

*“Gillian taught one course with very poor evaluations. Her scholarship was fine, and commensurate with the amount of buyout and support she has. Her service was minimal, and below that typically expected of a second year AP. She has not shown engagement with the program, has not attended program events such as orientation, and does not report back to the faculty as a whole about her minimal service commitments. She creates the impression that she is not remotely committed to this program.”*

*“Strong research, but as expected with mentored and protected time. Very limited teaching is marked by troubling disengagement and lack of preparation; service is very limited. All SW faculty are part of*

*degree committee and student application reviews. Program/campus service lacks investment/engagement."*

*"The faculty member did not in her FAR indicate her scoring NOR whether she felt she was meritorious or something else. My opinion is meritorious."*

*"Teaching unacceptable. Service contributions are exceedingly poor. She totally disengaged from service contributions, and the contributions she makes are poor."*

The merit review committee also considered Dr. Marshall's FAR for this year, as well as the supplemental written comments she provided to the committee, and did not find evidence of activities that were overlooked by the voting faculty. It should be noted that guest lectures are listed under "teaching" in the Example Faculty Activities document and are not considered evidence of service. Additionally, all Social Work faculty review MSW and BASW admissions files and attend degree program meetings as core functions of their appointment to the department, and this work is not considered serving on committees. Dr. Marshall listed guest lectures and admission file reviews as evidence of service on her FAR for this year.

It should also be noted that, inconsistent with the directions on the merit ballot, one faculty rated Dr. Marshall's teaching and service as non-meritorious, but awarded an overall, summative rating of "meritorious," resulting in the following overall merit vote for that year: Non-meritorious: 3; Meritorious: 2. Had the directions in the policy been followed, the overall ranking results would have been Non-meritorious: 4, Meritorious: 1. **Based on the totality of evidence and the consistency of faculty members' ratings and comments, it is the opinion of the merit review committee that the merit review process was upheld in the 16-17 academic year.**

### **2107-2018 Academic Year**

In this year, faculty who provided scores were unanimous in assessing Dr. Marshall's teaching record as non-meritorious (4 out of 7 faculty provided ratings, and all 4 scored Dr. Marshall with a 0 or 1 in this domain). All faculty rated Dr. Marshall's scholarship at a '3' or higher. Faculty appeared to take note of Dr. Marshall's membership on a greater number of committees this year, with most scores in this domain sitting at 2 or higher. Consistent with policy, all faculty who gave Dr. Marshall an overall rating of non-meritorious provided comments explaining their decisions. Two faculty who ranked Dr. Marshall as meritorious also included comments. These comments noted significant concerns with the pattern of teaching and a continued perception of a lack of meaningful engagement in service obligations. Again, **all** comments from faculty are listed below:

*"Very poor teaching. Limited service and disengagement to the point of failing to perform service to the detriment of the Program."*

*"Gillian's teaching and ACTING engaged service needs to increase/improve."*

*"Significant concerns related to teaching."*

*"Very poor teaching evaluation and poor quality service."*

*"This is because criteria say that NO element can be below 2 and her teaching does not warrant meritorious ranking."*

The merit review committee also considered Dr. Marshall's FAR for this year, as well as the supplemental written comments she provided to the committee. The committee noted the increase in Dr. Marshall's service activities in the 17-18 academic year, and the concomitant increase in faculty merit ratings in the service domain.

It should also be noted that, inconsistent with the directions on the merit ballot, two faculty rated Dr. Marshall's teaching as non-meritorious, but awarded an overall, summative rating of "meritorious," resulting in the following overall merit vote for that year: Non-meritorious: 4; Meritorious: 3. Had the directions in the policy been followed, the overall ranking results would have been Non-meritorious: 6, Meritorious: 1. The committee did not find evidence of activities reflected in the merit documents that were overlooked by the voting faculty. **Based on the totality of evidence and the consistency of faculty members' ratings and comments, it is the opinion of the merit review committee that the merit review process was upheld in the 17-18 academic year.**

#### **Recommendations for Dr. Marshall:**

Pursuant to the merit review committee's charge, and based on faculty comments from the merit ballots from the years under consideration, we offer the following recommendations to Dr. Marshall as she anticipates future merit reviews.

#### **Teaching:**

- We recommend that Dr. Marshall take full advantage of teaching mentoring opportunities offered to her, and that she describes these efforts in future FARs and appointment, promotion, and tenure (APT)-related documents.
- We recommend that Dr. Marshall work toward a consistently upward trajectory in student teaching evaluations.
- We recommend that, in the event of future classes in which Dr. Marshall views student teaching evaluations as unfavorable or unfair, that she addresses this explicitly in FARs and other APT-related documents. This may include describing efforts to enhance teaching in the course and her perceptions of reasons for the student evaluation scores. Dr. Marshall is also encouraged to submit documentation that helps to contextualize student evaluations – faculty are allowed to submit supporting documentation with FARs, and this can provide voting faculty with a more complete account of teaching efforts and sources of evaluation beyond student evaluations of teaching.

Service:

- We recommend that Dr. Marshall demonstrate consistent engagement with programmatic and campus committees to which she is a SWCJ representative. This means providing regular reports to the program regarding the activities of those committees, soliciting SWCJ staff and faculty feedback to take back to those committees, and then reporting back to the faculty regarding the results of that feedback being shared.
- We recommend that Dr. Marshall demonstrate consistent engagement with the SWCJ Program by participating in the required minimum number of program events including but not limited to new student orientations, MSW Hooding, the Capstone Fair, Phi Alpha Induction events, and Commencement. On an annual basis, 4-6 events are required of all faculty.
- We recommend that Dr. Marshall prioritize SWCJ program and UWT campus service opportunities when selecting service obligations.

**Recommendations to the SWCJ Program:**

The committee's review of the SWCJ merit review process also revealed areas that warrant clarification or revisiting. The committee takes seriously the possibility that racial bias can play a role in teaching evaluations and in the merit review process. The committee also notes that there is an emerging campus-wide discussion about merit review policies and about the role of student teaching evaluations that may result in changes to policies in the future. Given the retrospective nature of this committee's scope and charge, the committee is limited to commenting on the degree to which merit review policies and procedures that were in place at the time were upheld.

**Nonetheless, moving forward, the committee recommends that the SWCJ revisit its merit policies and documents and address the following points:**

- The merit review policy, procedures, and supporting documents should be reviewed for points at which bias may enter merit processes and outcomes. The merit review committee recommends that the relevant policies and documents be reviewed by the Social Work and Criminal Justice Equity and Inclusion committee for such sources of bias.
- Dr. Marshall noted that she did not receive feedback regarding the reasons for her rankings of non-merit. While the committee notes that it has been practice in the SWCJ program that faculty can request information about the feedback on merit ballots (and members of the committee have themselves used this practice), it is also clear that this practice is not formally codified and perhaps not universally known. The committee recommends that merit review policies be updated to require automatic feedback to faculty who are rated non-meritorious, or whose rating differs from their self-assessment. This automatic feedback should include the opportunity for faculty to read the exact ratings and qualitative comments from the colleagues who evaluated them.

- The committee notes that Dr. Marshall is in a unique position because of the magnitude of the course release afforded by her National Institutes of Health K01 award. The committee notes that there is not currently an overt mechanism within the merit review policy or procedures to specify how expectations are shifted in each of the three domains for faculty members who have course releases for research or for administrative appointments. The committee recommends that merit review policies be updated to create transparency about baseline expectations in each domain for faculty with a workload configuration that differs from the standard 6-course per year load. It is expected, for example, that course release would result in a decrease in teaching load expectations, but an increase in scholarly or administrative productivity expectations, depending on the nature of the source of the buy-out.
- The committee notes the on-going conversations in the UW, Tacoma Faculty Assembly Executive Council regarding merit policies across campus, and the role of student teaching evaluations in assessing faculty teaching. The committee recommends that the SWCJ actively monitor these conversations and initiate a relevant review of the merit procedure and documents should new policy or guidance be approved by the voting faculty.
- Finally, the committee notes inconsistency in the degree to which faculty followed the policy that a non-meritorious rating in any single domain of colleagues' responsibilities necessarily results in an overall non-meritorious ranking. More closely adhering to this directive would have resulted in even more non-meritorious votes for Dr. Marshall in both years under consideration. The committee recommends that this aspect of the merit review policy be revisited and either affirmed or modified.

## Re: Merit Review Committee meeting

Gillian L Marshall

Fri 11/30/2018 1:45 PM

To: Erin Casey <ercasey@uw.edu>; Melissa Lavitt <mlavitt@uw.edu>; Eric Madfis <emadfis@uw.edu>; Michelle D. Garner <mdgarner@uw.edu>; rrmymers <rrmymers@uw.edu>;

Hi Erin,

I found the merit review committee meeting today odd and interesting. To ensure we are all on the same page, I wanted to recap some of the main points. The focus of the meeting revolved around the following three questions and my responses are included below.

- 1) Is there anything you would like to share with the committee beyond what was presented in written form.
  - a. I expressed that the information that has already been provided to the committee in addition to the 4-page document I sent on Wednesday provides a lot of information and context.
  
- 2) Do you have any questions about the merit review?
  - a. I expressed that I received a non-meritorious rating two-years in a row and there was no feedback or explanation provided why this rating was given.
  
- 3) What could the merit committee do to help and what kinds of resources would you need?
  - a. I did not feel that I am in a position to respond to this question without understanding what the concerns were that lead to the non-meritorious rating.

I understand the committee will deliberate next week and some time after you will provide a written report. I believe these were the main points. If I missed anything, please let me know.

Thanks!

Gillian

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**From:** Gillian L Marshall  
**Sent:** Wednesday, November 28, 2018 7:02:08 AM  
**To:** Erin Casey; Melissa Lavitt; Eric Madfis; Michelle D. Garner; rrmymers  
**Subject:** Fw: Merit Review Committee meeting

Good Morning,

Before our meeting this Friday, I wanted to make sure you were all aware of my interactions with both Diane Young (Director) and Tom Diehm (Interim Director while Diane Young was on sabbatical) since

I joined the faculty at UW-Tacoma. They have been significant impediments to my success, which I have no doubt is owing to my race, and if permitted to do so, I anticipate they will remain significant impediments to my success in the coming three years. I have experienced biased, unfair treatment and hostility which I believe accounts for an undeserved rating of non-meritorious. Please see attached document for some examples.

Best,  
Gillian

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**From:** Erin Casey <ercasey@uw.edu>  
**Sent:** Thursday, November 15, 2018 1:03 PM  
**To:** Gillian L Marshall  
**Subject:** Re: Merit Review Committee meeting

Great -- Thanks much, Gillian. We are booked in WCG 322 at noon on 11/30 - we will see you there. And - the main purpose of the meeting is to get a chance to hear from you about what information you think needs to be considered as we review the merit materials and process, whether there were aspects of the merit process that felt unclear, and about what would be helpful to you moving forward.

I'll send out a reminder confirmation a bit closer to the date, but please don't hesitate to let me know in the interim what questions you have. My hope is that the review committee will now meet the week of 12/3, and that we can get a report to you and Diane during the second week of December.

Thank you -  
Erin

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Erin Casey  
Professor, MSW Graduate Program Coordinator  
She / hers  
University of Washington, Tacoma  
Social Work and Criminal Justice Program  
Phone: 253.692.4524  
1900 Commerce Box 358425  
Tacoma, WA 98402

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**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Wednesday, November 14, 2018 8:25:10 PM  
**To:** Erin Casey  
**Subject:** Re: Merit Review Committee meeting

Hi Erin,

Thank you for your understanding. I think 11/30 at 12:00-1:00pm can work. I will plan to meet the entire committee than. Please let me know where I should plan to meet.

Thanks!  
Gillian

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**From:** Erin Casey <ercasey@uw.edu>  
**Sent:** Wednesday, November 14, 2018 3:22:02 PM  
**To:** Gillian L Marshall  
**Subject:** Re: Merit Review Committee meeting

Hi Gillian --

Thanks to you as well for the speedy replies here. And, I hear and understand your desire to meet with all members of the committee. Given the results of the recent scheduling poll, this likely means pushing out the timeline a bit, so I want to be honest about that. The committee does have a meeting scheduled for 11/30 from noon-1:00, which we intended to be a time when we could compile final information for the report. Since I already know that everyone is available during that time, is there any chance you are free and we could use that time to talk with you instead?

Alternatively, I will re-poll the committee members with some additional possible dates and times. Can you let me know on which of the following dates you are available?

11/29 at 4:00  
12/3 anytime  
12/5 at 3:30  
12/6 at 4:00  
12/7 10-2:00

Thanks much-  
Erin

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Erin Casey  
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She / hers  
University of Washington, Tacoma  
Social Work and Criminal Justice Program  
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1900 Commerce Box 358425  
Tacoma, WA 98402

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**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Wednesday, November 14, 2018 1:57:58 PM  
**To:** Erin Casey  
**Subject:** Re: Merit Review Committee meeting

Hi Erin  
Thanks for getting back to me so quickly. When asked, my preference was to meet with the entire

review committee. Earlier in the process I asked Diane if there needed to be 4 people on the committee to which she replied that most committees have 3 people but for some reason she opted to have 5. Since all 5 people committed to serve on the review committee, I would like to meet when all 5 are available.

Thank you,  
Gillian

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**From:** Erin Casey <ercasey@uw.edu>  
**Sent:** Wednesday, November 14, 2018 1:46:26 PM  
**To:** Gillian L Marshall  
**Subject:** Re: Merit Review Committee meeting

Hi Gillian --

Hope you're doing well. I've polled the review committee, and it looks like 11:00 on 11/21 or 11:00 on 11/28 are the two best options -- these are the only two times during which at least 3 folks are available (during every other slot only two people would be free). I know scheduling this time of year is tough for everyone.

On 11/21, Eric, Randy, and I are available, and on 11/28, Eric, Michelle and I are available. Melissa unfortunately is not available during the next two weeks during the time slots you specified (which I know were partly dictated by my teaching schedule).

Do you have a preference between these two dates?

Thanks hugely-  
Erin

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1900 Commerce Box 358425  
Tacoma, WA 98402

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**From:** Erin Casey  
**Sent:** Tuesday, November 13, 2018 12:50:07 PM  
**To:** Gillian L Marshall  
**Subject:** Re: Merit Review Committee meeting

Thanks so much for these options, Gillian -- I will circle back around to the committee & get something scheduled ASAP. I'll aim for a slot that as many folks as possible can attend.

In the meantime, please let me know if you have any questions-  
Erin

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Erin Casey  
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She / hers  
University of Washington, Tacoma  
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**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Tuesday, November 13, 2018 10:48:29 AM  
**To:** Erin Casey  
**Subject:** Re: Merit Review Committee meeting

Good Morning Erin,

I trust you had a nice long weekend. Thank you for your email. I am happy to meet with the entire review committee. I am away the rest of the week at the GSA conference but I have provided some dates below based on your availability. Please let me know what works best for you and the committee's schedule.

11/19 - between 8-11:30am  
11/21 - between 8-12pm  
11/28 - between 8-12pm  
11/30 - between 8-12pm

Thanks!  
Gillian

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**From:** Erin Casey <ercasey@uw.edu>  
**Sent:** Thursday, November 8, 2018 9:35:53 AM  
**To:** Gillian L Marshall  
**Subject:** Merit Review Committee meeting

Dear Gillian,

I'm writing to follow up regarding the merit review committee and process. The committee has just started to review the departmental merit-related documents (the rubric and procedural documents) as well as your faculty activity reports and the merit ballots cast by senior faculty during the 2016-2018 academic years. This review is limited in scope to materials specific to the merit voting process. I'm guessing that you have this, but just in case, I am attaching the section of the faculty code that describes the merit review committee process.

As part of the committee's process, and as specified in the Faculty Code, the committee would like to invite you to meet with us. This meeting could be with all of the review committee members or a subset of at least 2 of us - please let me know what you would prefer. The purpose of the meeting is to get input from you about information the committee should consider when reviewing the merit-related materials from these years. It would also be helpful to hear from you about aspects of the merit review process that could be clarified or about what would be helpful and supportive to you moving forward as we anticipate future merit reviews. The meeting is solely about information gathering from you, and, like the review, is limited in scope to the merit results from the past two years.

We are hoping to complete our review of materials and information by 11/30 so that we can get the resulting report to you in early December. Because of my teaching schedule, I am limited to Mondays, Wednesdays, and Fridays as potential meeting times. If you would like to meet with us, please let me know a few dates and times within those parameters before 11/30 that might work best for a meeting. Let me know, too, your preference between meeting with as many of the committee as are able to attend, or a smaller group of at least 2 of us.

And, please don't hesitate to let me know what questions you have at this point.

Thank you,  
Erin

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Erin Casey  
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UW Faculty Code 24-55 H.:

"At the option of the faculty member affected, and mandatorily in the event of two consecutive annual ratings of no merit (as a result of reviews under this section), the chair of the faculty member's department (or dean of an undepartmentalized school or college) shall, after consultation with the faculty member, appoint an ad hoc committee of department (or school/college) faculty superior (or, in the case of full professors, equal) in rank or title to the faculty member. This committee shall meet at its earliest convenience with the faculty member and review more fully the record and merit of that faculty member.

The committee shall, upon completion of its review, report in writing the results to the faculty member and to his or her department chair (or dean in an undepartmentalized school/college) and the committee shall advise them what actions, if any, should be undertaken to enhance the contributions and improve the merit ranking of this colleague, or to rectify existing misjudgments of his or her merit and make adjustments to correct any salary inequity. The faculty member may respond in writing to this report and advice within 21 calendar days to the department chair (or dean) and committee (unless upon the faculty member's request and for good cause the response period is extended by the chair or dean). The committee's report and advice, the faculty member's written response (if any), the response by the chair, and any agreement reached by the faculty member and the chair shall be incorporated into a written report."

(copied from the FC online, 10-17-18)

Dear Merit Review Committee,

Before our meeting this Friday, I wanted to make sure you were all aware of my interactions with both Diane Young (Director) and Tom Diehm (Interim Director while Diane Young was on sabbatical) since I joined the faculty at UW-Tacoma. They have been significant impediments to my success, which I have no doubt is owing to my race, and if permitted to do so, I anticipate they will remain significant impediments to my success in the coming three years. I have experienced biased, unfair treatment and hostility which I believe accounts for an undeserved rating of non-meritorious. Please see below for some examples.

### **Teaching**

- All new faculty, upon hire, are offered one course release. Based on the course release from my first grant (Diversity Supplement through NCI), my new grant (K01 through NIA) and the one course release for being a new faculty member, I would have had a "0" teaching load during my first year (2015-2016) at UW-Tacoma. I did not want to start my new job and not teach a course, so I talked with Diane and told her that I was committed to teaching at least one course a year, and that I had decided to use my course release at a later time. Although there is no policy indicating this, she said that "course reductions in teaching are given to new instructors who are typically teaching several new courses while also needing time to develop their scholarly work. With the K Award this is not your situation." Essentially, Diane made the decision that, because I have been successfully funded, I would be penalized by taking away the one course release I opted to defer and thus denying me all the same benefits my colleagues/peers received.
- On at least two occasions (during the interviewing process and after being hired), I provided Diane with a list of 10-12 possible courses I have experience in and the skill set to teach. In 2016, none of my teaching requests were honored and instead a temporary lecturer (lower in rank than me) was scheduled to teach several of the classes had I requested. It is hard to imagine a valid business reason for giving a temporary lecturer preferential treatment in teaching assignments over a tenure-track faculty member. When this was brought to the attention of the previous Executive Vice Chancellor for Academic Affairs (EVCAA) Melissa Lavitt I was offered one course to teach off the list that I provided.

### **Research/Policy**

- Last year, the recommendation by the review committee and faculty was to postpone my approved research quarter leave and instead teach a section of "Human Behaviors and the Social Environment," which I did. I am scheduled to take my research leave this year, but instead Diane has asked me to re-apply for the leave. So, I asked her why would I re-apply for something that was already approved and awarded to me? Diane then stated that the policy states that I must re-apply. When I asked to see the policy, she provided a copy of the description and process to apply for the research leave. Even as I write this today, no policy has been provided to me.
- Earlier this year, I had to establish my reappointment review committee. Karina Walters was unable to serve this year due to a conflict of interest and although Marian Harris was on sabbatical, she was willing to serve on the committee so that I would have continuity. Diane informed me that Marian Harris could not serve on my committee as it was against the UW policy. When I asked to see the policy, she called Allison Hendricks (former academic HR) to ask for this policy. Diane later informed me that there was no policy. After a conversation with Marian Harris, and in lieu of the departmental climate, we both agreed it was not in my best interest for her to serve on my committee. I informed Diane of this decision and that the reason was confidential. Diane then proceeded to ask Marian Harris about the details of our "confidential" conversation.

### Grant Administration

- My first grant with NIH was through the National Cancer Institute. Prior to transferring it to UW-Tacoma from Case Western Reserve University I spoke with Diane several times about what was necessary to transfer the award and needed assurance from UW-Tacoma, that there would be someone in the grants office who would manage the grant. After asking several times and receiving varying responses, I got the impression Diane was stalling for some reason. She led me to believe that Lisa Isozaki would be the post-award person managing my grant. Diane wrote a letter to NCI indicating that Lisa Isozaki has experience with pre and post awards and would be managing the grant. When I arrived, I met with Lisa Isozaki and she told me she only worked on pre-awards and in fact there was no post-award person to manage my grant and I had to manage it myself. This is a violation of NIH policies as UW-Tacoma received 54.5% in indirect costs and part of those indirect costs are for grants management. This violation placed me at risk as a new investigator with NIH.
- When I was awarded my second grant (K01) through NIH, I had the grant processed through the UW School of Social Work in Seattle since they have pre and post-award staff who could support this type of funding mechanism. During my interview process on a number of occasions by Diane and other faculty members stated that all new grants could be initiated through UW-Seattle School of Social Work as there was an agreement between UW-Tacoma and UW-Seattle where by grants (regardless of whether faculty at UW-Tacoma are working with a PI or Co-PI at UW-Seattle) can be submitted through the UW-Seattle campus. I believe this agreement was established when David Takeuchi, former Associate Dean for Research, was at the Seattle campus. To stay in compliance with the NIH procedure and guidelines, my second grant (K01) was initiated and is managed in Seattle. For several months, I felt harassed and bullied by Diane because I chose to comply with NIH procedures and guidelines. By not following NIH procedures and guidelines could have serious ramifications -such as losing my funding, ruining my reputation with NIH and leaving the university vulnerable to a potential tri-campus audit.
- During a meeting with Diane she called me “not forth coming with information” and “deceptive” because I chose to have my grant processed through and managed by the Seattle School of Social Work. Again, UW-Tacoma did not (and still does not) have a post-award person hired in the grants office and no one at UW-Tacoma had any experience managing a grant of this magnitude. I did not want to be in violation of NIH policies and guidelines which is why the K01 was processed and managed in Seattle. Instead of respecting the role of the PI (myself), Diane who knows nothing about NIH funding kept calling and emailing various persons in the grants office in Seattle trying to get the grant transferred to UW-Tacoma where there is no post-award person employed to manage it. Had she been successful in moving my grant to UW-Tacoma, I would have had to report her actions to my program officer at NIH who would then recall my funding and Diane would have placed the entire UW system (all 3 campuses) at risk of a potential audit.
- Diane Young asked me to attend a meeting with her and Jan Rutledge (Associate Vice Chancellor Finance, UW-Tacoma) on March 3, 2016 and asked me to explain to them the functions of a post-award grants manager. Naturally, I referred them to Seattle as this is not my area of expertise. They decided that they would call NIH themselves to get a response. That day I happened to run into the previous EVCCA (Melissa Lavitt) and mentioned this to her. She immediately called them and instructed them not to make that call to NIH since she felt it may trigger a campus-wide audit of all of the University grant financials.
- Most recently, when I applied for the Loan Repayment Program (LRP) renewal, Diane misrepresented the information provided by the NIH LRP personnel to deny my certification of 2-years which could have had serious financial repercussions if the Chancellor did not intervene and overrule her decision.

### **Merit Increase/Raise**

- In both 2017 and 2018, I was voted as being non-meritorious by the Director and the faculty. I strongly disagree with both these decisions and I believe that if I were a white male with this funding record in Tacoma, or if I were assigned to the Seattle campus, this would not be happening. Based on the evaluation criteria for non-meritorious, I should have received meritorious or extra-meritorious. The following three criteria are what is used to justify a non-meritorious vote:
  - 1) Patterns of concern in teaching (problematic syllabi, student and peer evaluations).
  - 2) Scholarship (none or minimal notable activity).
  - 3) Service (fewer than 2 committees)
- **Patterns of concern in teaching (problematic syllabi, student and peer evaluations)**
  - Each year the SWCJ program receives a copy of my syllabus. There were not any concerns mentioned in either 2015-2016, 2016-2017 or 2017-2018.
  - By 2016-2017, I had one stellar student evaluation (4.7) and one poor student evaluation (2.8)
  - In 2017-2018 I had one poor student evaluation (1.4)
  - In both 2016-2017 & 2017-2018 my peer evaluations were excellent.
- **Scholarship (none or minimal notable activity)**
  - In 2016-2017 I had three papers accepted and had five under review. I gave three guest lectures and had five abstracts accepted to conferences.
  - In 2017-2018: I had four papers accepted and had two under review. I was also selected (one out of seven junior faculty) to attend a funded NIMH two-year grant writing program. I also received the Loan Repayment Program - \$70,000 in loan repayment from NIH.
- **Service (fewer than 2 committees);**
  - In 2016-2017 I committed to five service opportunities;
    - 3 guest lectures, reviewed BASW and MSW admissions applications, public lectures selection committee, BASW committee
  - In 2017-2018 I committed to 5 service opportunities;
    - Two guest lectures, reviewed BASW and MSW applications, BASW committee, public lectures selection committee, served on faculty affairs committee, social work faculty search committee.

When I was notified of the result of my merit review, Diane did not have a conversation with me expressing any concerns, and she did not provide any evidence for why this decision was made or any suggestions on how I could improve. She also never offered any additional resources to ensure my success. It is clear to me that my contributions are not valued by her and some of the other members of the faculty in this program unit. I suggest that I am not the only person of color who has encountered this type of treatment at UW-Tacoma as evidenced by the campus-climate report surveying faculty of color.

In addition, the 2018 review committee stated that my "scholarship is on a trajectory for increasing productivity and impact in an unexplored and critical area of inquiry...[her] research file more closely resembles that of a more senior scholar." Therefore, I do not believe my efforts warranted a vote of non-meritorious.

**Tom Diehm**

- Tom Diehm is a non-tenured faculty member. He is a lecturer and as interim director was able to make decisions about the future of my career. In 2016, in his role as interim director he said according to “the policy” I could not have anyone from the Seattle campus School of Social Work (SSW) serve on my 3<sup>rd</sup> year review committee. I shared with Tom that the policy states that I could indeed have someone from Seattle SSW as we are part of the same program. Tom said if I did not provide him with where he could find the policy, then it did not exist. Terri Simonsen, SWCJ program assistant, later provided him with the reference to the policy. Although he acknowledged that someone else found the policy, he never apologized for providing incorrect information while in his role as interim director. In 2016-2017 with Diane on sabbatical, during the reappointment process, Tom wrote the letter recommending that I not be reappointed for another three years and be terminated. When I requested to see a copy of the letter of recommendation to the EVCAA (Melissa Lavitt), he refused to provide a copy.
- As interim director, Diane assigned Tom the responsibility of making recommendations for my reappointment. In a meeting with Charley Emlett and my former colleague Jerry Flores, I addressed my concern about having a lecturer evaluate my materials and make a recommendation for reappointment. Charley said that Tom has served as interim director before and it should be fine.
- After my reappointment review in 2017, Tom requested that I meet with Charley Emlett to discuss next steps. I asked Tom for a copy of his recommendation to the EVCAA. Tom’s letter and the EVCAA’s letter would be used as the basis for my meeting with Charley. Tom said that it was against the UW policy to provide me with a copy of his recommendation. When I asked to see the policy, he directed me to Academic HR (Alisson Hendricks) and the EVCAA (Melissa Lavitt). When I emailed them, Melissa replied by stating there is not a policy, preventing me from gaining a copy of the letter. However, Melissa made the decision not to provide me with a copy but I understand Tom’s recommendation was not to reappoint.

Above are only some examples of the bias, discrimination and unfair treatment I have experienced with the leadership of Diane Young and Tom Diehm in the Social Work and Criminal Justice program here at UW-Tacoma. Diane has not supported me and has been an obstructionist force since I arrived at UT-Tacoma. She has acted punitively and abused her position as Director by consistently citing policies in an effort to deny my reasonable requests, yet, when asked she cannot produce the cited policies that are supposed to support the denial of a specific request. Based on these and other facts, an internal investigation has been initiated by the Chancellor to examine both Diane Young and Tom Diehm’s actions toward me. I hope that from this point forward, unfair treatment and discriminatory actions will stop and I will be treated fairly in this academic unit.

Sincerely,

Gillian

# loan repayment renewal certification

Diane S Young <youngd4@uw.edu>

Thu 11/1/2018 10:17 AM

To: Gillian L Marshall <geegee@uw.edu>;

Cc: Terri Simonsen <hermant@uw.edu>;

Importance: High

Hello Gillian,

In speaking with the Help Desk of the Division of Loan Repayment (Dana) with NIH today, I was told that because you will have one year left on your grant beginning July 2019, I should only certify for one year. The certification questions that led me to ask about this were #s 4 and 5. So, we will go ahead and do that, indicating a contract duration of 1 year. I wanted to let you know.

Diane

Diane S. Young, Ph.D., MSW  
Director and Associate Professor  
Social Work and Criminal Justice Program  
University of Washington – Tacoma  
Box 358425  
1900 Commerce St., WCG 203A  
Tacoma, WA 98402  
VM 253.692.4703

## RE: Please Recertify LRP Contract Duration for Gillian Marshall

Terri Simonsen <hermant@uw.edu>

Tue 11/6/2018 4:19 PM

To: OSP LRP <osplr@uw.edu>; Diane S Young <youngd4@uw.edu>;

Cc: Gillian L Marshall <geegee@uw.edu>; Erin Casey <ercasey@uw.edu>;

1 attachments (134 KB)

gmarshall\_NIH\_LRP\_2019\_recertify.pdf

Dear Jenny,

I have consulted with Dr. Young regarding this email concurrence below. As it stands now Dr. Marshall does not have protected time on the K award beyond 2020. The guidance Dr. Young received from the NIH LRP Help Desk confirmed that she should only certify if Dr. Marshall would have protected time. Therefore, she does not feel she can certify for a 2-year period given the current responses (see attached).

Terri

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Terri Simonsen  
Program Administrator  
Social Work & Criminal Justice Program  
1900 Commerce Street  
Box# 358425  
Tacoma, WA 98402-3100  
Phone: 253-692-5822  
Fax: 253-692-5825; TDD: 253-692-4414  
<http://www.tacoma.uw.edu/social-work/social-work>  
**W** UNIVERSITY of WASHINGTON TACOMA

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From: OSP LRP [mailto:osplr@uw.edu]  
Sent: Tuesday, November 06, 2018 8:32 AM  
To: Terri Simonsen <hermant@uw.edu>; Diane S Young <youngd4@uw.edu>  
Cc: Gillian L Marshall <geegee@uw.edu>  
Subject: Please Recertify LRP Contract Duration for Gillian Marshall

Hello,

Gillian Marshall has informed me that her LRP contract duration is to be renewed for 2 years. Her program officer for one of her grants advised her to request a no-cost extension that would extend the project till 2021. She is also expecting to be awarded for another project. This makes her eligible to request a renewal to her LRP

contract for two years. Can you please confirm and provide chair concurrence? I see Diane Young's out of office email. If there is someone standing in for her while she is away, please have them provide their concurrence. If you have any questions, please let me know.

Best regards,

**JENNY LE**

Team B Grant Specialist  
Authorized Signing Official  
Office of Sponsored Programs

UW Tower Box 359472  
4333 Brooklyn Ave NE Seattle, WA 98195-9472  
206.685.7163 / fax 206.685.1732  
[jjen12@uw.edu](mailto:jjen12@uw.edu) / [washington.edu](http://washington.edu)

**W** UNIVERSITY of WASHINGTON

**From:** [OSP LRP](#)  
**To:** [Terri Simonsen](#)  
**Cc:** [Diane S Young](#); [Gillian L Marshall](#)  
**Subject:** RE: NIH Loan Repayment Program (LRP) Information Request – Please Certify Institutional Salary and Research Support  
**Date:** Friday, November 02, 2018 10:03:22 AM  
**Attachments:** [image003.png](#)

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Hello,

Thank you for your responses. I have submitted the certification. Best of luck to Gillian.

Best regards,

JENNY LE  
Team B Grant Specialist  
Authorized Signing Official  
Office of Sponsored Programs

UW Tower Box 359472  
4333 Brooklyn Ave NE Seattle, WA 98195-9472  
206.685.7163 / fax 206.685.1732  
[jjien12@uw.edu](mailto:jjien12@uw.edu) / [washington.edu](http://washington.edu)

**W** UNIVERSITY of WASHINGTON

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**From:** Terri Simonsen <[hermant@uw.edu](mailto:hermant@uw.edu)>  
**Sent:** Friday, November 2, 2018 9:12 AM  
**To:** OSP LRP <[osplrp@uw.edu](mailto:osplrp@uw.edu)>  
**Cc:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>; Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Subject:** FW: NIH Loan Repayment Program (LRP) Information Request – Please Certify Institutional Salary and Research Support

Hello Jenny,

Please see information requested below as well as the concurrence email from the UW Tacoma Social Work and Criminal Justice Program Director, Dr. Diane Young. If you need anything further please let us know. Thank you.

Terri

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Terri Simonsen  
Program Administrator  
Social Work & Criminal Justice Program  
1900 Commerce Street

**App. 0220**

Box# 358425  
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Fax: 253-692-5825; TDD: 253-692-4414  
<http://www.tacoma.uw.edu/social-work/social-work>

**W** UNIVERSITY of WASHINGTON | TACOMA

---

**From:** Diane S Young [<mailto:youngd4@uw.edu>]  
**Sent:** Friday, November 02, 2018 8:49 AM  
**To:** Terri Simonsen <[hermant@uw.edu](mailto:hermant@uw.edu)>  
**Subject:** RE: NIH Loan Repayment Program (LRP) Information Request – Please Certify Institutional Salary and Research Support

Hi Terri,  
I have reviewed the responses to the questions and concur.  
Thank you,  
Diane

---

**From:** Terri Simonsen <[hermant@uw.edu](mailto:hermant@uw.edu)>  
**Sent:** Friday, November 2, 2018 8:45 AM  
**To:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Subject:** Re: NIH Loan Repayment Program (LRP) Information Request – Please Certify Institutional Salary and Research Support

Hello Diane,

As the Director you are being asked to review the responses to the questions below and provide your concurrence. Please respond with your concurrence by responding to me via email. I will forward your concurring email to OSP. Thank you.

Terri

---

Terri Simonsen  
Program Administrator  
Social Work & Criminal Justice Program  
1900 Commerce Street  
Box# 358425  
Tacoma, WA 98402-3100  
Phone: 253-692-5822  
Fax: 253-692-5825; TDD: 253-692-4414

---

**From:** OSP LRP [<mailto:osplrp@uw.edu>]  
**Sent:** Friday, October 19, 2018 5:25 PM  
**To:** Terri Simonsen <[hermant@uw.edu](mailto:hermant@uw.edu)>  
**Cc:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Subject:** FW: NIH Loan Repayment Program (LRP) Information Request – Please Certify Institutional Salary and Research Support

Dear Terri,

Gillian Marshall has applied for a renewal to the NIH Loan Repayment Program. In order to submit the institutional information section of the application, we will need to obtain the following information:

**LRP Contract Execution Date (Indicate when contract starts and ends): July 1, 2019 – June 30, 2020**

**LRP Contract Duration (1 or 2 Years): 1 year**

- Please provide the above applicant's ANNUAL institutional base salary, which is determined as follows:

*The annual amount that the organization pays for the applicant's appointment, whether the time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an applicant may earn outside of duties to the organization (NIH Guide for Grants and Contracts Notice (NOT-OD-02-030), released on January 25, 2002). For NRSA awardees, this question refers to both the NRSA stipend and to funds characterized as compensation, which may be paid to Fellows when there is an employer-employee relationship and the payments are for services rendered.*

**Gillian Marshall's current annual institutional base salary: \$74,079**

Also, please certify the following:

- (1)  No applicant and/or their research are supported by a (a) domestic non-profit foundation, non-profit professional society, or other non-profit institution; (b) Local, City or State agency; or (c) grant from a Federal agency;
- (2)  No applicant's institutional salary and/or research funding is not supported by a for-profit institution, contractor, or any non-U.S. entity
- (3)  No applicant is not a full-time Federal employee or fellow (including Veterans Administration).
- (4)  No applicant is/will be employed by the University of Washington to conduct research for a minimum of 20 hours per week;
- (5)  No applicant will be provided the necessary time and resources to engage in the research

- project for two years from the date a LRP contract is executed
- (6)  Yes No research conducted by the applicant complies with applicable Federal, State and Local laws (e.g., applicable human subject protection regulations)
- (7)  Yes No applicant's annual income or compensation is accurate to the best of my knowledge.
- I am aware that any false, fictitious, or fraudulent statements or claims may subject me to Federal criminal, civil, or administrative penalties.

If you could please reply to this message, including concurrence of the department Chair to confirm and certify the above information is correct, we will proceed appropriately to submit the institutional information for the applicant.

To ensure timely submission, please respond to this email by **November 1<sup>st</sup>, 2018**, so that we can meet the submission deadline of **Thursday, November 15<sup>th</sup>, 5 PM EST**.

Should you have any questions or concerns, please do not hesitate to contact us. Thank you for your attention to this matter.

Sincerely,

JENNY LE  
Team B Grant Specialist  
Authorized Signing Official  
Office of Sponsored Programs

UW Tower Box 359472  
4333 Brooklyn Ave NE Seattle, WA 98195-9472  
206.685.7163 / fax 206.685.1732  
[jjjen12@uw.edu](mailto:jjjen12@uw.edu) / [washington.edu](http://washington.edu)

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## RE: Please Recertify LRP Contract Duration for Gillian Marshall

OSP LRP <osplrp@uw.edu>

Tue 11/6/2018 2:53 PM

To: Terri Simonsen <hermant@uw.edu>;

Cc: Gillian L Marshall <geegee@uw.edu>;

Hi Terri,

All the questions need to be answered "Yes" for us to be able to certify. Questions 4 and 5 fall upon the department. These questions were answered "yes" initially. Are the answers to the question different if we certified for 2 years instead of 1? I am copying Gillian to provide any clarification on the information she received from her PO as needed.

Best regards,

**JENNY LE**

Team B Grant Specialist  
Authorized Signing Official  
Office of Sponsored Programs

UW Tower Box 359472  
4333 Brooklyn Ave NE Seattle, WA 98195-9472  
206.685.7163 / fax 206.685.1732  
[jlen12@uw.edu](mailto:jlen12@uw.edu) / [washington.edu](http://washington.edu)

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---

**From:** Terri Simonsen <hermant@uw.edu>  
**Sent:** Tuesday, November 6, 2018 2:43 PM  
**To:** OSP LRP <osplrp@uw.edu>  
**Subject:** RE: Please Recertify LRP Contract Duration for Gillian Marshall

Hi Jenny,  
I'm wondering about questions #4 and #5.

Terri

---

Terri Simonsen  
Program Administrator  
Social Work & Criminal Justice Program  
1900 Commerce Street  
Box# 358425

Tacoma, WA 98402-3100  
Phone: 253-692-5822  
Fax: 253-692-5825; TDD: 253-692-4414  
<http://www.tacoma.uw.edu/social-work/social-work>  
**W** UNIVERSITY of WASHINGTON TACOMA

**From:** OSP LRP [<mailto:osp@uw.edu>]  
**Sent:** Tuesday, November 06, 2018 2:31 PM  
**To:** Terri Simonsen <[hermant@uw.edu](mailto:hermant@uw.edu)>  
**Subject:** RE: Please Recertify LRP Contract Duration for Gillian Marshall

Hi Terri,

Which question are you asking about?

Best,

**JENNY LE**

Team B Grant Specialist  
Authorized Signing Official  
Office of Sponsored Programs

UW Tower Box 359472  
4333 Brooklyn Ave NE Seattle, WA 98195-9472  
206.685.7163 / fax 206.685.1732  
[jen12@uw.edu](mailto:jen12@uw.edu) / [washington.edu](http://washington.edu)

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**From:** Terri Simonsen <[hermant@uw.edu](mailto:hermant@uw.edu)>  
**Sent:** Tuesday, November 6, 2018 2:29 PM  
**To:** OSP LRP <[osp@uw.edu](mailto:osp@uw.edu)>  
**Subject:** RE: Please Recertify LRP Contract Duration for Gillian Marshall

Hi Jenny,

Do all questions need to be answered "yes", in order to be certified? Or does it depend on which questions are answered "no."

Terri

---

Terri Simonsen  
Program Administrator  
Social Work & Criminal Justice Program  
1900 Commerce Street

Box# 358425  
Tacoma, WA 98402-3100  
Phone: 253-692-5822  
Fax: 253-692-5825; TDD: 253-692-4414  
<http://www.tacoma.uw.edu/social-work/social-work>  
**W** UNIVERSITY of WASHINGTON TACOMA

**From:** OSP LRP [<mailto:osp/lrp@uw.edu>]  
**Sent:** Tuesday, November 06, 2018 8:32 AM  
**To:** Terri Simonsen <[hermant@uw.edu](mailto:hermant@uw.edu)>; Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Cc:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Subject:** Please Recertify LRP Contract Duration for Gillian Marshall

Hello,

Gillian Marshall has informed me that her LRP contract duration is to be renewed for 2 years. Her program officer for one of her grants advised her to request a no-cost extension that would extend the project till 2021. She is also expecting to be awarded for another project. This makes her eligible to request a renewal to her LRP contract for two years. Can you please confirm and provide chair concurrence? I see Diane Young's out of office email. If there is someone standing in for her while she is away, please have them provide their concurrence. If you have any questions, please let me know.

Best regards,

**JENNY LE**  
Team B Grant Specialist  
Authorized Signing Official  
Office of Sponsored Programs

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206.685.7163 / fax 206.685.1732  
[llen12@uw.edu](mailto:llen12@uw.edu) / [washington.edu](http://washington.edu)

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## Re: Corrections Needed for an Applicant

Gillian L Marshall

Tue 11/6/2018 1:39 PM

Sent Items

To: OSP LRP <osplr@uw.edu>

Thank you very much Jenny! Have a great day! Gillian

---

**From:** OSP LRP <osplr@uw.edu>

**Sent:** Tuesday, November 6, 2018 1:38:14 PM

**To:** Gillian L Marshall

**Subject:** FW: Corrections Needed for an Applicant

Hi Gillian,

NIH has corrected your certification to two years. Nothing else needs to be done in the system.

Best regards,

JENNY LE

Team B Grant Specialist

Authorized Signing Official

Office of Sponsored Programs

UW Tower Box 359472

4333 Brooklyn Ave NE Seattle, WA 98195-9472

206.685.7163 / fax 206.685.1732

[jjlen12@uw.edu](mailto:jjlen12@uw.edu) / [washington.edu](http://washington.edu)

**W** UNIVERSITY of WASHINGTON

**From:** LRP Main (NIH/OD) <lrp@nih.gov>

**Sent:** Tuesday, November 6, 2018 12:15 PM

**To:** OSP LRP <osplr@uw.edu>

**Subject:** RE: Corrections Needed for an Applicant

Good afternoon

Please know that I have adjusted the LRP contract duration to 2 years for Dr. Gillian Marshall

Please let us know if there is anything else we can do

Kind Regards,

App. 0227

**Marshall001568**

Have more questions? Please call the LRP information center! 866-849-4047 Mon-Fri, 9:00 AM - 5:00 PM EST or email [lrp@nih.gov](mailto:lrp@nih.gov) (rg)



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**From:** OSP LRP <[osp\\_lrp@uw.edu](mailto:osp_lrp@uw.edu)>  
**Sent:** Tuesday, November 06, 2018 11:39 AM  
**To:** LRP Main (NIH/OD) <[lrp@nih.gov](mailto:lrp@nih.gov)>  
**Subject:** Corrections Needed for an Applicant

Hello,

I submitted a certification for an applicant named Gillian Marshall. Her Applicant Tracking Code is TQDP9693. There was a misunderstanding regarding her LRP Contract Duration. We submitted the certification for 1 year but she meant to have it renewed for 2 years. Is it possible for you to send the certification back to me so we can correct this? Let me know if you have any questions.

Best regards,

**JENNY LE**  
Team B Grant Specialist  
Authorized Signing Official  
Office of Sponsored Programs

UW Tower Box 359472  
4333 Brooklyn Ave NE Seattle, WA 98195-9472  
206.685.7163 / fax 206.685.1732  
[llen12@uw.edu](mailto:llen12@uw.edu) / [washington.edu](http://washington.edu)

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## Please Recertify LRP Contract Duration for Gillian Marshall

OSP LRP <osplr@uw.edu>

Tue 11/6/2016 8:32 AM

To: Terri Simonsen <hermant@uw.edu>; Diane S Young <youngd4@uw.edu>;

Cc: Gillian L Marshall <geegee@uw.edu>;

Hello,

Gillian Marshall has informed me that her LRP contract duration is to be renewed for 2 years. Her program officer for one of her grants advised her to request a no-cost extension that would extend the project till 2021. She is also expecting to be awarded for another project. This makes her eligible to request a renewal to her LRP contract for two years. Can you please confirm and provide chair concurrence? I see Diane Young's out of office email. If there is someone standing in for her while she is away, please have them provide their concurrence. If you have any questions, please let me know.

Best regards,

**JENNY LE**

Team B Grant Specialist  
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Office of Sponsored Programs

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## loan repayment renewal certification

Diane S Young <youngd4@uw.edu>

Thu 11/1/2018 10:17 AM

To: Gillian L Marshall <geegee@uw.edu>;

Cc: Terri Simonsen <hermant@uw.edu>;

Importance: High

Hello Gillian,

In speaking with the Help Desk of the Division of Loan Repayment (Dana) with NIH today, I was told that because you will have one year left on your grant beginning July 2019, I should only certify for one year. The certification questions that led me to ask about this were #s 4 and 5. So, we will go ahead and do that, indicating a contract duration of 1 year. I wanted to let you know.

Diane

Diane S. Young, Ph.D., MSW  
Director and Associate Professor  
Social Work and Criminal Justice Program  
University of Washington – Tacoma  
Box 358425  
1900 Commerce St., WCG 203A  
Tacoma, WA 98402  
VM 253.692.4703

# RE: NIH Loan Repayment Program (LRP) Information Request – Please Certify Institutional Salary and Research Support

OSP LRP <osp\_lrp@uw.edu>

Fri 11/2/2018 10:03 AM

To: Terri Simonsen <hermant@uw.edu>;

Cc: Diane S Young <youngd4@uw.edu>; Gillian L Marshall <geegee@uw.edu>;

Hello,

Thank you for your responses. I have submitted the certification. Best of luck to Gillian.

Best regards,

**JENNY LE**

Team B Grant Specialist  
Authorized Signing Official  
Office of Sponsored Programs

UW Tower Box 359472  
4333 Brooklyn Ave NE Seattle, WA 98195-9472  
206.685.7163 / fax 206.685.1732  
[jjlen12@uw.edu](mailto:jjlen12@uw.edu) / [washington.edu](http://washington.edu)

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---

**From:** Terri Simonsen <hermant@uw.edu>

**Sent:** Friday, November 2, 2018 9:12 AM

**To:** OSP LRP <osp\_lrp@uw.edu>

**Cc:** Diane S Young <youngd4@uw.edu>; Gillian L Marshall <geegee@uw.edu>

**Subject:** FW: NIH Loan Repayment Program (LRP) Information Request – Please Certify Institutional Salary and Research Support

Hello Jenny,

Please see information requested below as well as the concurrence email from the UW Tacoma Social Work and Criminal Justice Program Director, Dr. Diane Young. If you need anything further please let us know. Thank you.

Terri

---

Terri Simonsen  
Program Administrator  
Social Work & Criminal Justice Program  
1900 Commerce Street  
Box# 358425  
Tacoma, WA 98402-3100  
Phone: 253-692-5822  
Fax: 253-692-5825; TDD: 253-692-4414  
<http://www.tacoma.uw.edu/social-work/social-work>  
**W** UNIVERSITY of WASHINGTON TACOMA

---

**From:** Diane S Young [<mailto:youngd4@uw.edu>]  
**Sent:** Friday, November 02, 2018 8:49 AM  
**To:** Terri Simonsen <[hermant@uw.edu](mailto:hermant@uw.edu)>  
**Subject:** RE: NIH Loan Repayment Program (LRP) Information Request – Please Certify Institutional Salary and Research Support

Hi Terri,  
I have reviewed the responses to the questions and concur.  
Thank you,  
Diane

---

**From:** Terri Simonsen <[hermant@uw.edu](mailto:hermant@uw.edu)>  
**Sent:** Friday, November 2, 2018 8:45 AM  
**To:** Diane S Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)>  
**Subject:** Re: NIH Loan Repayment Program (LRP) Information Request – Please Certify Institutional Salary and Research Support

Hello Diane,

As the Director you are being asked to review the responses to the questions below and provide your concurrence. Please respond with your concurrence by responding to me via email. I will forward your concurring email to OSP. Thank you.

Terri

---

Terri Simonsen  
Program Administrator  
Social Work & Criminal Justice Program  
1900 Commerce Street  
Box# 358425  
Tacoma, WA 98402-3100

Phone: 253-692-5822

Fax: 253-692-5825; TDD: 253-692-4414

<http://www.tacoma.uw.edu/social-work/social-work>

**W** UNIVERSITY of WASHINGTON TACOMA

**From:** OSP LRP [<mailto:osp@uw.edu>]  
**Sent:** Friday, October 19, 2018 5:25 PM  
**To:** Terri Simonsen <[hermant@uw.edu](mailto:hermant@uw.edu)>  
**Cc:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Subject:** FW: NIH Loan Repayment Program (LRP) Information Request – Please Certify Institutional Salary and Research Support

Dear Terri,

Gillian Marshall has applied for a renewal to the NIH Loan Repayment Program. In order to submit the institutional information section of the application, we will need to obtain the following information:

**LRP Contract Execution Date (Indicate when contract starts and ends): July 1, 2019 – June 30, 2020**

**LRP Contract Duration (1 or 2 Years): 1 year**

- Please provide the above applicant's ANNUAL institutional base salary, which is determined as follows:

*The annual amount that the organization pays for the applicant's appointment, whether the time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an applicant may earn outside of duties to the organization (NIH Guide for Grants and Contracts Notice (NOT-OD-02-030), released on January 25, 2002). For NRSA awardees, this question refers to both the NRSA stipend and to funds characterized as compensation, which may be paid to Fellows when there is an employer-employee relationship and the payments are for services rendered.*

*Gillian Marshall's current annual institutional base salary: \$74,079*

Also, please certify the following:

- (1)  Yes No applicant and/or their research are supported by a (a) domestic non-profit foundation, non-profit professional society, or other non-profit institution; (b) Local, City or State agency; or (c) grant from a Federal agency;
- (2)  Yes No applicant's institutional salary and/or research funding is not supported by a for-profit institution, contractor, or any non-U.S. entity
- (3)  Yes No applicant is not a full-time Federal employee or fellow (including Veterans Administration).
- (4)  Yes No applicant is/will be employed by the University of Washington to conduct research for a minimum of 20 hours per week;
- (5)  Yes No applicant will be provided the necessary time and resources to engage in the research project for two years from the date a LRP contract is executed

(6)  No research conducted by the applicant complies with applicable Federal, State and Local laws (e.g., applicable human subject protection regulations)

(7)  No applicant's annual income or compensation is accurate to the best of my knowledge.

I am aware that any false, fictitious, or fraudulent statements or claims may subject me to Federal criminal, civil, or administrative penalties.

If you could please reply to this message, including concurrence of the department Chair to confirm and certify the above information is correct, we will proceed appropriately to submit the institutional information for the applicant.

To ensure timely submission, please respond to this email by **November 1<sup>st</sup>, 2018**, so that we can meet the submission deadline of **Thursday, November 15<sup>th</sup>, 5 PM EST**.

Should you have any questions or concerns, please do not hesitate to contact us. Thank you for your attention to this matter.

Sincerely,

**JENNY LE**  
Team B Grant Specialist  
Authorized Signing Official  
Office of Sponsored Programs

UW Tower Box 359472  
4333 Brooklyn Ave NE Seattle, WA 98195-9472  
206.685.7163 / fax 206.685.1732  
[jen12@uw.edu](mailto:jen12@uw.edu) / [washington.edu](http://washington.edu)

**W** UNIVERSITY of WASHINGTON

# Please Recertify LRP Contract Duration for Gillian Marshall

OSP LRP <osplrp@uw.edu>

Tue 11/6/2018 8:32 AM

To: Terri Simonsen <hermant@uw.edu>; Diane S Young <youngd4@uw.edu>;

Cc: Gillian L Marshall <geegee@uw.edu>;

Hello,

Gillian Marshall has informed me that her LRP contract duration is to be renewed for 2 years. Her program officer for one of her grants advised her to request a no-cost extension that would extend the project till 2021. She is also expecting to be awarded for another project. This makes her eligible to request a renewal to her LRP contract for two years. Can you please confirm and provide chair concurrence? I see Diane Young's out of office email. If there is someone standing in for her while she is away, please have them provide their concurrence. If you have any questions, please let me know.

Best regards,

**JENNY LE**

Team B Grant Specialist  
Authorized Signing Official  
Office of Sponsored Programs

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[jjien12@uw.edu](mailto:jjien12@uw.edu) / [washington.edu](http://washington.edu)

**W** UNIVERSITY of WASHINGTON



Gillian L. Marshall <geegee@uw.edu>

---

## teaching for next year

---

Gillian L. Marshall <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>

Fri, Jan 30, 2015 at 9:51 AM

Hi Diane,

Thank you for your email. During our conversation, I recall that we discussed teaching practice classes (intro to social work, social work practice I/II/V, HBSE I/II), and aging and health related classes (aging in American society, gerontological social work, social work and health care) as well as teaching multiple sections of those courses. However, the schedule you provided does not reflect that. I am not comfortable teaching cultural diversity and would prefer to teach one of the other practice courses we discussed instead if possible.

In regards to the grant, I am still working on the logistics with my program officer, but it was my understanding that although the grant ends Jan 1, 2016, I could still use the buyout within that academic year. I will be sure to send along a copy of my grant in another email.

I am looking forward to coming to TUW-T and I thank you very much!

Gillian

[Quoted text hidden]



Gillian L. Marshall <geegee@uw.edu>

---

## teaching for 2015-2016

---

Diane S. Young <youngd4@uw.edu>

Fri, Feb 13, 2015 at 2:48 PM

To: geegee <geegee@uw.edu>

Cc: Terri Simonsen <hermant@uw.edu>, "Michelle D. Garner" <mdgarner@uw.edu>

Hello Gillian,

Okay, things are now solidified enough for us around teaching that I can tell you that I have you down to teach HBSE I in the autumn, HBSE II and Intro to SW (TSOCWF 101) in the winter, and Intro to SW again in the spring quarter. This gives you a one course reduction for the grant in the fall and a one course reduction in the spring for being a new faculty member at UWT. I have attached syllabi for your reference. The course description, learning objectives, and the competencies/practice behaviors the course addresses cannot be changed. Assignments, texts, order in which you cover topics and where you place emphasis (while still meeting course objectives) are more open to change. These syllabi are really examples and of course the course schedule will have to map to the university calendar for the quarters in which you teach the courses. Jim Williams (last instructor for Intro) has since retired so he is not available to assist. Michelle Garner is around this year (will be on leave next year), but I believe she would be open to questions about the HBSE sequence courses. I've copied her on this email. Please let me know if you have questions.

Glad we could work this out.

Diane

Diane S. Young, Ph.D., MSW  
Director, Social Work Program  
University of Washington Tacoma  
Box 358425  
1900 Commerce St., WCG 203A  
Tacoma, WA 98402  
253.692.4703

---

### 3 attachments

 TSOCWF 101\_A\_Williams.docx  
53K

 TSOCW\_502\_A\_B\_Garner.pdf  
187K

App. 0237

- 1) Provide me with some choices - SOCK 101
- 2) Provide preferences for each quarter: fall or winter
- 3) Let me know if you have a format delivery preference: face to face

Thanks!

Gillian

[Quoted text hidden]

Gillian L. Marshall, MSW, PhD  
Assistant Professor  
University of Washington  
Social Work Program  
1900 Commerce Box 358426  
Tacoma, WA 98402

---

**Diane S. Young** <youngd4@uw.edu>  
To: GILLIAN MARSHALL <geegee@uw.edu>

Wed, Jan 13, 2016 at 7:30 PM

Hello Gillian,

I know you had requested to teach Intro to Social Work again next year, but I would like you to teach a section of T SOCW 505 (Intro to Research) winter quarter. We have a need here that would be great to fill with an active researcher. Charley will teach the other section of 505 and he is great to work with. The students you teach in 505 will be handed off to Erin to complete their research sequence spring quarter (T SOCW 535). I'm sure both Charley and Erin would be willing to address any questions you have about the course. I've attached Charley's syllabus so you can get a look at the course.

Thank you,

Diane

**From:** Gillian L. Marshall [mailto:geegee@uw.edu]  
**Sent:** Tuesday, December 15, 2015 1:32 PM  
**To:** Diane S. Young  
**Subject:** Re: teaching for 2016-2017

[Quoted text hidden]

---

 TSOCW 505A\_Emlt.docx  
48K

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**Gillian L. Marshall** <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>

Tue, Jan 19, 2016 at 6:43 PM

Hi Diane,

Thank you the invitation to teach SOCW 505 (Intro to Research) next winter qtr 2017. I believe during my interview, during an email exchange on 1/30/15 and a phone conversation on

2/9/2015, we discussed teaching practice classes and upon your request, I provided you with a list of 10 potential courses. As I stated earlier, I am not comfortable teaching research at this time. However, I would be open to a discussion about teaching research in the future when I am more settled here at UW-T.

Thank you,  
Gillian

[Quoted text hidden]

---

**Diane S. Young** <youngd4@uw.edu>  
To: GILLIAN MARSHALL <geegee@uw.edu>

Wed, Jan 20, 2016 at 4:38 PM

Hello Gillian,

I am open to discussing my rationale further for why I have you scheduled to teach research next year, but we do need to proceed with the assignment of 505 next winter quarter. Thankfully, that is still almost a full year away. If there is something we/I can do to help you be more comfortable with teaching research by that time please let me know. This course is currently being taught by Charley and Erin and I think they would welcome your sitting in on a class session or two if that would help. I don't know why you are not comfortable so I am not quite sure what to suggest.

Micro practice is a curriculum area that several of our faculty members want to teach and have expertise in and is the one area where we did not need curriculum support at the time of your candidate visit and hire. Although things can change, and sometimes rapidly, I anticipate that this may continue for some time. I try to spread the micro practice courses out across the interested faculty so that those who want to do so get some opportunity to do so, especially for those teaching multiple courses.

Perhaps when we meet we could discuss this more.

Diane

**From:** Gillian L. Marshall [mailto:geegee@uw.edu]  
**Sent:** Tuesday, January 19, 2016 3:44 PM

[Quoted text hidden]

[Quoted text hidden]

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**Gillian L. Marshall** <geegee@uw.edu>  
To: "Diane S. Young" <youngd4@uw.edu>

Thu, Jan 21, 2016 at 2:25 PM

Hi Diane,

What you have proposed above is inconsistent with our previous communication. Could you please clarify?

Thank you!  
Gillian

[Quoted text hidden]

## RE: teaching load

Diane S Young <youngd4@uw.edu>

Tue 10/10/2017 12:42 PM

To: Gillian L Marshall <geegee@uw.edu>;

Hi Gillian,

The one half course was given for your course reduction as a new faculty member, leaving 1 course to carry over. I mentioned splitting the difference in my first message in this email trail. The purpose of the course reduction is to give new faculty members with heavy teaching loads a bit of time to prepare new preps, focus on scholarship a bit more, etc. These factors are not as relevant when significant course buyout is received from a research grant. Rather than *not* give you any course release and because it is difficult to teach a half course, it seemed a reasonable compromise to release you from the half. That's how we get to the one to carry forward remaining.

Diane

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**From:** Gillian L Marshall [mailto:geegee@uw.edu]

**Sent:** Tuesday, October 10, 2017 11:33 AM

**To:** Diane S Young <youngd4@uw.edu>

**Subject:** Re: teaching load

Hi Diane,

The math does not add up. If I am scheduled to teach 1.5 courses a year, over 3 years that equals 4.5 courses. I have taught 2 so far and will teach a 3rd this winter qtr which equals 3 courses with a balance of 1.5 moving forward (without the new faculty course release). With the course release in essence I would carry over .5 of a course.

Years 4 and 5  $(1.5 + 1.5) = 3$  plus the .5 from year 3 equals 3.5 courses for years 4 and 5. This does not include the research qtr leave I was advised to postpone.

Thanks!

G

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**From:** Diane S Young <youngd4@uw.edu>

**Sent:** Tuesday, October 10, 2017 8:40:14 AM

**To:** Gillian L Marshall

**Subject:** FW: teaching load

Hi Gillian,

Here is the older email trail.

Diane

**From:** Diane S. Young  
**Sent:** Thursday, October 8, 2015 2:34 PM  
**To:** GILLIAN MARSHALL-FABIEN <geegee@uw.edu>  
**Cc:** Terri Simonsen <hermant@uw.edu>  
**Subject:** RE: teaching load

Hi Gillian,  
Thank you for checking on this and letting me know.  
Diane

**From:** Gillian L. Marshall [mailto:geegee@uw.edu]  
**Sent:** Thursday, October 08, 2015 2:15 PM  
**To:** Diane S. Young  
**Subject:** Re: teaching load

Hi Diane,

After reviewing the budget with Lisa, it appears that I was paid out for the course release. Therefore I will teach one course years 1 & 2 and two courses year 3 as described above.

Thanks!  
Gillian

On Fri, Oct 2, 2015 at 1:29 PM, Diane S. Young <youngd4@uw.edu> wrote:  
Thank you. That would be great.  
Diane

**From:** Gillian L. Marshall [mailto:geegee@uw.edu]  
**Sent:** Thursday, October 01, 2015 4:23 PM

**To:** Diane S. Young  
**Subject:** Re: teaching load

Hi Diane,  
I will need to review the budget sheet Lisa and I worked on and will get back with you.

Thanks!  
Gillian

On Wed, Sep 30, 2015 at 6:28 PM, Diane S. Young <youngd4@uw.edu> wrote:

Hi Gillian,  
Maybe I am misunderstanding something. Did you opt to receive salary instead of one course release this fall for the diversity supplement? As of the email on Sept. 14<sup>th</sup>, I didn't know you had decided to do so. This impacts teaching load.  
Diane

**From:** Gillian L. Marshall [mailto:geegee@uw.edu]  
**Sent:** Wednesday, September 30, 2015 3:08 PM

**To:** Diane S. Young

**Subject:** Re: teaching load

Hi Diane,

Thanks for your email. I can certainly see how this may be confusing. In my previous email I was simply clarifying what was already discussed in our meeting on September 8th and re-iterated in an email dated September 14th, 2015 in regards to the teaching load.

In regards to the diversity supplement, it is my understanding that I am being paid as agreed with indirects deducted from the total, therefore teaching 1 course for years 1, 2, and 3 seems reasonable.

Thank you!  
Gillian

On Wed, Sep 30, 2015 at 5:19 PM, Diane S. Young <[youngd4@uw.edu](mailto:youngd4@uw.edu)> wrote:

Hello Gillian,

In an earlier email you asked about teaching load over the next 3 years.

When we spoke at the retreat, I did not realize that you had requested that your course release for the diversity supplement for autumn quarter be paid out to you in salary. With that out of the picture and with a 75% release from the K award, with no further changes you would teach a total of 4.5 courses over the next 3 years (2015-2016 included). The one course reduction given to faculty members their first year to support time for scholarship becomes much less relevant with significant buy-out. I think it might be the most fair to split the difference and proceed with one course this academic year and one the next, and that you plan to teach 2 courses your third year. If you anticipate that the 2<sup>nd</sup> year of the grant will be more difficult than the 3<sup>rd</sup>, the 2 courses could be taught next year with one in your third year.

Does this seem fair to you?

Diane

Diane S. Young, Ph.D., MSW  
Director, Social Work Program  
University of Washington Tacoma  
Box 358425  
1900 Commerce St., WCG 203A  
Tacoma, WA 98402  
[253.692.4703](tel:253.692.4703)

--  
Gillian L. Marshall, MSW, PhD  
Assistant Professor  
University of Washington  
Social Work Program



## RE: Reappointment

Jill Purdy <jpurdy@uw.edu>

Wed 8/8/2018 2:50 PM

To: Gillian L Marshall <geegee@uw.edu>;

Hi Gillian,

Thank you for this summary. I am working on outreach to a Teaching Mentor and scheduling a shared meeting with Diane Young. Thank you for following up with Diane regarding your grant applications.

I do want to note that neither the Chancellor nor I intervene in discussions about teaching schedules or unit policies related to course releases. These are unit-level decisions based on the needs of students in the curricula.

The Chancellor will contact the UCIRO office regarding the concerns you shared in your response to the reappointment letter. Please note that UW has a range of options for addressing complaints which is posted at <http://ap.washington.edu/ahr/working/responsibilities/complaint-resolutions/>

I will be in touch with more information as soon as possible, although I will be out of the office from August 10 through 17. Thank you for your patience, as it may take a little while to find a meeting time for the three of us.

Jill

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**From:** Gillian L Marshall <geegee@uw.edu>

**Sent:** Monday, August 6, 2018 2:04 PM

**To:** Jill Purdy <jpurdy@uw.edu>

**Subject:** Re: Reappointment

Hi Jill,

I hope you had a nice weekend and thank you for meeting with me this past Friday. I wanted to briefly recap our discussion and next steps. Among the many things we discussed, here are the main points.

- **Teaching mentor:** suggestion for me to work with either Caroline West or Diviya McMillian for assistance with course design, delivery and preparation. Whoever is selected would be paid for their time. You suggested a commitment of minimum of 10hrs.
- **Teaching:** based a on previous conversation with the Chancellor who suggested teaching to my strengths, which would mean teaching at the undergraduate level. We also discussed honoring a course release and research quarter leave that was awarded. Your suggestion was to set up a meeting with Diane Young to discuss these concerns and suggestions further.
- **Grant Funding:** discussion about the K01 and our (my and the institutions) responsibilities to ensure we are in compliance (see handout provided). We also discussed that I plan to apply for a (R21 or R03) this fall and submitting the proposal through UW-Seattle School of Social Work.

- **Investigation:** In reference to my response to your reappointment letter, you asked if I would like an investigation done. Since you explained this is the process, I confirmed I would like an investigation completed.

#### Next Steps

- You will be speaking with either Caroline West or Divya McMillian to serve as my teaching mentor and get back to me with a decision.
- You will schedule a meeting with all three of us (yourself, Diane Young and myself) to discuss teaching options for this academic year and beyond, course release, and research quarter leave.
- I shared that I will be applying for another funding mechanism (R21 or R03) this fall. I will follow-up with Diane Young.
- You will follow-up with me about the next steps and process involved with the investigation.

Thank you!

Gillian

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**From:** Gillian L Marshall  
**Sent:** Friday, July 27, 2018 9:33:09 AM  
**To:** Jill Purdy  
**Subject:** Re: Reappointment

Hi Jill,

See you next week.

Thanks!

Gillian

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**From:** Jill Purdy <jpurdy@uw.edu>  
**Sent:** Thursday, July 26, 2018 6:40:32 PM  
**To:** Gillian L Marshall  
**Subject:** Re: Reappointment

Hi Gillian,  
Thanks, I'll add 12:15 on August 3rd to my calendar. Mark is not planning to join us so it will be just we two. I am seeking your ideas on teaching support that would be valuable to you, and have a few ideas to suggest. I hope we can be generative in a way that enhances your success.

Thank you,

Jill

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**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Thursday, July 26, 2018 5:30:05 PM  
**To:** Jill Purdy  
**Subject:** Re: Reappointment

App. 0245

Hi Jill,

I understand and thank you for your response. August 3 at 12:15pm works well. Will there be anyone else joining us for the meeting?

Thank you!  
Gillian

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**From:** Jill Purdy <jpurdy@uw.edu>  
**Sent:** Thursday, July 26, 2018 3:13:46 PM  
**To:** Gillian L Marshall  
**Subject:** RE: Reappointment

Hi Gillian,  
I apologize – I've been away 7 of the last 9 days, and I'm still trying to catch up with the extensive pile of e-mails.

Might you be available on Friday, August 3 between 11 and 2?

Thanks,  
Jill

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**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Thursday, July 26, 2018 10:00 AM  
**To:** Jill Purdy <jpurdy@uw.edu>  
**Cc:** Mark A Pagano <mpagano@uw.edu>  
**Subject:** Re: Reappointment

Good morning Jill,  
I am just checking in to see whether you would still like to meet about teaching?  
Thank you!  
Gillian

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**From:** Gillian L Marshall  
**Sent:** Friday, July 13, 2018 3:43:30 PM  
**To:** Jill Purdy  
**Cc:** Mark A Pagano  
**Subject:** Re: Reappointment

Hi Jill,

Thank you for your email. In regards to a meeting, at the moment my schedule is pretty open. Please let me know what dates works best for you.

Thanks!  
Gillian

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**From:** Jill Purdy <jpurdy@uw.edu>  
**Sent:** Friday, July 13, 2018 12:12:55 PM

**To:** Gillian L Marshall  
**Cc:** Mark A Pagano  
**Subject:** RE: Reappointment

Hi Gillian,

Thank you for sharing this information. I am out of the office next week so we'll have to look to late July or early August for a meeting time. Are there dates that you prefer or that we should avoid? I want to respect your summer plans.

Thank you,  
Jill

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**From:** Gillian L Marshall <geegee@uw.edu>  
**Sent:** Thursday, July 12, 2018 2:35 PM  
**To:** Jill Purdy <jpurdy@uw.edu>  
**Cc:** Mark A Pagano <mpagano@uw.edu>  
**Subject:** Re: Reappointment

Hello Jill,

Thank you again for your letter confirming my reappointment as an Assistant Professor at UW-Tacoma. I read through it carefully and saw some statements that I felt warranted some clarification. Attached are my response and an accompanying letter written by Diane Young to the National Cancer Institute. As per your request, I am available to meet at your convenience. Please let me know what days/times work for you.

Thank you!  
Gillian

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**From:** Jill Purdy <jpurdy@uw.edu>  
**Sent:** Friday, June 15, 2018 3:46:35 PM  
**To:** Gillian L Marshall  
**Cc:** Diane S Young; Mark A Pagano  
**Subject:** Reappointment

Dear Gillian,

The attached letter confirms your reappointment as Assistant Professor and offers feedback on your progress toward promotion and tenure. Please arrange to meet with me at your convenience so we may discuss ways UW Tacoma can support your success.

Congratulations!

**DR. JILL PURDY**  
Executive Vice Chancellor for Academic Affairs  
GWP 312 | 253.692.5635  
Campus Box 358430 | Tacoma, WA 98402  
**W** UNIVERSITY of WASHINGTON | TACOMA

App. 0247



## RE: Teaching

Diane S Young <youngd4@uw.edu>

Wed 10/17/2018 12:46 PM

To: Gillian L Marshall <geegee@uw.edu>;

Hello Gillian,  
Thank you for your email.

Next quarter's teaching and the schedule are finalized. This process is completed quite far in advance. We have a signed and accepted contract from the part-time lecturer teaching Intro to SW this winter quarter. Your teaching schedule for winter quarter 2019 thus must remain as is.

I am hopeful that working with Carolyn while you are teaching the graduate hbse course will help you find ways to develop your skills to teach at the graduate level. Because we do not have distinct undergraduate and graduate faculties within our program the expectation is that all fulltime SW faculty will be able to do both well and in a variety of substantive areas.

Looking ahead - as you think about teaching preferences for next year and submit those, these are important things to consider. Staying with hbse might give you the best opportunity to demonstrate development as an instructor over time (see SWCJ Policy Guidelines for Tenure and Promotion, section I.C.). Also generally, keeping an instructor in the same course, especially when an instructor likes the content and is also struggling, gives her/him an opportunity to strengthen teaching because time can be spent on course improvement instead of in a new area of preparation. On the other hand, taking on a new curricular area might provide you a different opportunity to demonstrate teaching competence and effectiveness. HBSE was a preference you have expressed in the past but perhaps there are other curricular areas you would like to try. Because of the challenges of scheduling and SW faculty expectations to teach in both grad and UG programs, offering preferences/choices helps us find a fit.

Diane

**From:** Gillian L Marshall <geegee@uw.edu>

**Sent:** Monday, October 15, 2018 5:31 AM

**To:** Diane S Young <youngd4@uw.edu>

**Subject:** Teaching

Hello Diane,

Last week Friday I had a chance to meet with EVCAA, Jill Purdy and Dr. Carolyn West who has been appointed as my teaching mentor. Among the many things we discussed, I suggested that during the mentoring process in developing my skills to teach at the graduate level, perhaps I could teach in the undergraduate program. Jill suggested I speak with you about this possibility which is why I am reaching out to you today. I noticed there are a couple of courses taught next quarter by adjunct/part-

time lecturers (i.e. Intro to Social Work). Is this perhaps a course I could teach next quarter instead of HBSE II?

Thanks!  
Gillian

**To:** Gillian L Marshall  
**Subject:** RE: Teaching Mentor

Gillian,

I think it's important to get any concerns you have addressed at the beginning of this. Would you like me to talk to Jill about this?--Mike

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**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Friday, October 19, 2018 6:06 PM  
**To:** SECRETARY OF THE FACULTY <[secfac@uw.edu](mailto:secfac@uw.edu)>  
**Subject:** Fw: Teaching Mentor

Hi Mike,

I am following up with you based on our conversation the other day about the recommendations from my reappointment letter and next steps. I had a meeting with Jill Purdy (new EVCAA) and Carolyn West (Proff in Psych - my appointed teaching mentor) about how to move forward with teaching. If you read the trail of emails below, you will see there was not a concrete plan on how to help me achieve "teaching effectiveness or success" nor were there any formal measures in regards to milestones, goals and objectives established. Instead, it was recommended that my teaching should evolve and be "organic."

I am not sure how one measures "an organic process?" To me, this does not seem like a supportive plan leading me to a successful career at UW-Tacoma.

I am curious to hear your thoughts.

Thanks!

Gillian

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**From:** Jill Purdy <[jpurdy@uw.edu](mailto:jpurdy@uw.edu)>  
**Sent:** Monday, October 15, 2018 4:18 PM  
**To:** Gillian L Marshall  
**Cc:** Carolyn West  
**Subject:** RE: Teaching Mentor

Hi Gillian,

This looks like a good summary to me. I'd add for the third point under item 2, that an assessment could possibly be part of this process if you and Carolyn mutually agreed to it, but that the intention is developmental (formative) rather than assessment (summative).

Thanks for your careful note taking!

Jill

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**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Friday, October 12, 2018 6:33 PM  
**To:** Jill Purdy <[jpurdy@uw.edu](mailto:jpurdy@uw.edu)>  
**Cc:** Carolyn West <[carwest@uw.edu](mailto:carwest@uw.edu)>  
**Subject:** Re: Teaching Mentor

Hi Jill,

Thank you for your time this morning and willingness to meet with Carolyn and I so we could gain more clarity about how to move forward with the third-year review committee's recommendations around teaching and having a teaching mentor. Below is a recap of the comments/suggestions made by both you and Carolyn to clarify this process and next steps for moving forward.

1. Review the reappointment review committee's recommendations for teaching/mentor.
  - In response to the question about "diagnoses" – may possibly be referring to understanding what factors drive student scores (Jill)
2. Clarity about what this process looks like and expectations
  - Suggestions made: small group diagnoses, developing a teaching portfolio, and peer evaluations (Jill, Carolyn).
  - Teaching squares – informal meeting of a four persons group from different disciplines, meet to discuss goals and challenges, its s self-directed attention, more developmental (Carolyn)
  - There is no expectation of a detailed assessment (Jill)
3. Clarity regarding milestones and outcomes
  - Teaching effectiveness is "hard to measure" and that there is no hard and fast rule (Jill)
  - This should be an "organic process." (Jill, Carolyn)
4. What is Carolyn West's role?
  - Could help with course design, pedagogical tools (Jill)
5. Additional items discussed
  - Having a teaching mentor is not a requirement. It is a resource/support the EVCAA is providing (Jill)
  - Perhaps teaching at the undergraduate level could be an option since there is evidence of success with this population here at UW-Tacoma and continue teaching at the undergrad level until skills have been strengthened to teach at the graduate level (Gillian)
    - Unable to intervene in teaching matters at the unit level and this needs to be addressed with Diane (Jill)
  - Student scores in SW 503 may be low because someone else is teaching the first section and students may have already formed an opinion (Jill)
    - a. Suggestion to teach both sections or ask the current instructor of SW 503 to sit in on her section this quarter (Jill). I will follow-up.
6. Next steps...
  - Carolyn and I will begin meeting once a week to spend time talking about teaching and syllabi.
  - Carolyn and I will brainstorm ways to be an effective teacher.
  - Carolyn and I will meet with her mentee from another university

Please let me know if you have missed anything.

Thanks!

Gillian

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**From:** Gillian L Marshall  
**Sent:** Thursday, October 11, 2018 3:20:14 PM  
**To:** Jill Purdy  
**Cc:** Carolyn West  
**Subject:** Re: Teaching Mentor

Hello Jill & Carolyn,

Jill, thank you for sending along your suggestions. However, I am unclear about what is meant by "...a detailed intervention plan that diagnoses..." so I hope you can elaborate on this point during our meeting. I have not heard from Carolyn so I will go proceed and formulate our agenda for tomorrow. Based on the information below, our agenda items are as follows:

- 1) Review the reappointment review committees recommendations for a teaching/mentor.
- 2) Clarity about what this process looks like and expectations (Jill)
- 3) Clarity regarding milestones and outcomes (Jill)
- 4) What is Carolyn West's role (Jill)

If I've missed anything, please let me know or we can discuss tomorrow.

Thanks and see you then.  
Gillian

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**From:** Jill Purdy <[jpurdy@uw.edu](mailto:jpurdy@uw.edu)>  
**Sent:** Monday, October 8, 2018 4:13:06 PM  
**To:** Gillian L Marshall  
**Cc:** Carolyn West  
**Subject:** RE: Teaching Mentor

Hi Gillian and Carolyn,

Thanks for the excellent suggestion that we come up with an agenda! I suggest starting from Gillian's reappointment review committee's recommendations which include the following:

...an assigned and compensated teaching mentor spend more time observing and actively working with Dr. Marshall – both in and out of the classroom – in order to identify, target, and plan an intervention that improves her teaching.

The committee recommends avoiding a checklist of things to try and instead seeks a detailed intervention plan that diagnoses and addresses any perceived threats or challenges to teaching success.

Based on these comments, our agenda might be to articulate a detailed plan for diagnosis and support that is ongoing throughout a quarter of teaching. I would love to hear your thoughts as to whether this fits or does not fit with what you'd like to have happen at the meeting.

Thanks,  
Jill

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**From:** Gillian L Marshall <[geegee@uw.edu](mailto:geegee@uw.edu)>  
**Sent:** Wednesday, October 3, 2018 9:52 AM  
**To:** Jill Purdy <[jpurdy@uw.edu](mailto:jpurdy@uw.edu)>  
**Cc:** Carolyn West <[carwest@uw.edu](mailto:carwest@uw.edu)>  
**Subject:** Re: Teaching Mentor

Hi Jill and Carolyn,

In anticipation of our meeting next week, I thought it would be helpful for us to come up with an agenda to guide an organized discussion. As I mentioned before, I am looking for clarity from you Jill about what you envisioned this process to be and what types of milestones and outcomes were you hoping for and how best to use Carolyn as a resource to achieve success. Are there any specific items either of you wish to address? Is there anything you need for me to do in preparation for our meeting? I just want to reiterate my goal here is to utilize the supports you are providing so that I may be successful in the tenure and promotion process.

Thank you!  
Gillian

# Thank You!

Beth Kalikoff <kalikoff@uw.edu>

Thu 1/17/2019 1:23 PM

To: Gillian L Marshall <geegee@uw.edu>;

Dear Gillian:

Thanks for inviting me to the first day of class on January 8! I enjoyed it. I admired how you used the full class session to introduce students to each other, to you, to the course, and to the profession, in such a thoughtful and meaningful way.

Discussing the aggregated and anonymized results of the entrance quiz almost immediately was smart. The quiz was on their minds, and you explained why you gave it and what the results mean for your teaching and their learning. The students were visibly reassured to learn that their results were "right in the middle," compared with those of other classes: they're not starting from zero and they don't know a lot of the material that the course aims to teach them.

It was useful to see them go around the room and tell everyone their name, job if they're currently working, why they're here, what kind of Social Work interests them. I like that you went first, answering those questions, sharing your professional trajectory and passions, discussing your expertise as an outgrowth of those passions. Each student took the opportunity to introduce themselves seriously and were engaged by the introductions of others, learning what they had in common, what was distinctive.

During that activity, you encouraged people, asked follow-up questions, took notes, said that's cool, acknowledged that they are a multifaceted/multidimensional group, kept things moving without rushing anyone, gave students the opportunity to learn something from each other. All the while, you modeled responsiveness and previewed for them how their experience and goals are relevant to the work of the class. In addition, having them write down their home town, why Social Work, their favorite book or movie or tv show or hobby, and a little-known fact about them was inspired: by the end of the first hour, students had each heard themselves speak up in class, met in pairs, worked in small groups, and written something to share with their peers.

Moving along to assessments like the Meyers Briggs and "Peacock, Owls, Doves, Hawks" working style matrix was constructive, inviting students to reflect on the characteristics they have--and those they don't--in preparation for working effectively in groups and with clients. Excellent transparency throughout, as you explained why you were having them do these activities and asking them to consider the accuracy of the assessments.

You'd prepared students wonderfully well for the move to the syllabus draft. I like: "Take a look at the syllabus draft. Now throw it out. Because I do the final version based on the results of the opening quiz and the information you gave me just now, on the form"

I'd like to describe back to you everything I saw, but doing so might take each of us two full hours, so I'll summarize here. Your preview of the course focused both on what students want to know and what they need to know. Well done. Throughout, I admired the way you tacked back and forth between the activities and assignments of the course, the relationship of skills and the course to the entire Social Work program, and the relationship of the program to Social Work as a profession. Highlights:

"This is an evidence-based course. There will be some lecture but not a lot of lecture. Most of what we do goes beyond the readings. We don't spend a lot of time hashing out the readings. We do case studies. We do active learning. This course is very applied.

If you prefer another style of teaching, take the Thursday section, it won't hurt my feelings. I want you to be able to make an informed decision about which course to take."

Thanks again! Well done.

Beth