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Minutes of the Regular Meeting of the Academic Council



Council chair Paul Haagen briefs new members

Thursday April 19, 2007

Paul Haagen (Law, Chair of the Council): I'd like to welcome you all to the first meeting of the 07-08 Academic Council. For those of you who do not know me, I'm Paul Haagen, Chair of the Academic Council for another two months. I will be succeeded on July 1 by Paula McClain. I'm from the Law School, Paula McClain is in Political Science, so we will be moving out of the professional schools and into arts and sciences.

The first order of business is to approve the minutes from the March 22 meeting. [The minutes were approved by voice vote without dissent.]

Our country has seen its share of tragedies over the last several decades. Today's events at Virginia Tech were particularly scary for people in the university community and I think we all want to hold the people in Blacksburg in our thoughts as we move forward in this community.

In light of those tragic events, I asked Executive Vice-President Trask to come here and talk today with this council about the preparations at Duke for dealing with extraordinary safety related events. I do not see...?

Security at Duke

Vice-President Tallman Trask (implausibly):
I've been out running a marathon!

Haagen: All true. Under four hours...

A voice: 3:51, three hours and fifty one minutes.
(applause) Can you believe that?

Haagen: (referring to his own time in the just-completed Boston Marathon) 3h 55 minutes. Lots of headwinds...

Trask: I was in a conversation yesterday with ECAC and we fell into a discussion of the regrettable events in Blacksburg. Paul asked if I'd come and say a bit about where Duke is in those questions and answer any questions you may have.

We've spent a lot of time worrying and thinking about the safety of the Duke community. The events have forced us to go back and look at those somewhat. I can assure you we have good plans, we have equipment, we have the notification systems, both email, text, and voice that people have been talking about. Whether they are fully enough deployed is something we're going to rethink but we have all those systems in place. Whether that could have pre-



vented what happened [at Virginia Tech] is unclear to us anyway. But we will continue to look hard at our systems. I think given the nature of an academic campus as we all cherish it, we have gone fairly far in some of the things we have done. I assume all of us will rethinking that balance in future years. The tradeoff may be somewhat different than it has been historically. But in the current circumstances, I can assure you we have taken all prudent, preparatory steps to deal with these circumstances. Having said that, I'll be happy to expand within reason or talk about what we've got and what we're planning to do.

Questions

Nancy Short (Nursing School): Recently we've had a student in the school of nursing who displayed inappropriate behavior, so I used the option of an administrative suspension to send the student to be reviewed by CAPS and by his primary care provider. And what I learned is that CAPS is not really equipped to give a sort of fitness review. Certainly in our case we needed two things: we needed [an answer to the question] is this person safe just to be in class? and we also needed [a judgment about] fitness for duty with patients in a clinical setting.

I accepted that they wouldn't be able to do fitness for duty in a clinical setting but what was a bit dismaying to me was that they stated very clearly, very eloquently, that it would be a conflict of interest for them to provide any sort of written document to me, even with the student's permission, that they had reviewed him, assessed him, done a mini mental exam or whatever and found him to be harmless (I don't know how they would word it; I'm not a psychiatric nurse).

But they said it would be a conflict of interest, because they are there primarily to advocate and help the student. So in light of what happened in Blacksburg, I'm wondering, what is the next step? Since the student wasn't technically cleared, they did start him on a course of treatment, which the student shared with me, he did get counseling, but it's still... there's kind of a missing piece there.

Trask: I'm assuming, as I said to ECAC yesterday, that colleges around the country including Duke will now take a serious look at the rather absolute

language the [the Buckley Amendment: FERPA¹] has taken on over the years. The total inability to do anything about anyone is not what was intended when that law was passed. [The question is] whether we can get the Federal government to change it or bring it more into line with reality. I think that will be a possibility.

Short: But they never mentioned Buckley, I'm unfamiliar with it, and maybe others are? Is everybody familiar?

Trask: Under Federal law, all educational records of the students – and that's defined rather broadly – cannot be divulged to anyone, students or parents, unless they're 18 years old, without their permission.

Short: That wasn't really the problem here.

Trask: But they couldn't have written a letter and given it to you because it would be part of his record.

Short: But the student agreed. They didn't write it because they didn't want to put their name down saying that they were, certifying... They essentially told me that I would have to require the student at his own expense to go to an outside psychiatrist, maybe of our school's choosing, and that he would have to stay on administrative suspension until he was cleared by that psychiatrist. We weren't equipped to do that either.

Trask: No I agree, I was quite surprised by that answer and I'll find out more about it.

Mary Boatwright (Classical Studies): I just had a question. I haven't heard it yet or seen it yet, but has Duke sent out – I don't know whether it would be under President Brodhead's name or whatever – but something to all the students and faculty and parents? I know that we've already received something from the President of my son's university which is not Duke. And I may not have seen if Duke has done that, but I don't know whether this is something you all consider to be an appropriate response or not.

Trask: There was a letter sent to the members of the community. Whether it was timely or not....

Boatwright: This other one came yesterday.

Trask: We deliberately decided not to send a message to all parents in response because none of us really knows what to say. None of us knows the facts. The President has been in contact with the president of Virginia Tech, offered to be helpful, done a few things to help them out.

But, it's a very subtle distinction here. I've got two messages from vendors. One explaining to me that they had the greatest automatic notification system ever seen on the face of the earth but in the reaction to the tragedy they had decided to suspend marketing those because they didn't want to be seen as taking advantage of the circumstances. (laughter)

I received a message from the other person who builds the world's greatest automatic distribution system and they were offering a discount. So you...

Boatwright: Yes, I know it's hard, it's very hard.

¹ <http://www.epic.org/privacy/education/ferpa.html>

Prasad Kasibhatla (Nicholas School): Do you think that CAPS is adequately staffed currently to meet the mental health needs of our students?

Trask: I don't know the answer to that.

John Board (Electrical and Computer Engineering): Does Duke have a notion of what it would mean to be on lock-down? Is there a secret, or preferably non-secret, plan somewhere that describes what that would be in practical terms of all our class doors and accessible units?

Trask: It is not possible to instantaneously restrict access to all of Duke, including its grounds. We do have the capacity to instantaneously disable all the electronic door locks – that may or may not be a good thing depending on whether the episode is inside or outside a building. So no, we don't have any ability to lock down. I mean, we don't even control access to campus which was talked about. There are almost twenty roads; anyone can drive down the roads.

Julie Britton (Fuqua): Tallman, it doesn't seem to me that we routinely ask faculty and/or students or other members of the community to give their cell phone numbers to some central repository. And it seems that in this day and age that this is probably the way that one would communicate most effectively, most quickly, with the biggest number of people. And I'm wondering if we could have that plan and I'm just not aware of it. Or if we're just not thinking along those lines.

Trask: We ask for them. Many people do not give them to us. In the case of students, one of the problems we would have with phone notification of students is that we don't have phone numbers for about a third of our students. We've been in a debate, which I intend to reopen, for several years as to whether or not we can require that. We have certain students for whom we don't even have addresses and I think this will force us to revisit that. And that has been seen as a matter of privacy.

Britton: But clearly indicating that these would only be used in the cases of emergency. It seems like now we'd want to rethink some of those things that seemed as if they were privacy issues that we may think now are safety and security issues.

Trask: And we may want to say, for example, that we must have your phone number. That is our system to get to you and we must have your phone number, it's not an option to not give it to us.

We may also want to say that in certain circumstances we want the right to intervene in student behavior. I think that will be an open discussion this year. Having said that, the reality is that we don't know of any communication system that could get a message to 27,000 people in three minutes. That's the scale we're operating at.

Helen Ladd (Public Policy Studies/ECAC): I'd just like to follow up on the mental health issue. And ask for your advice for faculty members when we are concerned about students who may have mental health problems, who could be violent. Our standard

response is to try to send people to CAPS but students don't have to go. So do you have additional advice for us in such a situation?

Trask: I think if you have students that you believe are dangerous to themselves or others certainly sending them to CAPS is less direct than you mean to be and I would suggest that either Larry Moneta or the director of CAPS should hear directly from you about those cases. At least then they could follow up and see whether there's any action to be taken.

Nancy Short: There is an administrative system of rules in Trinity Arts and Sciences handbook. Sue Wasiolek referred me to it when I was looking at my situation.

Trask: I don't think telling people to go see CAPS is usually the right answer.

Kerry Haynie (Political Science): Tallman, At ... University we were told as a faculty that we could not give that advice, to go seek counseling; that it was not professional, it was not professional psychiatric advice. And I don't know what the goal of faculty in that relationship, is that permissible?

Trask: Well I think that's been the discussion



around a sort of extreme interpretations of the Buckley amendment. I mean there's advice and then there's advice. Peter and I have talked about this. I think we need to be clearer in instructions about what faculty can and cannot do, and in certain circumstances I think Duke should be willing to be closer to the edge than perhaps some others have been?

Provost Peter Lange: Yes, and I would say, actually, I think that advice is wrong, that talking to CAPS is wrong. That's like saying a student has a stomach ache and we can't tell them maybe they should go see the doctor. When the student hasn't been to class repeatedly for days and you can't say "have you gone seen a doctor yet?" That's just, what you were told was incorrect. Now, that's not giving medical advice. If you give advice, that's a whole other matter. But if you tell them to go to somebody who is an expert, no.

Trask: And the other thing we can make clear is, in the normal course of that action, the institution stands behind the faculty, making it clear there's no personal liability there.

Boatwright: Can I just follow up one more time with what I've done, which is contact the students' deans, which is pretty good when you have an undeclared major because you can go to the pre-major people. It's very hard for me to find out who the deans are for some of my upper-class students (but you don't have to answer that) but wouldn't that be one of the things to do, go to the students' deans? If you're also concerned about students' well being, would that not be, to go to their undergraduate deans?

Trask: You could. That's a course. CAPS is a course. But the deans are limited as well, in some ways.

Haagen: In what I fear may become a little bit of a theme over the next few meetings, I've already contacted the University Counsel and Professor McClain about the possibility of having the university counsel come here. She would like to bring a variety of the CAPS people in when she comes to talk about these issues more directly. So I expect that will come, but it's something I'm dumping on my successor.

I'd like now to call the Academic Council into executive session for the purpose of considering honorary degrees. All who are not faculty members should leave the room.

EXECUTIVE SESSION

Information about honorary degree candidates is available to faculty in the Academic Council office

Faculty Secretary Election

We now go on to the annual election of the faculty secretary. The primary responsibility of the faculty secretary is to provide the minutes of these meetings. The faculty secretary is also a member of the executive committee of the academic council and that community, ECAC, wants to thank John Staddon for the minutes he's provided this past year and we have put his name forward for re-election for this position. You received a brief biographical sketch in your agenda. At this point, I will ask if there are any nominations from the floor from candidates who've agreed to serve in this capacity if elected. Are there any further nominations?

Hearing none, I offer the name of [John Staddon](#) as Faculty Secretary for the coming academic year and ask all those in favor to signify by saying "aye". Opposed, nay. Motion passes unanimously. And congratulations and thank you, John. (applause).

Election of New Executive Committee Members

The next item on the agenda is the election of four new members to the Executive Committee of the Council. Three of those elected today will serve two-year terms and one will serve a one-year term, finishing out the term of a person who left the council.

Before we proceed, I want both to acknowledge and personally thank the current members who have

completed their terms: Chris Counter, from Pharmacology and Cancer Biology, Helen "Sunny" Ladd from Public Policy Studies and Elizabeth Livingston, OBGYN. They've been a great source of support, wisdom and counsel to me over the past year. I particularly want to thank Elizabeth who has been both the vice-chair of the council and the lone member of ECAC to have managed to survive both years of my chairmanship.

Since I realize that all of you can count and some of you may now be wondering why if there are four openings, I have so far thanked only three persons. This is not a problem with the fourth person. The fourth member of the Executive Committee whose term is ending is Ken Surin from Literature, Religion and German. When Karla Holloway resigned from her various university committee positions in January, Ken graciously accepted ECAC's request to serve on the committee in her place until the next election. Ken has agreed to stand for election today for the remainder of that term and I most definitely want to thank him as well. But whether he is on the committee or not depends on you.

For today's election, I have asked professors Josh Socolar and Fritz Mayer to act as tellers. They will distribute and collect the ballots. When the votes are counted, I will announce the winners before the end of the meeting today.

You have received with your agendas a brief description of each of the candidates who was nominated consistent with the academic council bylaws. The bylaws says that the council should prepare a ballot with two nominees for each position, circulate the ballot in advance of the meeting and I will now read the names of the candidates and ask each to stand when I read their names.

Julie Edell Britton, Fuqua School of Business, thank you. Tom Metzloff, from Law, thank you. Dona Chikaraishi is out of town today. Dona is from Neurobiology. Barbara Turner from Nursing. Leo Ching, Asian and African Languages and Literature. Leo apologized, he has another commitment and can't make today's meeting. He will stand against Ken Surin, Literature, Religion and German. (As some of you may know Ken's wife is on the faculty at Virginia Tech. Two of her colleagues and 15 students from her department were killed on Monday. Ken is in Blacksburg trying to provide whatever support he can to his wife and to the families directly affected by this terrible tragedy.) Amy Abernathy from medical oncology. And Martha Adams from the Department of Medicine.

When the ballots had been counted, Paul Haagen read the results:

Those elected to ECAC are [Thomas Metzloff](#) (Law), [Dona Chikaraishi](#) (Neurobiology), [Amy Abernathy](#) (Medicine, Oncology) and [Ken Surin](#) (Literature). I want to congratulate each of you, particularly to thank the others of you for agreeing to run. This is really critically important that you do that and

I very, very much appreciate your willingness to let your names go forward on the ballot. For the others, ECAC is a great place to do service to the university. It's a really interesting assignment.

Name Change for Division of Coastal Systems Science and Policy

I want to move to the next item and that is a proposal to change the name of the Division of Coastal Systems Science and Policy. This will be presented today and voted on at the May 10th Council meeting. And before we move to this item and the next item I actually have to ask your indulgence to handle this in this way. It is our normal procedure to give you more warning and more materials. It was the judgment of ECAC that the next two items are largely ministerial in nature and if we did not in fact do it this way the change could not take place – since we have a two-meeting rule – until next semester. We wanted, if possible, to accommodate the Provost and get this to Board of Trustees in May.

I do not want to prejudice your verdict on whether this is in fact merely ministerial, but I need some sort of agreement that it appears enough like that on its face that you're willing to consider it without more warning than I gave you at this meeting. Put it this way: are there any who object to proceeding in this matter? Hearing no objections, we will proceed in hearing these two. Dean Schlesinger, is he here to present the request? He had to leave?

Lynn McGuire (Nicholas School). I'm more or less completely unprepared since Dean Schlesinger



asked me to do this about two minutes ago!

I'm here to discuss the proposal to change the name of the Division of Coastal Systems Science and Policy to the Division of Marine Science and Conservation, which they consider to both more accurate as to their intentions and mission and also more succinct. And I'd be happy to answer any questions to the best of my ability to do so.

Questions

Sara Beale (Law): Has it been voted on by your school?

McGuire: Yes it has. It's been voted on both by the Division themselves and then in the plenary session of the three divisions.

Haagen: And it has had full airing in the Academic Programs Committee. And was voted on.

Earl Dowell (Mechanical Engineering): Is this the proposal that deals with the new Ph.D. program in the Nicholas school or is that a different proposal?

McGuire: No I believe that's a separate proposal.

Haagen: This is merely a name change

Elizabeth Livingston (OBGYN/ECAC) I had one question. We did get a little material in ECAC. A letter to Provost Lange from Professor Schlesinger [indicated that this] was a tenuring unit... and I didn't realize that divisions provided tenure, I thought it was departments.

McGuire: In the Nicholas School, the three divisions are the tenuring units.

Provost Lange: We have institutes that give tenure. You're going to come to one of those. We have divisions in the Nicholas School which can give tenure. It's a not a critical issue...

Helen Ladd (Public Policy): How does this new name relate to names of comparable (if there are comparable) programs in other institutions?

McGuire: I can't answer that question.

Ladd: Is there anybody here who can?

Gregson Davis (Dean of Humanities): Professor Schlesinger said that the previous name didn't google well so we had to change it.

Ladd: My assumption is that the word *marine* means that this is the division that includes everybody down at the Marine lab.

McGuire: And some people in Durham as well are also members of that faculty.

Ladd: But does anybody know whether other universities have comparable programs and what their names are?

A voice: Jim, you have computer there, do you want to google? (laughter)

The googler responded: The Division of Marine Science got 5 million, 2 hundred and 60 thousand.

McGuire: Those are government agencies, I think!

Voice: What's the first one?

Googler: Australian Academy of Science. University of Georgia has a Division of Marine Sciences... ah... just going through, University of California, Santa Cruz has one. Its just going through, seems like it seems like it's the usual combination.

Haagen: It was reported to ECAC that *Coastal* was a particularly confusing term because they're not particularly interested in coasts (laughter)

McGuire: Actually, their choice to go to marine as it was explained to the faculty of the Nicholas School when we voted is that they considered 'marine' to be more all-encompassing than coastal and therefore marine signified both blue water and near-shore and coastal waters.

Catherine Fisk (Law/APC Chair): I was only going to say that it was represented to the Academic Programs committee that this new name was more in line with names of similar programs elsewhere.

Name Change for the Institute of Statistics and Decision Sciences

Haagen: The next item is the proposal to change the name of the Institute of Statistics and Decision Sciences. This will be presented today and voted on the May Council Meeting. Steve Nowicki, Dean of Natural Sciences, George McLendon Dean of Faculty, Dalene Stangl, ISDS.

Steve Nowicki (Dean of Natural Sciences): George couldn't be here and Dalene couldn't be here, but I've brought Alan Gelfand who is the incoming chair of this unit. And this is equally controversial... This was actually driven completely by the faculty of the Institute of Statistics and Decision Sciences and the mere fact that I don't even remember what it is and I'm the Dean means... (laughter) The faculty voted unanimously that they wanted to change (1) the name to 'department.' They function as a department, they created a new major now. And (2) that statistical science was more representative of what names in the field are as opposed to Statistics and Decision Sciences. I've already done the homework. Forty-two million, one hundred thousand Google hits and the first hit was Cornell which is a serious department so clearly this is the place to google Statistics.

This was as I said voted unanimously by the department. George brought it to the Arts and Sciences Council which approved it. Then we brought it to Peter [Provost Lange] who brought it to the Academic Priorities Committee who approved it and now its here for your consideration.

Questions

Ladd: Since we did not have a chance to talk about this much in ECAC I think it's useful to raise a couple of things. I'm just curious as to why it was not a department when it was set up and that's the first question. And the second part, does this involve any change in the reporting requirements from the chair?

Nowicki: Let me answer the second question and then I might turn it over to Alan to answer the first. The second answer is no. This functions as a department. The chair is called a director. She functions as a chair and this will mean absolutely no functional change.

The history of the institute goes back several Provosts ago and why it was called an institute versus a department...

Alan Gelfand: I'm not absolutely sure, but I guess early on we did not have an undergraduate major or minor and I think we were formed primarily as a research unit and on the other hand, we began granting Ph.D.s within the first four years of our existence. We started recruiting a class... I'm not exactly

sure why that came about, but in any event we're a full functioning, full-range program within the Arts and Sciences now and the title of Department seems to be appropriate.

I guess we also for the same reason worry about some misperceptions in the community overall in terms of whether an institute is actually an academic department so this name change would at least clarify that as well. So I'm not sure I can offer more on history.

Peter Lange: This institute began around a Bayesian mission. It was basically created to launch an intellectual agenda around research, around using Bayesian statistics as applied to multiple areas but also as a much less interdisciplinary institution.

I actually welcome this change for another reason. Because we now have a number of institutes who are actually doing what we want them to do and they are not functioning like departments and so maybe this department actually clarifies a currently less clear vision. Because now it has all the functional components of a department.

Alan Gelfand: Just to add one more thing, Statistical Science seems better than Department of Statistics because we really feel it is much more representative of the kind of work that we do, of the kind of interaction and collaboration that we build with many of the units here on campus and it's just a more modern, more descriptive of what statistics is these days.

Ron Gallant (Fuqua): My concern of the use of the word *science* is now that you put it in the title people suspect that you aren't... (laughter) So I would argue for Department of Statistics.

Nowicki: Well, I personally defer to faculty on this, and this is a first-rate faculty that we have and they think Statistical Science is the way to go and who am I as a biologist and not a biological scientist, by the way, (laughter)

Gallant: I think you just made my point...

Academic Programs Committee Annual Report

Haagen: Professor Catherine Fisk is here to give the annual report of the Academic Programs Committee. The academic programs committee reports to this body in the spring every year a summary report was included with the agenda.

Catherine Fisk (APC Chair/Law): My summary report is entirely self explanatory as to what APC did this year except for one thing. The first item listed on the second page of the report – if you looked at it under the heading, other activities of APC – I said we discussed streamlining APC review of department programs to aid elimination of the backlog of departmental reviews that had accumulated last year while still giving a meaningful review. At the invitation of Paul, I am going to explain what that item means and am going to suggest that is really just the

tip of a much larger iceberg about the role and the mission and the effectiveness of faculty governance.

At its best, I think the Academic Programs Committee can be a really effective representative – both faculty providing expertise to the administration of the university and also operating as a check on executive authority to use a law metaphor. At its worst, it's a rubber stamp. A challenge, I think, for APC (I certainly found it a challenge this year) is to figure out how to get more of the best and less of the worst.

It strikes me that the thing is to do is to figure out structural ways APC operations can use the time of the twelve faculty members and approximately twelve administrative ex-officio members, meeting for alternate weeks for an hour and half each week. It's a fairly heavy demand on the time of the faculty who are willing to serve on the committee. And I found it challenging this year to figure out how to use everybody's time in a way that provides the expertise and also really provides a kind of check.

Now when we're reviewing a department of English Science for example (laughter) – I don't know anything about running an English Department! – and indeed if there is a member of the English department who is on the Academic Programs Committee, that person is generally regarded as being conflicted out of the departmental review because it's too close to home. So then you have the biologists and the lawyers and whoever else studying the external report instead of suggesting: well I think they need to hire more faculty or I think they need to pay more attention to undergraduate education or how are their graduate students doing getting jobs in the academic market or things like that. And it's hard for us at that time to figure out how effectively to do that.

On the other hand, and you know the tendency is always to say, well the department said they desperately need to hire more people and so therefore they should hire more people which prompts the Provost and the others on the committee to say "Yeah, we hear that all the time, people, come on, we can't triple the size of the faculty." Our endowment is a rounding error compared to Yale's!

I welcome your suggestions, my email address and office phone number are at the top of that memo, as to how we can do that. I tried to have part of the meeting where we excused all non-faculty members, that is all the administrative members, from attending so we could talk about how we were doing part way through the year. I think maybe APC might want to reserve part of its agenda, or maybe its entire agenda, for one meeting every X meetings to allow the faculty to talk about what they want to look at. Maybe follow up from getting more information about the impact of our efforts from the Provost or others – and I don't mean this as criticism of Peter at all – only just trying to figure out how to bring our independent judgment to bear when none of us on the committee have anything like the overview of the University

that Peter has as Provost or Jo Rae has as Director, Dean Czarina, whatever (I'm blanking on her title!) of the Graduate school.

I'm not going to be on APC forever. It takes a huge amount of time to get up to speed and figure out how effectively to do it. I encourage you all to think about ways to make APC more effective without necessarily trying to micromanage how any particular department runs its little unit or without trying to rethink the University's Strategic Plan about how the University ought to spend \$500 million on central campus or what have you. So I think that's an ongoing conversation I will encourage you to have.

Questions

Earl Dowell: I encourage you to continue this because I think it's a great point. It takes about two years, I recall, for this whole process to wind its way from the department to your committee to the Executive Committee of the Graduate Faculty to the academic committee of Board of Trustees back up the administration back to the MOU² to the department. It seems to me that you would think about combining some of those committee reviews. For example, why doesn't your committee and the Executive Committee of the Graduate School split the effort and you look at the department reviews, half the members of the review team to come to your committee, half could come from the Graduate Executive Committee? That would split the work load in half. And you might be able to pull off the academic...

Lange: Earl, that is actually no longer done.

Dowell: Oh, that's no longer happening?

Lange: We only bring reviews to the trustees if there are really serious issues.

Dowell: So you eliminated that part?

Lange: Yes.

Dowell: What's the total time now from start to finish?

Lange: Well, I think one of the great things under Catherine's leadership has been the effort to reduce the... the potential backlog here is in part so we could reduce that time. And we're working pretty hard, I'd like to get it down to about a year, but we're not there yet.

Fisk: I don't meant to suggest that the committee last year slacked off, the backlog accumulated because last year the Academic Programs committee spent quite a bit of time studying strategic plans from all the various departments in the divisions within the University as a part of the formulation of *Making a Difference*. Although I have to say, I wasn't chair of the committee, although I served on it, again I had the question maybe it's just because I'm exceptionally provincial over there in the law school: Golly, what do I know about looking at the Strategic plan of Fuqua or the Medical Center or whatever strategic plan we looked at. I've never even been in a business

² memorandum of understanding

school except to go buy a sandwich at Fuqua because their café is better than ours.

So I do think that this question of balancing, of getting the right level of expertise, so that you can have the right kind of examination is a nontrivial problem in figuring out how to make our examination of what goes on worthwhile. Which is why I'm asking for suggestions. Although you don't have to come up with them here. Thank you

Report on the Graduate School

Haagen: The last item today is a report on the Graduate School from Czarina Jo Rae Wright.

Jo Rae Wright (Dean of the Graduate School: Slides appear as **APPENDIX**): I have to clarify with Peter where a Czarina reports up to, but I'm delighted to be one...



I thank you all for the opportunity to talk with you today and for offering your invitation. Paul asked me to keep my talk to ten minutes, which is a challenge because what I wanted to try and do is convey what the first year as a new dean has been like and what my priorities and objectives have been. But I will be brief and I wanted to leave plenty of time for questions.

So when people ask me what my goal is, it's really quite simple and it sounds trite but it's true: I really want to have the best and the most successful students. I think we have outstanding students but I really do believe that we can do better. And how we define that is a tough question but I have some ideas.

I think the role of the Graduate School really is like a three-legged stool in that we have to provide the resources and support for the faculty to recruit, retain and train students.

And I put it as a three-legged school because what I've discovered in moving from the School of Medicine to being Dean of the Graduate School is that the needs and desires of the faculty and the students vary a great deal depending upon the discipline and I think in terms of what we have to provide in support varies depending upon what the students and faculty needs are.

So when I try to capture how I look at those three things and my objectives in terms of recruiting

the goal that I have is to have a diverse population of graduate students – I feel very strongly that diversity is a critical component of the graduate school – with a quality that is equal to or exceeds that of the undergraduates.

And it think the critical thing there is being selective in the students we take, making sure they are trained so they can be successful and that they are ambitious. I keep saying this word “ambitious” to people because I think students who are not ambitious – they may be great, they may be bright – but without ambition I won't call them successful.

With respect to retention, I think we have an obligation as faculty in the graduate school to provide resources that will enhance student life and success and to prepare them for the next step whether that is a job or a post-doc.

In terms of training, I've been working with the deans of all the schools to try to grow interdisciplinarity and this fits really well with the Strategic Plan as you know. I feel strongly that we train our students in a very narrow way which is part of our job but also I think we also need to make sure our students realize that there is a world out there and that they are part of a bigger picture than just understanding “the role of surfactant in lung host defense,” which is what my students study.

And finally I think students are probably ahead of us in many ways on already figuring out how to communicate in this kind of global and electronic world and we need to catch up and listen to them and they're making their ideas known – to me anyway – about this.

So let me focus specifically on what I've done this year with respect to the first goal of the strategic plan. And as some of you have heard, the strategic plan was written largely by the former dean, Lew Siegel, with some input from me. I totally supported his objectives and this was the first one.

He felt, and I agree, that in order to recruit and retain the best students we had to improve our financial packages. And with respect to that, there were four components: health insurance, stipend support, the special awards that go to the top students, called the James B. Duke Fellowships, and then the summer research awards which support the students of the humanities and social sciences during the summer.

So with respect to health insurance, this is the status. Reported in 2006 and 2007, students were required to buy health insurance on their own, some of them choose to do plans, some of them did not. We gave them stipends from which they could then choose to purchase health insurance. So the problem with this plan was that it creates a tax liability for the students, they were receiving stipend support which they then had to pay tax on and pay their insurance. Some students choose to purchase low quality/low cost health insurance, and we discovered through some rather unfortunate events that some students did

not purchase health insurance in spite of telling the bursar that they had.

So for those reasons we felt this was not a sustainable option. And I should also say that we felt that our other competitors were paying health insurance for their students and in order to be competitive we needed to fix this. So what Lew did for one year was have the Graduate School pay this, and he was able to do that because had accumulated reserves, but I assure you we can't do it forever. And the cost to the graduate school last year was 3.4 million dollars to do this.

So again, some of you have heard me say, strategically Lew did a brilliant thing he did what I viewed was the right thing in terms of what should be done for the graduate students and he left me to figure out how to pay for it.

So the options that we were able to identify: That the Graduate School continue to pay. We could not afford do that. Or, return to the old system, which I thought disadvantaged the students. And the value of being the Dean of the Graduate school is I have only the graduate students' best interest at heart. I have no other agenda than the students so I can say this is disadvantaging the students even though it may cost the institution money and may cost you a little bit of money, it is in the best interest of the students not to do it this way.

We could have chosen to charge directly to grants, those students who were paid on grants, the health insurance, but that would have incurred a loss in indirect costs, which is money. And then the fourth option which we chose was to establish a fringe rate.

So what we have now is a proposal in front of the Department of Health and Human Services for a fringe rate of 5-6% of the financial support package. I expect we'll hear about that pretty soon, whether they approve it. Eligible students will be those who are enrolled in years 1-6 full time. And we will still be subsidizing the graduate school at a substantial rate of 1.7 million a year to provide this support for the students.

So I won't say anything more about the James B. Duke fellowship or the summer research awards that are on our website in the strategic plan and we have increased those substantially in terms of the numbers. Again, we hope that it will help our competitiveness for the top students.

So let me tell you what we're doing with the stipend. I think you all know this but I wanted to make sure – that the stipends in all the divisions in the Graduate School have been increased by the amount shown on the slide which varies from about \$1000 to about \$1800. So what Dean Siegel found, from research that he did when he was writing the Strategic Plan, is that we were failing in terms of being competitive with our peers.

As you can see on the slide that in the humanities and social sciences, we were down around 7 out of

11. Natural sciences, engineering and Nicholas School 7 out of 9, and in the School of Medicine, biomedical sciences, 9 out of 12. So I wanted to be sure that you realize that these changes, which are quite expensive, are with the intent of making us more competitive – but it still only puts our support packages in the median of our competitors.

We've projected increases of three or four percent per year kind of cost of living, but we still have a long way to go to be in that top tier in terms of competitive financial packages. I think one of the challenges for the Graduate School, which I throw back to you, is what do you want? Do you want more students who are not as competitive? Or do you want better support packages and better students? And my goal is better students, but I will listen to the faculty as well.

So what's this all going to cost us? This is what I call the all-funds increase which accounts for the stipends, the health insurance, and also the summer fellowships and James B. Duke and you can see going across, it starts at about \$2 million, up to \$3 million in 2012 for a total cost of \$15 million.

So how do we pay for this? I keep hoping someone may appear to give me a money printing machine, but that hasn't happened yet so..

Let me tell you how graduate students are supported because I think its critical that everyone understands that in order for this discussion to make sense.

There are three major categories of support. There's graduate awards, and those are made in the form of scholarships for tuition and/or fees, we recycle any real tuition that we get, primarily from training grants back through the Graduate School to support graduate students and to pay for stipends.

We get money from other university funds, teaching and research assistantships, some students are supported by discretionary funds in departments, and we have endowed funds, which we dipped into this year, because we needed to with this large deficit.

So having said that, one of the major revenue sources is real tuition generated on training grants. And I wanted to share these data with you which I just asked Valerie to calculate for me. This shows the change in funded training grant position. This is only the School of Medicine because that was easy for us to capture, possible for us to capture. And what you see is that we've gone from 93 funded positions in 2003 to about 53 in 2000, halfway between 2006 and 2007. Now this doesn't show the two grants that have added training-grant slots and those are to the tune of about 7 or 8. But still the net loss at least in this category is about \$1.5 million and that's because there's also stipend support and tuition that comes to the Graduate School that we recycle back for more stipends.

So this appears to be a national trend, I don't know yet if Duke is doing better or worse. My sense

from talking to other deans is that some of them haven't calculated this but some of them are thinking about it. And I will know more after the next couple of deans meetings that I attend.

But this is part of the challenge that we face in the Graduate School which those of you who have research grants from NIH or NSF are facing as well: funding is being cut and it's across the board. So with that rather desperate news, how do we fund the strategic plan? So we can increase charges to research grants, that would mean charging research grants higher fees [which would affect] those in the sciences. Most faculty, including me as a PI, don't find that very appealing, but that certainly is a possibility.

We can ask the schools to increase their contribution, and I think this is frankly an inevitable direction we have to go. And again, I think as an institution we have to decide: How big a Graduate School do you want to have? I believe that graduate students are critical in recruiting and retaining excellent faculty. Excellent faculty are critical in training excellent undergraduates, who are critical in recruiting excellent faculty who are critical for graduate students. So I think we have to have a hard discussion about how important the graduate school is and how big the graduate school should be and how competitive we want to be for our students. Because I believe if we don't have a strong graduate school and strong graduate students, the faculty quality, research, and teaching will all suffer. So that was my bully pulpit moment. Thank you.

Other options of course are to cut other programs, decrease total numbers of students in order to increase the support packages. The Provost has provided step money to support this transition until we can figure how to pay in other ways. And of course step funds? or strategic initiative funds, are one time funds, about \$7.5 million, and we're projecting how to do that. I've taken on the role of raising funds through endowment in the development. And I just landed my first deal through a private donor in Taiwan who is supporting approximately 2.5 students a year in the sciences and engineering disciplines. That is great news.

So let me just end by saying what my priorities have been for the first year and what I'm looking forward to next year. So I told you about health insurance and stipends. I've worked on development fundraising and discovered that it's a lot harder than I thought it would be, but it's more fun than I thought it would be, so that's the good news.

I've charged a task force along with Larry Moneta to look at what needs our graduate students have in terms of professional development. That is, is there career counseling that we should be providing students which we are not.

What I'm actually hearing from the students and I don't know how you all feel about this is what they are telling me is what they need is input from their

faculty, from their department. And some departments, they're simply not getting that. So I think the challenge is figuring out what should be departmental and what should be graduate school or institutional.

I've also charged task force to look on child-birth/adoption accommodation policy. Again, this is one of those things that will cost money to do. But I feel strongly that if we don't provide women with the mechanism to continue their graduate career with support, remaining enrolled as students with the benefits, we're not going to be able to keep women in the pipeline in finishing their PhDs.

Stanford has initiated a policy, I've just learned from the Dean at UNC they're ready to roll out a policy, and even though this will be an expense to the graduate school, I feel strongly that this is something that we need to do.

I've also been chairing a task force on Graduate School Finance which was the request of Peter Lange. My priorities for the coming year are to focus on recruiting programs targeted toward underrepresented minorities. We have a couple of programs, mostly in sciences. One funded by Mellon, one funded by NIH, in which the funding will be ending, and we need to figure out how to continue these programs because I think they've been very successful.

Been working with graduate student affairs and Jackie Looney on continuing planning for the Graduate Student Center. I think most of you got some horrific form you had to fill out for the NRC rankings and if you did so, I thank you from the bottom of my heart because it mattered. Those are almost finished.

Continuing Development efforts, working with schools and their strategic plans. Trying to facilitate this interdisciplinary graduate student training that is embedded in all the schools' strategic plans. And the last thing that I wanted to mention to you is that in my meetings with the DGSs this year – I meet with the DGS of every department – it became clear to me that some departments have provided a great deal of support for TA training and others provide relatively little. And the needs of different departments vary. So what I asked David Bell and Doug James to do this summer is a small research program in which we'll be querying departments about what they're doing, what needs to be done, and what if anything should be provided institutionally by the Graduate School.

I don't want to reinvent what you're doing, if you don't need to do anything that's fine, you've got plenty to do. But I think just finding out what's going on and making sure that everyone knows will help because I think there's some duplication of effort and we may be able to leverage some of the things that the different departments are doing together.

So that's all I wanted to say. I could talk more, of course, but I just wanted to end and give you all the opportunity to ask me questions while there's still time. Thank you for the opportunity to be here.

Questions

Prasad Kasibhatla (Nicholas): Some of us who write grants have increasingly asked for postdocs rather than grad students. I was wondering if you had comments about that?

Wright: I think you have to be really careful when you are comparing the cost of graduate students to the cost of post docs, because a lot of people say when they talk about post docs they only think about salary. But in fact you have to pay fringe on post docs too. It's about \$10-12,000 more expensive to have a post doc than a graduate student. So people tell me they cost the same – they don't.

I have two answers, one is more philosophical than the other. I mean this is a university. We are here to educate people. And I really believe that having outstanding graduate students is critical to getting outstanding faculty. And if we aren't willing to make that commitment as an institution then we're in the wrong business. I mean graduate student training is critical I think.

Having said that I do think they do cost money and they are less productive in the beginning than a post doc may be, but I believe from my personal experience and what I've seen, the creativity and the value of the graduate student, is huge. It takes a while for them to ramp up, but I do think that they are a real good value-added. Finally, when people say the graduate students are expensive when we look at peer institutions, our students are not as expensive as [they are for] many of our competitors. So I don't think that we're on an un-level playing field. I understand your point.

Helen Ladd: Could you tell us how many students are now in the graduate school or entering each year or however you want to answer it and what your aspirations are in terms of the number given your other priorities for quality as well?

Wright: We have about 2500 graduate students plus or minus a couple hundred. I just got the admissions data today. We have 400 graduate students who have accepted and that will creep up again a little bit.

I think that what the right size of the graduate school is, is a very difficult question and highly dependent on the individual schools. So that's the dialogue I have with the deans with their schools every year. And I think it depends on the agenda of the school, the strategic plan for faculty growth, the quality of the students and whether the faculty are training graduate students. So I would guess we're not that far off from what is probably a reasonable target and what our competitors' student-faculty ratios are. But I have to say in spite of the fact people complain about the cost of the graduate students, there's not a single person who has told me they don't want more students. So every budget meeting I have and every plea I get is for more students. So...

John Aldrich (Political Science): I fully agree the correlation of strong faculty and students. Perhaps we should look at coordinated development in fundraising, both for faculty and graduate students...

Wright: So my big priority for the next year is this financial issue, but then second in terms of priorities is development and third working with alumni affairs to get our graduate school data base in order. And they have already started that. They have been very cooperative and very proactive and are reaching out to the graduate students.

So I think by interacting with the development office and alumni affairs I hope I can bring that together. This year has been a steep learning curve with development. But what I hope to do next year is have more of a strategy with the deans and departments so that instead of things happening kind of ad hoc we will have a plan. And I would be happy to do that. I think actually our students are probably our best sales people. And if we have the opportunity to get students in front of donors I think that would be a big help.

John Staddon (ECAC/Psychology & Neuroscience): Thank you for a very nice report. In the sciences – indeed in most areas – we train graduate students with the expectation that they will go into research. Therefore the research job market is very important. Have you looked into the kinds of jobs that students are actually getting as compared to the kinds of jobs we hope they would have?

Wright: Yes, when I met with each of the DGSS in our 80-some departments and programs they are asked to provide that information, not just sciences, but everything. And my sense is that faculty are now coming around to figuring out what the students figured out awhile ago: which is that they have to be looking at opportunities that include academics, but are not limited to academics.

Right now in the sciences as a whole (these are imprecise numbers) my impression is about half of the students are going toward an academic track and half are going to a non-academic track. And that's just for biological sciences. And that's why I think we have to be careful. We train people in research and that's the job – the faculty's job not the graduate school's job – but we have to make sure that in additional training they get guidance and preparation in how to find the job that they are best suited for and the opportunities that exist. So I think the days of all the graduate students going out and becoming us are over.

Staddon: I want to be clear that you would not infer from these data that perhaps we should admit fewer students?

Wright: No. Personally I would not, because I think that there are many ways that people who are trained in research can be productive and contribute to society. And I would say that when our students aren't able to get jobs in which they can be successful, that are productive and contribute to society, then

we're training too many people. I haven't seen that yet.

John York (Pharmacology): One of the things I recall a couple of years back is that Sue Lindquist ran a study for the National Academy to ascertain whether we were training too many students or not. The conclusion was that we were training too many graduate students, and as a result a number of foundations that support training grants actually chose to reduce the number of slots – based on that study. So, as a faculty member who wants to keep quality of students extremely high, how do you balance that with the current initiative to try to grow programs or to sustain a program?

Wright: I do of course know about that study and I do have to say that I think one of ways in which the study was formulated and evaluated had to do with how long students were going into post docs and staying there. I'm not sure that's a pipeline issue as much as a flaw in what existed in many schools with respect to postdoctoral commitments and training.

As I think most of you know, Duke has a policy that is about ready to be rolled out that will limit and define what post docs should do. So, I still don't know of any data or stats that say we're training too many students for the entire job market.

Clearly, if we're only taking students who have an objective of going into academics we probably are at the moment training too many students. You know, the baby boomers like me are all going to eventually retire and there will be a dip in the number of academic positions and an increase in the number that are open. I don't see ...that the market drives a large increase in our graduate population.

Chris Counter (Pharmacology & Cancer Biology/ECAC): One of the things I hope is that there will be some honest discussions about these pressing issues: PIs are being forced to cover more salaries and our grants are drying up.

And one thing that I've come across is a desire to fill your slots, because if you don't fill your slots for students you lose that slot. Might there be some discussion about flexibility of being able to carry slots over to the next year or may decide to take a slot and use that to subsidize more students or higher, or longer-duration, salaries?

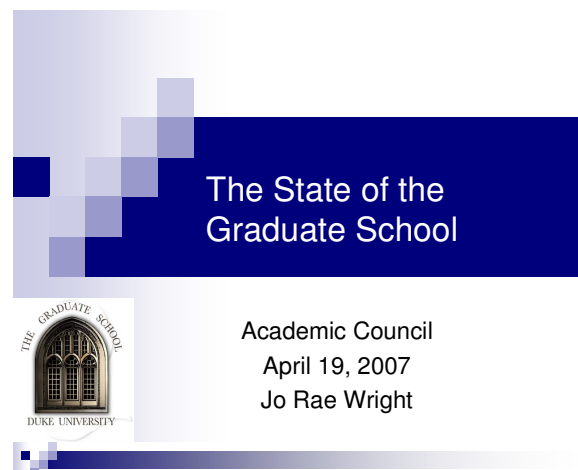
Wright: To be clear, what Chris just said applies only to departments in the biomedical sciences. There's no reason you would know, but Arts and Sciences has a totally different funding model in which they can carry over and bank money. So I should say that one of my objectives this summer will be to come up with potential strategies for funding models and have dialogues with deans and departments to see how this might be done.

Haagen: There being no further business before this Council, I declare the meeting adjourned.

Respectfully submitted,

John Staddon
Faculty Secretary, May 1, 2007

APPENDIX



My major goal:

THE BEST AND MOST SUCCESSFUL STUDENTS

Recruit

Train

Retain

THE BEST AND MOST SUCCESSFUL STUDENTS

- Recruiting –
Goal: Diverse population of graduate students; quality equal or exceeding that of the undergrads (selectivity, successful, ambitious).
- Retention-
Goal: enhance student life/success and career opportunities.
- Training-
Goal: Grow interdisciplinarity, global perspective, prepare for teaching and communicating in a flat/electronic world.

Strategic Plan- Major Goals

- Goal 1: Recruit and retain the most talented and ambitious graduate students.
 Improve financial support packages:
 - *Health insurance
 - *Stipends
 - *James B. Duke Fellowships
 - *Summer research awards

Health Insurance

Before 2006-07: Students were responsible for paying health insurance premium. Stipends paid by graduate school (fellowship/TA) or research grants (RA).

Disadvantages:

- Tax liability to student (international students hit the hardest).
- Some students chose to purchase low quality/low cost insurance.
- Some students did not purchase health insurance.

Health Insurance - continued

Proposal

- ~5-6% fringe – proposed/pending
- Eligible students are those enrolled full time in years 1-6.
- Under discussion with DHHS
- Graduate school will still subsidizes health insurance premium (~\$ 1.7M).

Strategic Plan- Major Goals

- Goal 1: Recruit and retain the most talented and ambitious graduate students

Improve financial support packages

Health insurance

Stipends

James B. Duke Fellowships

Summer research awards

Strategic Plan Funding Expense Stipend Increases

Increase stipends to median of our peer group:

Humanities and Social Sciences- Increase by \$1800 to \$18,250.

Duke was 7th out of 11 peer institutions

Natural Sciences, Engineering, & Nicolas Programs increase by \$1200 to \$23,200.

Duke was 7th out of 9 peer institutions

Biomedical Sciences, increase by \$1000 to \$25,000.

Duke we 9th out of 12 peer institutions

Strategic Plan Funding Expense All Funds Increases

07-08	08-09	09-10	10-11	11-12	12-13
\$1.917M	\$2.144M	\$2.362M	\$2.705M	\$2.904M	\$3.106M

Total cost ~\$15M

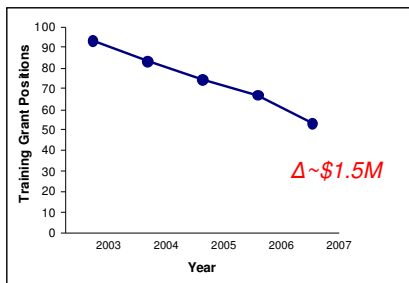
How do we pay for this?



HOW GRADUATE STUDENTS ARE SUPPORTED

- Graduate Awards
 - Scholarships for tuition and/or fees
 - Recycled "real" tuition/fee revenue from external or university sources to form stipends
- Other University funds
 - Teaching and research assistantships
 - Discretionary funds in departments
- Endowed funds

Change in Training Grant Supported Positions



How do we fund the strategic plan?

- ☐ Increased Charges to Research Grants?
- ☐ Increased Contribution from Schools?
- ☐ Cut other Programs?
- ☐ Decrease numbers of Ph.D. students
- ☐ Strategic Initiative Funds – these are one time funds, not on-going.
- ☐ Raise Endowment

FEDERAL SUPPORT IS DWINDLING!

My priorities – first year

- Define mechanism to fund [health insurance](#)
- Develop mechanism for increasing [stipends](#) according to strategic plan
- Focus on [Development/Fund raising](#)
- Charged a task force (jointly with Larry Moneta)- what needs are not being met (if any) for [Professional Development](#) of Graduate Students
- Charge a task force on [childbirth/adoption accommodation policy](#).
- Chair Task Force on Graduate School [Finances](#) (charged by Provost Lange).

My priorities – coming year

- Focus on recruiting programs targeted to [under represented minorities](#).
- Continue planning for [Graduate Student Center](#).
- Complete [NRC rankings](#).
- Expand [Development](#) efforts.
- Work with schools to implement their [strategic](#) plans.
- Focus on [Interdisciplinary Graduate Student](#) training.
- Evaluate [TA training](#) in departments/programs.