

Duke University

DURHAM
NORTH CAROLINA
27708-0928

ACADEMIC COUNCIL
304 UNION WEST
BOX 90928

phone (919) 684-6447
e-mail acouncil@acpub.duke.edu
fax (919) 681-8606

Minutes of the Regular Meeting of the Academic Council

Thursday, September 23, 2004, 3:34-5:05 PM

Nancy Allen (Medicine), Chair of the Council welcomed everyone to first meeting of the Academic Council for the 2004-05 year. "Our first order of business is to approve the minutes of the last two meetings of the Spring (April 22 and May 6). These minutes were prepared by our faculty secretary at the time, Don Fluke, and we're very grateful for them. I reread them this week and he did a beautiful job." The minutes for the previous two meetings were approved as written, without dissent. Nancy also welcomed the returning faculty secretary, John Staddon (Psychological and Brain Sciences), back from sabbatical in England.

Announcements

Nancy Allen: "Congratulations are in order to President Richard Brodhead on his recent marriage to Duke University in the form of an Inauguration. For those of you who were there, that was the way he presented this event. It was a wonderful occasion for renewal of spirit and love for Duke University. Our deepest appreciation also goes to University Marshal Dick White, to Debra Cash in his office who is sitting here in the front row, to Vice President and University Secretary Allison Haltom and her team, whose genius and organizational skills are the brains behind us being able to pull off such glorious events, and to Terry Chambliss of Special Events who did an amazing job with all the dinners, luncheons, breakfasts, receptions and so on. I don't know how many of these folks are still standing. Thanks to all faculty members who participated in the Inauguration events: the academic panels, Elizabeth Kiss's talk and faculty luncheon, the various social events, and most importantly, the formal procession and Saturday's Inauguration. Even though the remnants of hurricane Ivan threatened to spoil the festivities, our gathering in the Chapel was impressive and symbolic. More faculty members dressed in regalia than I've ever seen at any Duke event, probably Founders' Day, Commencement and others all together. Now that the wedding is over, we're hopeful that the honeymoon lasts a long time.

"ECAC has selected Fritz Mayer (Public Policy Studies) as the Academic Council vice-chair for this academic year. And he made me promise that I wouldn't become ill or indisposed.

"We appreciate the several responses we have received in the Academic Council office in response to the letter ECAC sent to Council members earlier this month soliciting future agenda items. We will welcome suggestions at any time, and will discuss the issues that came up for future presentations.

"Since our last Council meeting, Dr. Cathy Gilliss has been named Dean of the School of Nursing and Vice Chancellor for Nursing Affairs. We look forward to welcoming her to a Council meeting later in the Fall, since her official start date is November 1.

"Also, in November we will hear from Dr. Victor Dzau, the new Chancellor for Health Affairs and CEO of the Duke University Health System.

"Today we will have the new Dean of Arts and Sciences, Dr. George McLendon in attendance... As most of you know, Dean McLendon came to Duke from Princeton University, where he chaired the Department of Chemistry. All school deans receive agendas and are welcome to attend any of our Council meetings. I believe I see Bill Schlesinger here.

"Since this is the first Academic Council meeting for the year and some of you are relatively new to the Council, I wanted to mention some of the active committees of the Council or chaired by faculty. We deeply appreciate those of you and your colleagues who participate in service to the entire community in this way. I'll list just a number of the University and Academic Council committees, the name of the chair for this year and a brief charge to the committee, so if you think of issues that might be appropriate for one of those you could contact the chair directly.

"The University Priorities Committee reports to the President — Jim Cox from School of Law chairs this committee. The charge is to assess university and academic priorities, ensuring that the University's annual and long-term budgets reflect those priorities, and that committee makes recommendations to the President.

"Academic Programs Committee reports to the Provost and we will actually hear from Tim Strauman today from Psychology: Social and Health Sciences today. That committee advises the Provost on university-wide academic issues such as creating or changing academic programs and units, examining results of external departmental reviews, and looks at issues of strategic planning.

"The Appointment Promotion and Tenure reports to the Provost and we actually will be hearing from the Provost today for the Annual Report. David Hsieh from Fuqua is chair of that committee and he is with us this afternoon. That committee makes recommendations to the Provost for all external and internal candidates for tenure and candidates for promotion to full rank except in the Law School and the clinical division of the Medical School. They have their own committees.

"The Committee on Facilities and Environment reports to the President. Jeff Dawson of Immunology is chair. That committee reviews all projects destined for consideration by the Trustees' Building and Grounds Committee. Tallman Trask is quite involved in that committee as well.

"Of Academic Council Committees, our Executive Committee meets weekly during the academic year, including monthly meeting with the President, Provost, Executive Vice-President. We have periodic meetings with the Chancellor for Health Affairs, and various deans and committee chairs. We meet several times each year with the Executive Committee of the Board of Trustees and discuss and work with ongoing topics of interest to both groups. And our committee serves as the Committee on Committees for the Council and the University faculty.

"Our Elections Committee is chaired by Bill Reppy of Law and supervises the election of members of the Academic Council...

"The Faculty Commons Committee, which was important last year, is chaired Emily Klein from the Nicholas School and monitors and promotes the use the Faculty Commons by the academic community. And I will just say that the improvements in the Faculty Commons last year both increased revenues and increased the satisfaction of the Faculty. Faculty may take their graduate students and students to the Commons for lunch and it's a very nice place to go if you do indeed have a lunch time. I even see some of my medical center colleagues there occasionally.

"The Student Affairs Committee: This was a new committee that started up in the spring of last year chaired by Prasad Kasibhatla of the Nicholas School. It provides advice and guid-

ance to the Vice President for Student Affairs and reports to the Academic Council and ECAC on issues pertaining to student affairs that warrant faculty attention. The committee also serves to provide faculty opinion to the administration during the planning stages of important student affairs initiatives.

"The Trustee Nominating Committee is chaired by Dale Purves, Neurobiology. I think every faculty member gets a letter from that committee each year soliciting names for recommendation potentially for membership on the Board of Trustees.

"The Faculty Compensation Committee is chaired by Michael Lavine from the Institute for Statistics and Decision Sciences. That committee monitors faculty compensation, studies issues relating to faculty salaries and benefits and advises the administration in this area.

"The Faculty Hearing Committee, which we will discuss briefly today and elect the new members of that committee, is chaired by Bob Mosteller in Law. This functions as defined in Appendices C and M, referring to Academic Freedom and Tenure and Ombudsman and the Faculty Hearing Committee of the Faculty Handbook.

"Faculty Scholars Committee: We will hear from that committee as well today. Ben Ward from Philosophy chairs this happy committee. Their job is to select candidates to nominate to the council for endowed scholarships to our deserving students.

"In addition, there are many other university-wide committees for which ECAC recommends faculty, including standing committees, review committees and search committees. Currently Paul Haagen in Law is chairing a committee to review Dean Breeden in Fuqua, and the regular process is outlined in the Faculty Handbook. Ongoing search committees include the Librarian Search and the Search for the next University Minister and Dean of the Chapel.

"And I will now, formally welcome Dean George McLendon, who is Dean of Arts and Sciences, who just walked in."

Earned Degrees

The following earned degrees were approved by voice vote.

DIPLOMAS DATED SEPTEMBER 1, 2004

Summary by Schools and College

Trinity College of Arts and Sciences

Dean Robert J. Thompson, Jr.

Bachelor of Arts 48

Bachelor of Science 16

Pratt School of Engineering

Dean Kristina M. Johnson

Bachelor of Science in Engineering 8

Master of Engineering Management 3

School of Nursing

Dean Mary T. Champagne

Master of Science in Nursing 8

Nicholas School of the Environment and Earth Sciences	
Dean William H. Schlesinger	
Master of Environmental Management	3
Master of Forestry	--
Fuqua School of Business	
Dean Douglas T. Breeden	
Master of Business Administration	108
Divinity School	
Dean L. Gregory Jones	
Master in Church Ministries	1
Master of Theological Studies	5
Master of Divinity	11
Master of Theology	2
School of Law	
Dean Katharine T. Bartlett	
Master of Legal Studies	1
Juris Doctor	4
Master of Laws	1
School of Medicine	
Dean R. Sanders Williams	
Master of Health Sciences in Clinical Research	7
Doctor of Medicine	1
The Graduate School	
Dean Lewis M. Siegel	
Master of Public Policy	2
Master of Arts in Teaching	9
Master of Science	18
Master of Arts	32
Doctor of Philosophy	61
TOTAL	349

Faculty Hearing Committee

Election of the Faculty Hearing Committee is an annual event. We have people who stay on this committee for multiple years, but we need to approve the list every year. The list of members of this committee with continuing and proposed new members had been circulated to Council members.

FACULTY HEARING COMMITTEE (2004-2005)

<i>Continuing Members:</i>	<i>Until:</i>
Trina Jones (Law)	05
Carol Meyers (Religion)	05
Christopher Schroeder (Law)	05
Peter Wood (History)	05
Lawrence Carin (Electrical & Computer Engineering)	06
Sally Kornbluth (Cancer Biology)	06
Christina Williams (Psychological & Brain Sciences)	06
<i>Proposed New Members:</i>	
Thomas Bashore (Medicine)	07
Garnett Kelsoe (Immunology)	07
Pete Kyle (Fuqua)	07
Robert Mosteller (Law), (Chair)	07
Laura Underkuffler (Law)	06

The proposed committee memberships were approved by voice vote, without dissent.

Question for the Provost

It is a custom that the Academic Council stands ready to receive questions from the faculty for senior administrators. These questions are posed anonymously and an answer is requested for the next Council meeting. The following somewhat ambiguous question concerned iPods¹.

Nancy Allen reminded the Council that all freshmen at Duke received one of these devices this year. She called on Provost Lange to help us understand this.

THE QUESTION

The plan to distribute iPods to freshmen and then evaluate after a year sounds like an experiment. The Duke Dialogue (July 30) quotes Tracy Futhey as saying "We're approaching this as an experiment ..."

My question is "Is this an experiment with human subjects? If not, why not; what distinguishes it from an experiment, or what distinguishes its subjects from humans? If so, has it passed the IRB? Did you get informed consent?"

Provost Lange: "I'm more than pleased to answer this question, although I must say that I'm not exactly sure of the spirit in which to take it. There are two possibilities. One is that we are being tweaked, in a most delicate manner, and the other, that the questioner is not entirely clear (and perhaps we were not either) on the way we used the term 'experiment', or with our IRB procedures. I'm happy to be tweaked but I will also take the question seriously. Let me say the following.

¹ A small portable hard-disk device from the Apple Corporation, capable of storing several gigabytes of sound track, with minimal visual display and lacking a keypad — but immensely popular with young music-lovers.

"First of all, the word experiment here is being used in a somewhat loose manner, by me. It is meant in the sense of pilot program, not in the sense of experiment as we might use it in the Medical Center. Second, even were it such an experiment, I have been informed by the staff person who is in charge of the IRB on the campus side, that we are not required to seek IRB approval for experiments with human subjects... As I was told, no approval is needed, but if the information goes outside the university such as in a publication, then it would need to be approved. Furthermore, since at the time the inquiry was made, we had not yet devised any human subject interventions — unless you think offering the iPods to undergraduates is itself intervention... There was really no experiment to take to an IRB, so therefore we have a pilot for which there was no experiment about which we were asked to submit to an IRB process, to which it is not relevant.

"That said, we do now have an evaluation plan, and I want to address that part of the question. CIT, the Center for Instructional Technology will be undertaking an evaluation of the pilot program (we're never going to use the word experiment again!). During the course of this year, they will be looking at 3 aspects of the program, in relation to its teaching and learning contributions.

"The first will be the feasibility of using the iPod and digital and audio content to support teaching and learning at Duke. I'll say a little bit more about each in a minute.

"The second, to look at the impact of the iPod in improving the logistics of course delivery.

"And the third, looking at the iPod in terms of enhancing student learning outcomes. This third is by far the most difficult....

"With respect to the feasibility of using iPods to support teaching and learning, the two key questions are: What successful infrastructure and processes have been developed and implemented during the year to support the use of the iPod in teaching and learning situations? And what technical and logistical barriers did faculty, staff, and students encounter in implementing iPod use?

"With regard to improving the logistics of course delivery, the two key questions will be, Has course delivery been made easier or more efficient through the implementation of iPods in courses? And how have models of course delivery changed or evolved at Duke, as a result of iPod implementation?

"As you'll note with respect to the first two questions, there's really no need even to involve students directly, other than as pure information providers about what happened in their classes, which we also will be able to get from a number of other sources.

"The third, third set of questions has to do with enhancing student learning outcomes. The key questions here will be: What impact did wide availability of iPods have on student and faculty innovations in teaching and learning? ... What impact did individual faculty projects have on student learning? What outcomes have students reported as a result of using iPods to support learning both in their courses and in more informal learning settings? What unanticipated benefits or negative side effects or other projects were identified by students and faculty?

"So, we will be pursuing those questions and CIT will be pursuing those questions over the year, and at the end of the year, we will look and see whether we think such a pilot program was a worthwhile idea or not."

The Provost entertained questions:

Questions

Margie McElroy (Economics): "I have a comment. First, I think it's the probably the cheapest, best publicity Duke ever got."

Provost Lange: "Thank you."

Margie McElroy: "Secondly, I heard there are also some anticipated problems that get examined. Namely people are all wondering about who is sitting in class listening to who knows what."

Provost Lange: "Which they could do before..." (Laughter)

Nancy Allen: "Thank you Peter. I think the other free publicity this year was Coach K's attempts to be lured away."

Academic Programs Committee

"Next we have Tim Strauman, chair of Academic Programs Committee to speak to us for a few minutes about their agenda topics for this year. This is the second academic year in which this committee has been active. It is the second iteration of the previous Academic Priorities Committee and when we set up this committee and the Council voted on it we had asked for an annual report from the Academic Programs Committee at the end of the year. Tim submitted a written report in May. He was unable to be here. It was a very thorough report and review of the activities and kind of critique of the committee as it functioned last year. So, we're happy today to have Tim with us to give us a preview for this year."

Tim Strauman (Psychology: Social and Health Sciences): "Thank you. I do want to apologize for not having been here in the spring and would happy to answer any questions that you might have about our review of how the first year went. I happen to have spent a year on the previous incarnation of this committee and personally (I can't speak for all the committee members) I appreciate the way the committee was given a more specialized and well-defined mandate, so that our responsibility is really academic programs pure and simple — how plans of different kinds of agendas that the administration might have...could impact solely on the academic aspects. This has been a lot easier for us."

"So, I appreciate the clarification and I feel good overall about the progress that we made in implementing that. Last year we reviewed 6 different programs which were: BAA, Art and Art History, Biomedical Engineering, Philosophy, Computer Science, and Neurobiology. Computer Science and Neurobiology are just being finished up now. We just voted on a resolution on Computer Science yesterday and will do so for Neurobiology shortly. I hope this isn't news to any of you from any of these departments. If it is we need to talk. [We plan to review] Earth and Ocean Sciences, English, Slavic Languages and Literature, Asian and African Languages and Literature, Civil and Environmental Engineering, Biology, Center for Instructional Technology and Perkins Library as well."

Really the meat of what we do is to work with the individual departments as part of the evaluation process. We also have the opportunity to weigh in on proposals for academic programs. So, for example, last year there was a proposal, that I think actually came through Academic Council, for a joint masters program at Fuqua and another university. [Evaluating this] is an example of the other kind of work that we would do. We also this year will be entertaining proposals for new Ph.D. programs in at least 3 areas, one of which is in Nursing which we reviewed yesterday, and the other 2 are Medical Physics and Public Policy Studies."

"And finally we have been working with Peter and other administrators to discuss the status of interdisciplinary programs around campus and contributing, I think effectively, to putting together more of a master plan of how those programs work, how they relate to established

administrative units like departments, who pays for them, how they are evaluated, and so on. It's nice to be in on those more emerging processes as well as have the opportunity to work with our colleagues in specific departments to participate in the evaluation process.

"So that's what's on our agenda. Given the number of meetings that we have, what I actually described will keep us quite busy. But things do come up so we're certainly open to input from anybody in terms of items that an academic programs committee should be considering. If you have questions or would like elaboration fire away."

Earl Dowell (Engineering): "Could you clarify for us how your review of these programs correlates or interacts with review that is undertaken by the dean of the Graduate School?"

Strauman: "There is a sequence of events basically...After the external review committee visits and makes its report, the department responds to the report. At that point the entire package of information goes to the Executive Committee of the Graduate Faculty who then evaluate it. We're the next step in that process. So our particular committee meets with the department chair, reads the information and makes a set of recommendations in the form of a resolution. We send it on the Provost and things go on from there, culminating in a *memorandum of understanding*."

Dowell: "The dean of the Graduate School is still in charge of orchestrating the review and basically...the process?"

Strauman: "Right."

Dowell: "You mentioned the MOU. It sometimes includes commitment of resources to implement whatever recommendations have been agreed to among the parties (the chair of the department, the dean and provost, etc.) Does your committee review that MOU per se, including the commitment of resources, or is that done by the University Priorities Committee?"

Strauman: "We don't review the MOU. We make a resolution recommending (in cases where we think it's appropriate) the kinds of resources that might be dedicated to a particular department. We have not actually, at least in the past year, been in the business of recommending specific amounts of money or numbers of faculty members. What we'll do is say, 'This appears to be an area where it's important to grow, this appears to be a department that has serious base constraints,' and so on. But we don't review the MOU."

Nancy Allen: "Tim, one of the recommendations that you had in your memo last spring that had been part of the original change from the old APC to the new APC was clustering of reviews within a division, so that your committee could look more carefully at how relationships occurred and so on. Could you just say a few words about that and maybe Peter would like to chime in?"

Strauman: "I can say what I know about it, which is at this point the reviews come in in a chronological order, which I understand is just basically historically determined: it's been X number of years since your unit was reviewed...There's already been some discussion of reviewing clusters of [related] departments...to get a broader picture of how we're doing in particular areas and to identify more readily areas where departments have needs that are compatible or [in line with] our plans for growth. [This can] be done in a more systematic way. For that to happen I think at some point we'll have to start taking departments out of order... I don't know that there are any specific plans yet for that, but I think it's a good idea. I think that the committee supports it."

Lew Siegel (Dean of the Graduate School): The reviews are actually conducted through my title as vice provost, in the office of the provost. That's why units that don't have graduate programs, like the library, are nevertheless reviewed through my office. It's simply a matter of

convenience. [given] that the Associate Dean of the Graduate School has the knowledge for how to arrange these things...

The second point is that the process has the Academic Programs Committee as the major recipient of faculty advice to the Provost.... The Executive Committee of the Graduate Faculty, another faculty elected body, has the right to look at the reviews of those units within its purview. They do not look at any units does not have a graduate program. Most of the times actually they follow the APC, but sometimes APC is slow and they do it early. But we would certainly encourage [overview], and I've done that for years if individual school bodies of appropriate faculty representatives would look at [their] own schools and advise the deans of those schools as appropriate."

Earl Dowell: "So the Arts and Sciences Council, for example, could review departments?"

Lew Siegel: "They could, but they don't."

Nancy Allen: "Thank you Tim. Our next agenda item is one of the happiest things that we do. I'll call on Professor Ben Ward from Philosophy to give a report from the Faculty Scholar Award Committee."

Faculty Scholars

Ben Ward (Philosophy): "Thank you very much Nancy. You have received a copy of the report so I won't bother going over that here, except to thank very strongly the directors of undergraduate studies and the various chairs who submit nominations on a very, very quick schedule this year. We were concerned to accommodate two events, the Presidential Inauguration, which was last weekend, and also the upcoming Founders' Day, which is a week from today. We wanted to be able to print the names of the recipients of the award in the Founders' Day program and not interfere with the ability of both faculty and students who participate as fully as possible in the Inauguration activities. So, that is what led us to do things about a week earlier. I realize that was not an ideal situation, but I was actually quite thrilled to learn that we actually received more nominations this year than we did last year. Maybe next year we'll do it even a week earlier and get even more. But, it's not the number of nominations, it's the quality. And it really is a special pleasure for me and members of my committee to do this every year. We get to meet students who we would probably not run across ever given our traffic patterns and so forth. And we learn so much about this university and the potential that it has in the way in which faculty have done so much to inspire our truly remarkable students. So, I want to thank you for your role as faculty members as well as the chairs and directors of undergraduate study for actually submitting the dossiers. And to thank and congratulate our student winners. Three of whom are with us today. I'd like to have them stand: ."

As Ward was speaking the fourth winner, Courtney Kraus from Psychology Program in Neuroscience, tripped upon the scene, accompanied by some merriment from the Council.

Ward: "We interviewed I believe 10 candidates and theses 4 young women were absolutely the top in every respect. So would you join me in offering them a round of applause. (Clapping). I won't ask them to speak, but if you have any questions..."

Steve Baldwin (Chemistry): "Does this mean Girls Rule?" (Laughing)

Ward: "This is the first time that all of our winners have been women. It's a wonderful development. We didn't set out to do that, but the best just rose to the top. Thank you very much." (general applause)

Nancy Allen: "That was refreshing. We do need to vote to accept Professor Ward's report. Moved and seconded and approved. That was wonderful. I happened upon the office on

Saturday morning, September 11 when Ben's committee was interviewing the students and I met a couple of them then and they are really remarkable young people. Historically a number of our faculty scholars have gone on to receive other wonderful awards and scholarships to do good things for the future. I'm very proud of them. Now I'll call on Professor and Provost Peter Lange to give the APT report, the annual report for this year."

Appointments, Promotion and Tenure Committee Report

Provost Lange: "Thank you Nancy... I too want to thank the faculty for the fabulous turnout that we had at the Inauguration. It was inspiring to be standing out there in front of the chapel and see that ring of beautiful robes and people standing around waiting for our new president. I thought that was just great. I also want to welcome John back both as Faculty Secretary and at the ECAC meetings; he's a lot of fun to spar with.

"So, what I'm going to do today is provide you with the annual report on our APT processes. There's really nothing too remarkable this year. We reviewed somewhat fewer cases at the APT level, reflecting a slight decline in internal tenure cases that were brought forward. But [the number] also reflects [more] external tenure cases than we've had at any time in the last 8 years..."

We also had more cases being turned down at the department level. This has been a trend for the last couple of years. It represents success in our effort to push down responsibility for making critical decisions to units and to deans. We're making progress, and that progress needs to continue. Those of you who have been on the Council for a while will know that that has been a regular theme of my APT report. My desire to have the difficult decisions about our faculty made as close to the unit that really has the highest level of expertise, but at the same time assure that those units are making those decisions with the greatest degree of discrimination and highest standards.

The changes that were made to the APT procedures two years as a result of the Holland Review Committee report continue to work well. We are able to handle relatively straightforward cases with greater speed and therefore can devote more time to the cases that really deserve extensive attention. In fact, in the last year we had a number of cases on which the committee spent quite a bit of time and that never would have been possible had we been proceeding in the way we did before the Holland Committee.

"I want to publicly acknowledge here the excellent service of members of the committee. There are five who have just rotated off: Steven Asher from Psychology: Social and Health Sciences, who completed his 3-year term; Alex Rosenberg from Philosophy who also completed a 3-year term, Roy Weintraub from Economics who was kind enough to serve as a one-year replacement for a person on leave; Stanley Hauerwas from the Divinity School, who also served for one year for a member who was serving in that same year as an interim director of a program; and Liz Clark from Religion, who served one year on special assignment because we had some issues about female representation on the committee that made us uneasy so we added a member with ECAC's consent in order to have that representation. I also want to acknowledge last year's chair David Hsieh, who sitting up there... (Clapping).

"David has done a superb job and he has graciously agreed to serve a second year as chair. His leadership has been crucial in assuring the committee's ability to do its work both with appropriate deliberation and efficiency. Let me also heartily acknowledge the superb assistance that the committee receives from the two persons in the Faculty Affairs office, Jeane Bross and Bob Russell. For those of you who have to prepare cases or work with that office, I think you'll be aware of the enormous care that they take, they attempt make to assure that the faculty

members who are on the committee are well served in order to do their work — which [involves] a huge workload — as well as possible, and to assure that the cases are brought forward in a fair and equitable manner.

“I want to turn now to the data. This is going to be a little bit cumbersome so you’ll have to bear with me...” The Provost then went through a number of slides containing tables of numbers of individuals put up for tenure, numbers approved by the Provost, and so on.” The following is a summary of a much more detailed presentation.

This year we had only 11 cases who had completed their terms and were thus required to come before APT for internal review. We had 14 in the previous year and we had rather more in previous years. In addition to the 11, 9 requested early reviews.

Outcomes: The committee recommended that tenure not be granted in 3 cases. I reviewed all 3 of these cases. In one, I accepted the committee’s recommendation against awarding tenure. In another instance I overturned the committee’s recommendation against awarding tenure to a candidate who had department support. In the 3rd case I overturned the committee’s recommendation against awarding tenure to a candidate who had appealed a negative recommendation from the department.

In another case the committee recommended overturning a negative recommendation from a department and I concurred. Thus, tenure was awarded in a large percentage of the cases that were reviewed by the committee and by me: 13 out of 14 (92.9%). If that seems like a high proportion, I will remind you that a significant number were early tenure cases, which generally are stronger than average. And of course 4 candidates withdrew without tenure review and an additional five were turned down initially at the department level. In recent years, more cases are decided before they come to the APT committee. Consequently, the cases that come to the APT committee have a higher probability of success. As you’ll also see the overall rate of tenure success this year was entirely consistent with recent years, but achieved with more direct intervention at the departmental level and through decisions taken by faculty members before the whole tenure process ends. In summary, 65% of the eligible internal candidates, excluding Law, received tenure this year.

We had a slightly more contentious committee this year than in the past; that is, slightly more votes were not unanimous or unanimous-but-one.

“Looking at the whole pattern of data regarding internal promotions to tenure I believe we’re generally being appropriately selective in the 7th year. Doing so increasingly making that selectivity at the departmental level as well as further up the chain of decisions. I would also like to underline that the integrity of the process remains very high. I know of no leaks from the APT committee this past year. This doesn’t mean there weren’t any, but none got back to me and in other years they have. I would however remind all of my tenured colleagues that deliberations in their departments are also to be entirely confidential. This is absolutely essential to the proper handling of cases and for the best possible decision-making. I cannot tell you with the same confidence that that is always been a norm that has been adhered to within our departments this past year.

“Next the summary of promotions to full professor. As you’ll recall two years ago based on a report of the Holland Committee and discussions in Academic Council and others, it was decided that promotion to full professor will require excellence in two of the three areas: research, teaching and service and good performance in the third. As you will see we attained ... a high percentage of success in this regard for this year. As you will see the committee approved 15 of 16 cases they reviewed and I approved promotion in the one case in which they provided a non-definitive judgment. These numbers are similar to the last couple of years although not similar to earlier patterns. More importantly I think and I think this is a very good development, departments are being a little more aggressive in bringing forward people who are doing very well in a couple of areas and pretty well in the third for promotion to full. And we’re having

fewer people spending a very long time in associate professor rank even though they are still contributing in a very substantial way to the quality of our teaching and research programs. And so I think that reform is working very well.

“External Recruitments with Tenure. APT reviewed 28 cases, compared with 27 the year before. With an additional 3 from the Law School. And you understand the reason the Law School is pulled out is because they don’t go through the APT committee. Of the 28 initially reviewed by APT 3 subsequently withdrew. Of the remaining 25 APT positively recommended 23. Ultimately 26 cases were approved by me for recommendation to the board. That is including the 3 from Law and 23 from the rest of the university, excepting Medical Sciences which is not covered by this APT committee. This was two fewer than the number of external tenured faculty (including Law) approved in the preceding year. Now there is an interesting thing I want to mention about this which is that of these 26 cases that the committee approved — and which therefore went to the Board so appointment was possible — 21 have already agreed to come to the University and an additional two are still in negotiation. And only 3 turned us down. That’s a very, very good record. That says something about the quality of our faculty and the quality of the appointments.

Summary: This was a somewhat lighter year than in earlier years. We had more withdrawals and more negative votes than in the past. The key thing is number of those eligible for tenure who actually get tenure in any year: that percentage was 65% this year which is in fact the second lowest percentage in the last 9 years, perhaps reflecting the changing norms for departmental decision-making. At the same time chairs and deans were more willing to disagree with the department majority. Even though the percentage of APT recommended was the lowest it has been in 7 years, for the first time in recent memory the APT recommended in one case to overturn a negative departmental vote.

“Lastly, the Provost was willing to overturn negative recommendations in a positive direction. I do not expect this to be a regular outcome of the process, but I am convinced that the decisions taken this year were appropriate and will strengthen the university. There is agreement among the deans that we need to use the appointment, promotion and tenure process in accompaniment with the initial hiring process to further steepen the trajectory of improvement of our faculty. I look forward to working with the deans and with the APT committee and with the departments in pursuing this goal. I’m happy to take any questions.”

Questions

Sunny Ladd (Public Policy Studies): “I haven’t sat as a member of the Academic Council for a couple of years now so maybe this is a question you’ve answered recently in other years. But I would just like to have you clarify for us whether my understanding of how the process works is your understanding. And my understanding is that departments are supposed to be looking at academic qualifications only and that includes teaching. And that that is true for the APT committee as well, but then you as Provost can take into consideration and should take into consideration issues relating to University priorities and connections between departments and those sort of issues. Is that a correct understanding?”

Provost Lange: “Close, but not quite. Two things: First of all, neither the departments nor the committee consider any institutional factors which do not pertain to the decisions that are made in the department. So that could include intellectual priorities of the university or other institutional priorities. The other part I think you didn’t get quite right is that certainly the department should not be looking narrowly at only some programs, but also how that faculty member is contributing to programs more broadly throughout the university. That is our commitment to interdisciplinarity, means that the departments also are responsible for assuring the faculty members who commit to interdepartmental or interdisciplinary activities are not penalized at the department level for successfully doing so.”

Will Wilson (Biology): "I was wondering what the trend for external tenure cases was?"

Lange: "They're up slightly, but they bounce around so I wouldn't put too much weight on it yet."

John Aldrich (Political Science): "On the candidate withdrawals — how many of them were people who faced the facts and gave up, and how many of them were taking strong offers at other universities?"

Lange: "To my knowledge and recollection, all of the cases that left early, left early not because they had a strong outside offer from a peer or better institution. However, I would not guarantee that is right. But in general that has been the pattern."

Randy Kramer (NSOE): "Would the withdrawals include people who decided to leave say after their third or fourth year or is it only...?"

Lange: "No, there are two different sets of withdrawals. One I showed on the 7th year data of eligible candidates it would only be those who withdrew when they were in the year in which they needed to be brought up. OK. There was another slide which showed the numbers who left in years 1-3, 3-5, 4-6 or whatever..."

Nancy Allen: "And that looked like it was evenly distributed."

Lange: "Yes, we have people leaving on a regular basis. Some of them for equally attractive jobs and some of them for other reasons. There are a variety of reasons. We don't see a particular change in that pattern."

Garnett Kelsoe (Immunology): "Peter, in the cases in which there is decision which is contrary for example. The negative decision... are there a constellation of reasons for reversal or is each decision quite different. Is there an underlying theme for reversals?"

Lange: "Well, one theme is that there is substantial division in the department over the case. Another theme is that...division may...be not only over questions of quantity of work (which often appears), but also over the type of work, or the quality of work, or its fitness for the particular department. But I would say that most prominent shared factors are that there are significant divisions within the department over the case."

Nancy Allen: "Thank you Peter. Just a couple of reminders. Founders' Day is celebrated next Thursday, September 30 at 4:00 in the Chapel. This is another ceremonial occasion where we acknowledge outstanding achievements of our students, faculty, trustees and alums. The formal procession includes faculty so I hope many of you did not turn in your academic apparel after last weekend or ordered it again for next week. In any case if you have your own apparel please bring it and come. There will be a reception afterwards."

"Our October meeting is traditionally our annual faculty meeting presided over by President Brodhead. He will speak and I will give an address afterwards. We again have a president who is eloquent like our previous president, and I'll try to do justice to my few minutes. And then after that meeting we'll have our regular Academic Council meeting, which will be abbreviated, and which will be followed by a reception in the Rare Book Room across the way in the Library. So, just to put that on your calendars for next month."

Respectfully submitted,

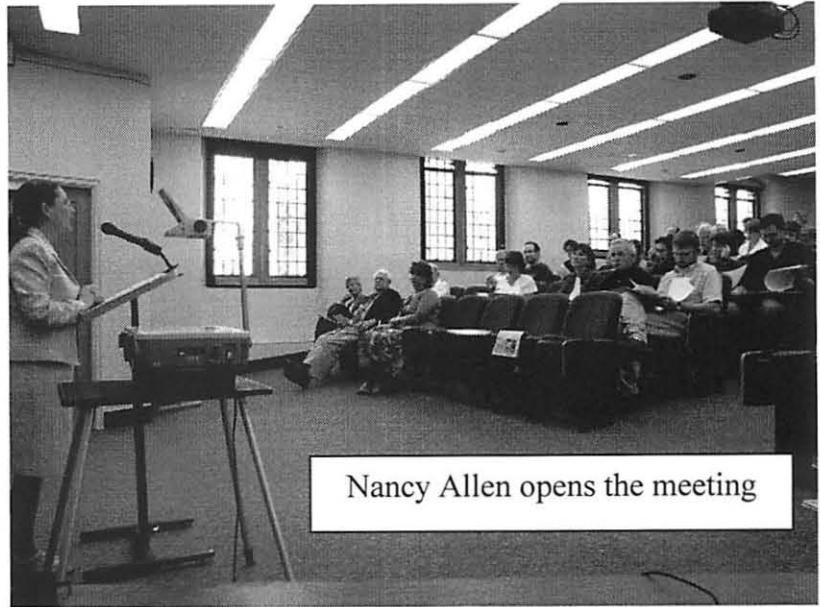


John Staddon
Faculty Secretary

October 7, 2004



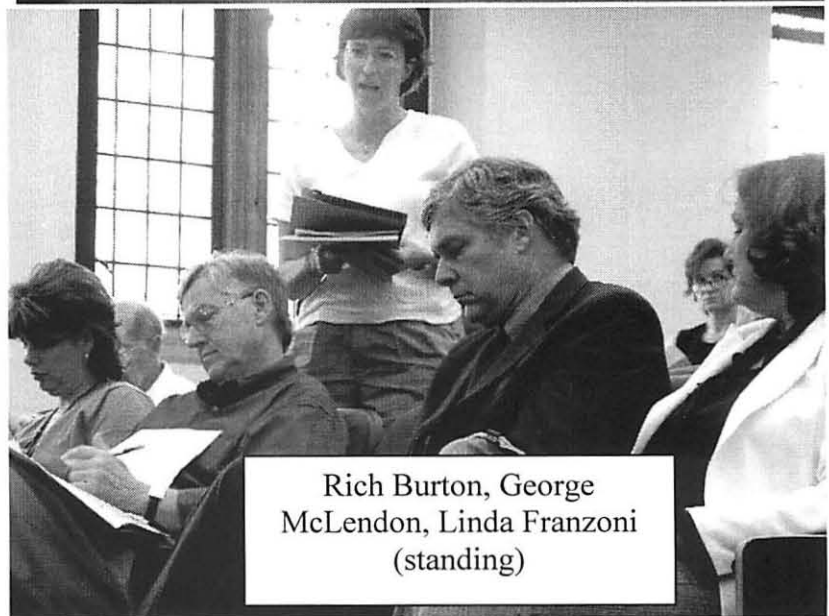
Tim Strauman on Academic Programs



Nancy Allen opens the meeting



Peter Lange, on iPods



Rich Burton, George McLendon, Linda Franzoni (standing)



Faculty Scholars Sarah Zaman, Francesca Pignataro, Emily Heikamp and.....Courtney Kraus. Ben Ward announcing.