

## Report of the Chair of the Faculty Senate

May 14, 2008

Penn operates by a shared vision of governance wherein the faculty is regularly consulted on academic matters and under which, with rare exception, faculty decisions determine policies which fall under the purview of faculty responsibility. Since its creation in 1952, the Faculty Senate has served as the main mechanism for representing the voice of full-time teaching faculty members in shared governance. The work of the Faculty Senate is largely carried out through an elected Senate Executive Committee (SEC) and several standing Senate committees. The members of these committees engage in substantive discussion, investigations, and deliberations with the University's administrators on behalf of faculty interests. In addition, the Past Chair, Chair, and Chair-Elect of the Senate have consultation meetings, about twice a month, with the President and Provost. These meetings allow for what have been very fruitful exchanges on the issues raised by SEC, its committees, or from the many constituencies of the University.

So, while the work of the Senate is summarized within brief reports from each Senate committee at the end of the academic year and even briefer write-ups of SEC actions in *Almanac*, each finding or recommendation is always the result of months of work and thought on the part of a considerable number of our University's leaders. In my role as Chair, I have seen firsthand the dedication to Penn and the best ideals of faculty governance of our colleagues who serve on the Senate committees. The entire University community owes them our thanks.

### The Year In Review

As stated above, a record of the activities undertaken this year can be found in the monthly reports on SEC meetings (published in *Almanac*) and in the year-end reports of the Senate committees. The following is an abbreviated list of issues considered this academic year.

- *Mandatory self-disclosure of a criminal record by prospective faculty.* The Senate Committee on Faculty and the Academic Mission (SCOF) and the Senate Committee on Academic Freedom and Responsibility (SCAFR) submitted recommendations to SEC on the question of whether or not Penn should attempt to develop a policy, hereafter referred to as simply "self-disclosure," which requires all future candidates for faculty positions to disclose prior criminal convictions. The work of this year's committees was greatly aided by the *Report on Disclosure of Prior Criminal Records in Faculty Hiring* of May 16, 2007 from the previous year's SCOF (*Almanac* March 18, 2008). This report laid out many of the issues involved with self-disclosure. SEC voted to recommend against the development of such a policy for Penn faculty who are not already subject to self-disclosure because of regulatory or accrediting agency policies or federal law. Furthermore, SEC does not support mandatory self-disclosure for any constituency at the University.

- *Graduate tuition reform.* The Senate Committee on Students and Educational Policy (SCSEP) looked at a number of issues connected to Penn's imminent move to a uniform system of graduate tuition charges. SCSEP examined the academic motivations for this move as pointed out by the Middle States Commission on Higher Education and several internal graduate program review committees and also worked with the administration to understand the implications, intentional and possibly unintentional, of moving to such a vastly different system of financial support for graduate education. The work of SCSEP and SEC, in consultation with University administrators, on this issue will continue in the next academic year.

- *Monitoring the progress of newly developed faculty mentoring programs.* The Senate Committee on Faculty Development, Diversity and Equity (SCFDDE), which played an instrumental role in working with the Provost's Office to establish mandatory mentoring programs for junior faculty members in all schools, met with the mentoring facilitators of all 12 of Penn's schools. These meetings served to inform SCFDDE on the implementation status of the mentoring plans put into place a year ago, to explore current challenges, to share some ideas among mentor coordinators in the hopes of establishing a set of best practices for mentoring, and to determine how SCFDDE might be of assistance to schools in improving implementation and eventual evaluation of their plans. SCFDDE also produced a summary of general findings, concerns, and best practices in consultation with Dr. Mary Croughan of the University of California, San Francisco—a nationally recognized expert on faculty mentoring.

- *Consultation procedures for the appointment and reappointment of Deans and University-wide administrators.* The Senate Committee on Faculty and the Administration (SCOA) took up this issue from discussions with the Provost concerning reappointment of department chairs in the School of Medicine and other health schools and a request from the faculty to examine whether there have been any variances between past and present practices for consulting faculty on the appointment of deans. SCOA closely examined the procedures followed in the appointment of the four most recent deans, deliberated extensively with the Provost and the Associate Provost for Faculty Affairs on the reappointment procedures for department chairs in the health schools, and considered all aspects of the *Faculty Handbook* policies for appointments and reappointments for deans and chairs. SCOA found the current *Handbook* policies compelling for appointments and reappointments, determined that those policies are being followed in the selection of deans, and was convinced that these policies will be followed for the reappointment of department chairs of the health schools in the future.

- *Reports on the economic status of the faculty.* The Senate Committee on the Economic Status of the Faculty (SCESF) received the information to make two reports this year and thereby close the gap of four fiscal years since the last report of this committee. We note the herculean efforts of the Administration, especially Vice President for Institutional Affairs Joann Mitchell, in getting the financial data in the absence of a Director of Institutional Research and Analysis. We also note that this year marks the first for information on gender equity in salary as a regular part of this report.

- *Study of non-standing faculty.* SCOF created an outline for a study of the role of non-standing faculty in undergraduate education. While the eventual goal is to determine the role of non-standing faculty in all phases of the University's operations, the sheer size of that task led the committee to produce two plans. One is to develop a concrete view of teaching roles based on quantitative information starting with case studies of the contacts, through courses for academic credit, of 30 of this year's graduates from the College of Arts and Sciences. Another is to examine the philosophical issues surrounding the hiring of non-standing faculty and the appropriateness of their responsibilities. In the former plan, SCOF will work closely with the Associate Provost for Faculty Affairs and the Director of the Office of Institutional Research and Analysis.

- *Sabbatical policy at Penn.* In response to a request from SEC members, SCOA began an examination of sabbatical policy and its usage, especially by research faculty in the schools doing health-related research. SCOA received information on sabbatical credits from the Provost's Office and determined that indeed there is evidence of some under-utilization of sabbatical leaves by particular departments in the medical, dental, and engineering schools. The committee recommends that faculty receive their individual accrual of sabbatical credits each year, preferably with their annual salary letter. The Provost has agreed to take this under advisement with the Deans.

- *Sponsoring our second Founder's Day Symposium.* On January 18, 2008, the Faculty Senate sponsored the second of its annual symposia to commemorate Franklin's birthday. This year's symposium brought together four of our Penn Integrates Knowledge faculty colleagues in a discussion moderated by President Amy Gutmann. The theme, *Aristotle's Brain*, was based on the quest for truly interdisciplinary creation of new knowledge through scholarship that allows for crossing of multiple boundaries of discipline and schools of thought. This symposium continued the tradition of last year's in that the discussion involved free exchanges among faculty, students, and staff. A video webcast can be viewed at the Senate's website, [www.upenn.edu/faculty\\_senate](http://www.upenn.edu/faculty_senate).

- *Consultation on hiring of a new Director of Admissions.* The tri-chairs (Past Chair, Chair, and Chair-Elect) of the Faculty Senate served on the consultative committee to the President for the search that resulted in bringing Eric Furda to Penn as Director of Admissions. SEC played an important role in setting the characteristics most desired by faculty for the new dean of admissions. We have asked Mr. Furda to meet with SEC early in the next academic year to welcome him to Penn and to start a new era of closer collaboration of the faculty with the admissions process.

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- *Policies for post-doctoral scholars.* SEC received an overview of a complete revamping of Penn's policies for hiring and support of post-doctoral scholars from Associate Vice Provost for Research Steve Fluharty. The new policy offers numerous improvements in support while removing ambiguities in the old policy. SEC formally approved the new policy.

- *History of shared governance at Penn.* The Faculty Senate completed the video interviews of Penn leaders who played historically important roles in the establishment of our University as we know it today. The transcripts of these interviews and the video record will be stored in the University Archives. Subsets of the interviews will also be used as part of the current *Campaign for Penn*. The Faculty Senate owes sincere gratitude to Past Chair Neville Strumpf for supervising this important project to preserve the history of shared governance at Penn.

### Looking to the Future

As is clear from the above summary and the reports from the Senate Committees, important changes are taking place at Penn. A theme for what follows, a personal look-forward at the business of the Faculty Senate for the next year (and beyond), involves an uncertainty inherent in any institution's redefinition of itself to be truly a 21st century university. We are compelled to consider redefinition however, as it is inevitable, and thus there is an urgent need of the faculty to play a central role in that redefinition. Deciding which things must stay the same and which will change, by necessity, can be a frightening step—but it is nonetheless necessary to choose if we wish to prevent the encroachment of stochastic processes that can lead the university into undesirable territory.

The first part of this theme is a repeat of a perennial request. It is vital that the faculty continue to press for vastly more and better quality faculty-related data throughout the University. Many of the choices to be made depend on a thorough understanding of who the faculty are, what roles they play, how they have been recruited, their careers developed, and how Penn has retained them (or not) against ever-increasing raids from competing institutions. This data is essential to our Committees on Faculty and the Academic Mission, Faculty and the Administration, and Faculty Development, Diversity, and Equity. It also goes without saying that the faculty must insist on timely delivery of information on faculty salaries to its Committee on Economic Status of the Faculty. All of these committees will be aided in their decision-making by completion of the faculty information database currently under development by the Administration, but even completion of this database will likely leave some areas of uncertainty as to the roles of the many people at Penn who bear a faculty title. Ensuring that the Faculty Information System is continually updated, improved, and eventually includes non-standing faculty should be a high priority for the Senate well into the future.

A closely-related topic for SEC to consider will be a constantly renewed effort to widely disseminate what we discuss at SEC meetings to our school constituencies. The academic responsibility of shared governance makes it clear that our decisions and recommendations to the Administration should be based on opinions informed by a broad spectrum of our colleagues. I am heartened by the efforts of members of SEC this year to promote discussions on important topics, like the proposal to develop a policy on self-disclosure of criminal records for prospective faculty. Our resolve to seek input from across the university resulted in a rich exchange of views on several issues that had the capacity to be divisive. As I stated in my welcome message to the faculty at the beginning of the academic year, we have a unique platform from which to speak on Penn governance. The concomitant responsibility to be informed and to inform others should stay near the top of each of our personal agendas. I am personally grateful for the many suggestions, items of notes, and criticisms of policy that have come to the Senate office during my term. Any member of our campus community should feel free to contact the Senate tri-chairs on issues of importance to our University.

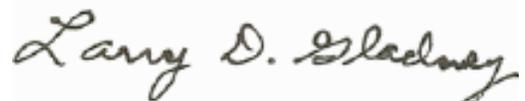
The second part of the theme for the future is to ensure a firm resolve in undertaking a continuing study of the identity of the University and how it is perceived both internally and externally. Under the belief that the faculty will continue to form the core of the University, SEC began work on this point with two activities this year. The first was a discussion among the faculty at a SEC meeting dedicated to the question "What does it mean to be a faculty member at a research university in the 21st century?" I am grateful to Associate Provosts Andrew Binns and Vincent Price for their contributions to this discussion both as administrators and as fine exam-

ples of faculty carrying out active research programs at Penn. The second activity was our Founder's Day symposium, discussed previously, in which we grappled with the question of what a university should strive to teach and research in an age where information is overwhelming in its absolute amount and the rate at which it increases and where no faculty, brilliant and accomplished though they may be, can be expected to fully master all the knowledge that is worth knowing. The report from the Committee on the Faculty gives some recommendations on how best to pursue this line of inquiry, but it should form the core of the charges for all our Senate committees over the next few years. While the perennial questions of who teaches our students and what do we teach them are difficult to answer—and progress on methodologies to continually update the faculty on the answers must be developed—it will be increasingly important to understand the question of why we teach what we do. In an age of increasing scrutiny on the costs of an education and the accessibility of a Penn education across the economic spectrum, the related question of why it is appropriate, indeed optimal, to teach what we do in the setting of a research university will be equally important.

### Appreciations

The work of the Faculty Senate is carried out only through the profoundly dedicated efforts of the many faculty members who freely give of their most precious campus resources: time and intellectual engagement. It is an understatement to say that I am humbled by the opportunity to work with such gifted, enlightened individuals. At the top of the list for honors due is Past Chair Neville Strumpf. Her extraordinary commitment to Penn and to the Senate in particular through four years of leadership, wise counsel, and steadfast dedication to equity and equality has been inspirational to us all. The Senate and I have also benefitted from the outstanding leadership of Vince Price, Associate Provost for Faculty Affairs. Vince's experience as chair of SEC has been enormously helpful in the collaborative efforts between the Senate and the Provost's Office. It has also been an honor to work with Chair-Elect Sherri Adams. Her deep appreciation of the important issues of shared governance ensures that the Senate is in good hands for the coming year. I also want to thank the members of the Senate committees. Their conversations have been nothing but thoughtful, engaging, and instructive. Special thanks go to the chairs of these committees: Paul Sniegowski (SCSEP), Lois Evans (SCFDDE), Alan Charles Kors (SCAFR), Cindy Christian (SCOA), Laura Perna (SCSEF), Joan Goodman (Grievance Commission) and Stephen Phipps (SCOF). Their leadership and hard work are the hallmark of good faculty governance. As usual, SEC has enjoyed the very efficient and capable skills of an excellent Secretary—thanks to Terry Richmond. Finally, I see no way in which the Senate office could operate without Sue White, executive assistant to the Faculty Senate. Her diligent work, open manner, and excellent management skills makes the work of the tri-chairs immeasurably easier.

I also want to offer sincere gratitude to President Amy Gutmann and Provost Ron Daniels for their personal engagement with the faculty on every issue of substance. Throughout regular consultations, coffee meetings, face-to-face meetings with SEC, involvement with our symposia, and their contributions to collaborative dialogue they have been true to the best model of shared governance. In no small measure their model of excellence in dealing with the Faculty Senate has set the tone for fruitful collaborations throughout the offices of the President and Provost. We are particularly grateful for the chance to work hand-in-hand with the Associate Provosts Andy Binns, Vince Price, and Steve Fluharty, with Executive Vice President Craig Carnaroli, General Counsel Wendy White, and Vice Presidents Joann Mitchell and Maureen Rush. The Senate owes them all a debt of gratitude for their efforts this year. The Senate has also enjoyed working on the business of University Council with University Secretary Leslie Kruhly and the Associate Director for University Council & Ceremony Brenda Brand. Finally, I wish to thank my colleagues on the Senate Executive Committee for a stimulating and educational year. I look forward to next year in my role as Past Chair as another opportunity to engage with one of the finest faculty in the world.



—Larry Gladney

## Report of the Faculty Senate Committee on Academic Freedom and Responsibility (SCAFR)

1. SCAFR met monthly from September 2007 to May 2008. SCAFR's annual agenda arises from its mission, mandated by the Trustees in the Statutes of the University, both to investigate and report on matters of its own choosing and to deal with cases or queries brought to SCAFR's attention by members of the University faculty, who elect it and whom it serves.

2. With the help of Susan White, of the Faculty Senate Office, and of Associate Provost for the Faculty Vincent Price, SCAFR confirmed that all Schools had constituted their Committees on Academic Freedom and Responsibility (CAFRs). SCAFR met with the chairs (or delegates of the chairs) of the School CAFRs, emphasizing the need for all faculty members to be aware of their rights and responsibilities, and of the existence and function of School CAFRs. SCAFR also adopted a recommendation that each School CAFR should have written and readily accessible procedures, posted on each School website, and collected by SCAFR for purposes of continuity and completeness.

3. SCAFR took up the testimony given by an administrator in court testimony, in a past case (that never had come before SCAFR), claiming that the *Faculty Handbook* was non-contractual in nature, binding upon faculty members as employees but not upon the University as employer. In a letter to SCAFR, Provost Ron Daniels stated that the implications of the testimony were in error, and that "the specific policies" pertaining to the system of tenure and protections from sanctions, including those in the *Handbook*, "are contractual in nature."

4. SCAFR took up the case of a faculty member in the School of Medicine (SOM) that had been unresolved for decades, despite several rulings by SCAFR during those many years. Given the lapse of time, incomplete records, and differing memories, SCAFR did what it could to bring the University and the faculty member into negotiations, failing which each party would seek what legal recourse it deemed appropriate. Concerned that such a lapse had occurred, however, SCAFR adopted a set of explicit "Procedures for Record-Keeping by SCAFR," designed to preserve SCAFR's work and documents in appropriate, readily accessible, and useful form, and to ensure that each SCAFR would review all pending SCAFR cases from previous years. SCAFR voted that one of the charges of each new

SCAFR should be to review all open files remaining from preceding years and to take all appropriate actions to resolve and close them.

5. SCAFR, concerned that the contractual and statutory rights of the Faculty, promulgated by the Trustees or others, be clearly distinguishable in the *Faculty Handbook*—currently under revision for purposes of clarification and more functional form—from what might be contingent presidential, provostial, and decanal policies, met with Associate Provost Vincent Price. SCAFR and the Associate Provost agreed on the general principle of such a distinction (though aware of the potential problems that might arise from a seeming enumeration of contractual faculty rights), and the Associate Provost will both a) bring to the revision of the *Handbook* SCAFR's concern that the Faculty be able to distinguish easily between statutory provisions and contingent policies and b) continue to consult with SCAFR and the Faculty Senate on this matter.

6. SCAFR was invited by the Senate Committee on the Faculty and Administration (SCOF) to comment on a proposed policy of mandatory faculty self-disclosure of a criminal record at the time of hiring. SCAFR unanimously resolved and recommended that the policy of self-disclosure had clear dangers and unclear benefits, and urged SCOF and the Senate Executive Committee (SEC) not to endorse this policy.

7. SCAFR is concerned about what has occurred with prior agreements between the SOM and the Faculty Senate about a cap on the percentage of SOM faculty who are Clinician Educators. SCAFR expressed its concern to the Provost, and it received assurances that the matter will be given full consideration in 2008-2009.

8. SCAFR received outstanding and collegial cooperation from Provost Ron Daniels and from Associate Provost Vincent Price throughout this academic year, and it was encouraged by the responsiveness of the Provost and Associate Provost to matters of academic freedom and responsibility.

9. SCAFR received truly invaluable service from Susan White, executive assistant to the Faculty Senate Office, whose intelligence, thoroughness, competence, and diligence were indispensable to SCAFR's work.

—Alan Charles Kors, SCAFR Chair, 2007-2008

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## Report of the Faculty Senate Committee on Students and Educational Policy (SCSEP)

### Charges for 2007-2008

This academic year the Senate Committee on Students and Educational Policy (SCSEP) was asked to (1) examine and work out specific areas of interest to be included in a confidential University-wide survey of graduate and professional education to be administered to students and their advisors, (2) examine the current status and future trajectory of funding for graduate education across the Schools, especially in light of graduate tuition reform, (3) conduct an examination of intellectual property rights in the classroom, and (4) review and discuss the Committee's general charge and identify the most pressing issues facing the faculty, students and educational programs over the next few years, recommending two or three high-priority charges for 2008-2009.

### Graduate Tuition Reform

The Committee's work focused almost entirely on the second charge listed above and in particular on the complex and ongoing graduate tuition reform process. The Committee met in fall 2007 to discuss the structure and implications of graduate tuition reform with Associate Provost for Education Andy Binns and with Director of Budget Planning Francesca Seidita. The Committee also met with a representative of the Graduate and Professional Students Association (GAPSA) on two occasions to discuss both the tuition reform and the status of graduate funding in general. Documents relevant to these issues from the Associate Provost's office, from the office of Jack Nagel, Associate Dean for Graduate Studies in the School of Arts and Sciences, and from GAPSA were reviewed and discussed by the Committee.

As a consequence of its discussions in fall 2007, the Committee determined that the implications of graduate tuition reform should be brought formally to the attention of the faculty during the academic year. Accordingly, SCSEP presented an interim report on graduate tuition reform to the Senate Executive Committee (SEC) in February 2008. The full interim report was also provided to Associate Provost Andy Binns and a summary of the report was published in *Almanac* (February 26, 2008). The interim report cited a number of concerns about the tuition reform and its effects

on graduate education. Among these were the motivation for undertaking the reform, the future stability of funding at the School level, the financial effects of the reform on late-term graduate students, and the need for a formal review of the effects of reform after three years. In response to the interim report, Senate Chair Larry Gladney and SCSEP received communication from the Office of Associate Provost Binns providing extensive additional background on the academic motivation for graduate tuition reform and providing assurances that the Provost intends to maintain the overall level of funding to the Schools under the new tuition system.

The present report is a revision of SCSEP's interim report. Here, we highlight the academic motivation ultimately behind graduate tuition reform and the potential for beneficial effects of the reform on graduate education at Penn. Nonetheless, because graduate tuition reform is an ongoing and complex process involving many changes at both the University and School levels, SCSEP stops short of endorsing all details of graduate tuition reform on behalf of the faculty. Instead, we argue strongly for continued engagement of faculty with the tuition reform process, and we identify specific areas that need the attention of faculty as graduate tuition reform at Penn continues to be fashioned and implemented.

Our report focuses on PhD education and addresses the following questions:

- 1) What is the current system of graduate tuition and associated fees at Penn?
- 2) What is the motivation for reforming the current graduate tuition system?
- 3) What is the new graduate tuition system and when will it be implemented?
- 4) What aspects of the new system are beneficial for graduate education?
- 5) What aspects of the new system are problematic for graduate education?

We call upon the Provost to consult with the faculty in establishing and committing to a timeline and guidelines for assessment of the effects of graduate tuition reform. We conclude with specific recommendations for future engagement of the faculty with the tuition reform process and with recommended charges for SCSEP for the coming year.

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## Report of the Committee on Students and Educational Policy

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1) *What is the current system of graduate tuition and associated fees at Penn?* The tuition cost of a PhD varies widely across the University. For all nine PhD-granting Schools, the current initial cost of graduate tuition is set centrally at \$4,258 per credit. In the School of Arts and Sciences, this initial per-credit cost is charged until a student has accumulated 20 course units and has passed the examinations for candidacy (typically three years); after this, tuition is held steady at the greatly reduced “high-dissertation” rate of \$2,839 per semester for five semesters, then it declines to the “low-dissertation” rate of \$639 per semester for the remainder of the student’s tenure. Other programs require more course units for the PhD and hence have higher total tuition charges per student that are more consistent across the years required to obtain the PhD. In the School of Engineering and Applied Sciences, for example, 40 course units across five years are required for the PhD; in the Biomedical Graduate Sciences Division of the School of Medicine, 30 course units across five years are required. For all Schools, there currently exists a complex system of financial transfers between School and University in which tuition monies obtained by the School are taxed 20% by the central administration and then the tax is returned in the form of Provost subventions of tuition and of other graduate education costs.

An additional cost in support of graduate education is the General Fee, which supports University-wide services such as student government and student health service. Under the current system, the General Fee is assessed at \$2,010 per student per year for PhD students in coursework and usually does not apply after year three.

Actual sources of graduate tuition and fee payment vary greatly among and within Schools. For students on full, University-provided fellowships, no funds for tuition or General Fee flow to the University from outside sources. For students on outside fellowships or who are supported by external grant funding, however, the costs cited above take the form of income to the University.

2) *What is the motivation for reforming the current graduate tuition system?* Ultimately, graduate tuition reform is motivated by academic concerns raised by the Middle States Commission on Higher Education during its 2004 review and accreditation of the University of Pennsylvania and by a self-study document prepared by the University in anticipation of the Middle States review. Citing concerns about the ease of interdisciplinary graduate study and the flexibility of graduate programs of study in general at Penn, the Middle States Commission strongly recommended “that Penn give serious consideration to replacing the [current] system with one in which each student is charged a flat amount for each academic year in which he or she is a full-time student; the academic unit, in cooperation with the Provost’s office, would set requirements for the PhD that are appropriate for the academic unit.” In response to the Middle States review, a working group from the Council of Graduate Deans and the University’s Office of Budget and Management Analysis, led by Associate Provost Binns, met during the past two academic years to formulate a graduate tuition reform plan.

Increased efficiency and financial transparency are also evident as reasons for reforming the current graduate tuition system. Taxing the Schools for graduate tuition and then returning this tax via subvention mechanisms is arguably unnecessary and inefficient. Moreover, justifying divergent costs of PhD tuition to government and other external funding agencies that may be required simultaneously to fund students from different Schools is problematic. Both of these problems are potentially resolved by switching to a system that has the broad features described by the Middle States Commission.

3) *What is the new graduate tuition system, and when will it be implemented?* The basic features of the graduate tuition reform plan are as follows:

a) A standard tuition charge of \$24,000 per year will apply to all students for the first five years (total of 30 course units), except for programs requiring a Masters degree for entrance, in which tuition would be charged at the standard rate for three years. For students supported on grants, tuition costs may be matched at the School level: For example, the School of Arts and Sciences will provide a 3:1 match of tuition costs for students supported on grants in their first five years, reducing the tuition cost for advisors of such students to \$6,000 per year.

b) A reduced standard tuition charge of \$3,000 per year will apply for all students from years six to ten (or four to seven in programs with the three-year \$24,000 charge). In addition, enrollment for the PhD will be capped at a maxi-

mum of ten years, although students beyond ten years may apply for recertification and completion of the PhD.

c) The General Fee will be assessed at \$2,000 for the first five years and \$500 from years six to ten.

d) The internal 20% Provost tax on tuition will be eliminated, along with the multiple existing subvention mechanisms that return this tax (and more) to the Schools.

e) PhD education will continue to be supported by the central administration through a simpler lump annual sum amount to the Schools for graduate student aid. Initially, the Schools will be held financially harmless under the new system.

The new tuition system will become effective for AY 2009—that is, beginning July 1, 2008. Numerous details of its implementation at the School level, however, remain to be put in place.

4) *What aspects of the new system are beneficial for graduate education?* As noted above, increased access to interdisciplinary study at the graduate level and increased flexibility of course requirements in graduate programs of study were the major academic motivations for reforming the graduate tuition system. Both of these will be well served by the new tuition system: Abolishing current course-unit requirements for the PhD (e.g., 20 course units to advance to PhD candidacy in SAS) would provide considerably enhanced flexibility to graduate groups in how they design their course requirements for PhD students. Students would no longer necessarily be required to complete coursework in their first three years, and the total number of required course units could be adjusted upward or downward as each program saw fit. Such changes could enhance both the educational experience of graduate students and the attractiveness of graduate programs to prospective students. Changes to the relevant rules for the PhD are currently under consideration by the Graduate Council of the Faculties and are to be decided on in a joint meeting of the Graduate Council of the Faculties and the Council of Graduate Deans in May 2008.

5) *What aspects of the new system are potentially problematic for graduate education?*

*Stability of funding for graduate programs:* Because all Schools currently receive more back in various subventions from the Provost’s Office than they pay out in graduate tuition tax, on first analysis it appears that the Schools will lose money as a consequence of the tuition reform plan. As mentioned above, though, the administration’s goal is initially to hold the Schools harmless financially under the new system by providing each a sufficient lump sum for graduate student aid. Moreover, SCSEP has received assurances that the Provost is committed to maintaining such strong overall support for graduate programs in the Schools in the foreseeable future. The Provost has provided no assurance that all existing Schools or graduate programs will continue to receive funding commensurate with their current level of support, and SCSEP acknowledges that it is the Provost’s prerogative to make decisions on which Schools and graduate programs are performing well and which are not, and adjust levels of support accordingly. However, the Committee strongly recommends that the metrics to be used in making such decisions be communicated clearly to graduate programs before any decisions on changes in funding levels are taken. SCSEP calls upon the Provost to consult with the faculty on the assessment of graduate group performance and to provide graduate programs with a clear set of criteria by which success in graduate education, and possible future changes in funding status, will be assessed.

*Increased costs to late-term graduate students:* Under the new graduate tuition system, annual costs to late-term students (those beyond year six) will increase from the current \$1,278 (low-dissertation status tuition, no General Fee) to \$3,500 (\$3,000 tuition plus the new \$500 General Fee beyond year five). This increased late-term cost will fall especially hard on the School of Arts and Sciences (SAS), in which approximately 16 percent of PhD students remain enrolled beyond year six. Although SAS Associate Dean for Graduate Studies Jack Nagel has led successful efforts to decrease average time to the PhD in most of the School’s graduate programs, it is questionable whether programs currently requiring extended international fieldwork, multiple language competencies, and similar long-term commitments in order to attain the PhD will see reductions to below seven years in their average times to degree without substantial curricular changes. SAS has implemented relief from the cost increase for current late-term students as a transitional measure, but a longer term

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solution is needed. SCSEP calls upon incoming SAS Associate Dean for Graduate Studies Ralph Rosen to work with SAS graduate chairs to find ways to decrease time to degree in the affected programs without decreasing the quality of graduate education.

#### **Financial Arrangements for Recipients of External Fellowships**

Because the average time to degree in many SAS graduate programs is six and more years and the University provides support for a maximum of five years, external fellowship support plays a critical financial role in helping many students to complete the PhD. SCSEP has learned that a common strategy employed by graduate students in pursuit of competitive external fellowship support is to begin applying for such support for years four and five. By applying early, of course, students give themselves multiple chances for success. In addition, students who accept external fellowships in year four or five (or both) may then be able to count on the remainder of the University's five-year fellowship commitment to support a sixth and even seventh year of study, free of worries about funding. The way in which financial arrangements for such recipients of external fellowships in years four and five will be handled under the new tuition system is a matter of concern to the Committee, given that tuition during these years increases from \$5,678 per year (\$2,839 per semester) to \$24,000 per year and the General Fee increases from \$0 to \$2,000 per year. When asked about this in a meeting with SCSEP, Associate Provost Binns expressed his opinion that Graduate Deans would be likely to waive tuition in cases in which a student had received a competitive external fellowship. Currently developing SAS policy on this matter, however, is unclear. According to a draft memo of April 18, 2008 from outgoing SAS Associate Dean Jack Nagel on graduate tuition reform policies within SAS, external fellowships that supply partial tuition support in addition to stipend, health insurance and General Fee will indeed be matched for the remaining tuition by SAS. However, SAS policy concerning fellowships that provide only stipend support is less favorable, and it appears that a fellowship recipient could be liable for the remaining costs—nearly \$30,000 per year in years four and five, including health insurance—unless the graduate group itself has sufficient funds to make up the difference. Moreover, SAS policy on the circumstances under which recipients of external fellowships in the fourth or fifth year still remain entitled to five full years of support from the University is also unclear; it is conceivable that recipients of some fellowships in their fourth or fifth year could be denied University support beyond year five. All of the above considerations suggest that there may be cases under the new tuition system in which a student could be forced to decline an external fellowship and face the prospect of a foreshortened time to degree—hardly a desirable academic outcome.

For SAS students who receive external fellowships in year six or beyond, another gap in policy may apply: where such a fellowship only covers partial costs, SAS policy appears to shift the remaining costs to the graduate group or the student rather than to match them at the School level. As noted above, the costs of tuition and General Fee are substantially higher under the new tuition system than under the old system after year six. SCSEP believes that students who receive competitive external fellowships in years six and later should be considered for tuition waivers and other forms of assistance from the School and the University under the new graduate tuition system. Charging tuition and associated costs in such cases sends precisely the wrong signal to graduate students and programs who have successfully competed for external support under circumstances in which the PhD typically takes more than five years to complete.

We urge that SAS and other policies concerning support for all recipients of external competitive fellowships be reviewed to ensure that the primary motivation for such policies is academic rather than financial.

**Graduate health insurance:** Health insurance is provided for graduate students on University fellowship support, and most external fellowships and grants provide sufficient funding to cover the cost of health insurance. However, graduate students supporting themselves in later years, and some students on less substantial external fellowships, are liable for the full cost of health insurance. SCSEP recognizes that health insurance always represents a real cost to the University (unlike graduate tuition) and that adjustments to the cost of health insurance are not part of the graduate tuition reform. Nonetheless, the Committee feels that the University has a moral obligation to ensure that all graduate students are covered by health insurance until they receive the PhD; this becomes especially important in those programs of study whose time to degree greatly

exceeds the five year term of University fellowship support. To some extent, of course, the problem of health insurance coverage for graduate students beyond year five could be ameliorated by reduction in time to degree in the relevant programs, as discussed above.

#### **Graduate Tuition Reform: Conclusion and Recommendations**

SCSEP recognizes the important academic motivations behind graduate tuition reform and has concluded that this reform will have significant positive effects on opportunities for interdisciplinary training, flexibility of graduate programs of study, and the overall simplicity and transparency of financial transactions concerning graduate tuition at the University. Indeed, when combined with the increase in graduate stipend support provided by the University in the past year, the tuition reform potentially sets the stage for major improvements in graduate education at Penn.

Nonetheless, SCSEP has concluded that a number of important issues concerning graduate tuition reform remain unresolved. While this is perhaps inevitable due to the complex and ongoing nature of the reform, SCSEP is unwilling to fully endorse the reform on behalf of the faculty while such issues remain. The Committee's chief concerns are as follows: 1) the nature of metrics to be used by the Provost in future evaluations of graduate programs and their possible tie to adjustments in funding to such programs under the new graduate tuition system; 2) the increased late-term cost of graduate education under the new system and its influence on the nature of graduate programs that require lengthy periods of study before the PhD; and 3) financial arrangements for recipients of external fellowships under the new tuition system, especially arrangements for those recipients whose fellowships do not cover tuition and General Fee and those recipients whose fellowships apply to year six and beyond.

We recommend that thorough assessments of the positive and potential negative impacts of graduate tuition reform be planned and conducted by the University administration in full consultation with the faculty, and we call upon the Provost to work with the faculty to establish and commit to a timeline and a clear set of criteria by which such assessments will be made. Because the implications of the reform will take some time to work through the graduate education system at Penn, a full assessment before year three after implementation (AY 2012) would probably be premature, but interim assessments are likely to be necessary, especially in the case of Schools such as SAS that are likely to be most strongly affected by the reform.

SCSEP urges the faculty, and especially graduate group chairs and department chairs, to remain engaged with the tuition reform process as it proceeds to implementation on July 1, 2008 and beyond. Again, such engagement will be particularly important within SAS, the School likely to be most strongly affected by the reform. We urge incoming SAS Associate Dean for Graduate Studies Ralph Rosen to work closely with graduate group chairs in order to minimize any potential negative impacts of the reform.

#### **Recommendations for Next Year's Committee**

The Committee recommends that SCSEP continue to examine the implications of graduate tuition reform in the coming academic year, with a particular focus on the influence of the reform in SAS. We recommend that next year's Committee work with SAS graduate chairs and with incoming SAS Associate Dean for Graduate Studies Ralph Rosen on the implications of tuition reform for the School of Arts and Sciences and in particular on its implications for those programs currently requiring long times to degree.

As a second charge, the Committee recommends that SCSEP conduct an examination, in consultation with the Office of University Counsel, of Intellectual Property Rights in the classroom. Such an examination should include, but not necessarily be limited to, consideration of copyright issues concerning lecture materials and recordings of lectures and consideration of the implications of self-publication of textbooks by professors for use in the classroom.

#### **2007-2008 Committee Members**

*Paul Sniegowski, School of Arts and Sciences/Biology, Chair*

*David Brownlee, School of Arts and Sciences/History of Art*

*Paul Heiney, School of Arts and Sciences/Physics*

*Kelly Jordan-Sciutto, School of Dental Medicine*

*Sarah Kagan, School of Nursing*

*Michael Zuckerman, School of Arts and Sciences/History*

*Ex-Officio:*

*Senate Chair, Larry Gladney, School of Arts and Sciences/Physics*

*Senate Chair-elect, Sherrill Adams, School of Dental Medicine*

## Report of the Faculty Senate Committee on Faculty and the Academic Mission

### Charges for 2007-2008

At the beginning of the year, the Senate Executive Committee gave the Committee on Faculty and the Academic Mission these charges for its work during academic year 2007-2008:

1. Vigorously pursue the examination of non-standing faculty that the Committee was unable to undertake in 2006-2007.
2. Continue offering advice to the Provost, as needed, on the issue of disclosure of a prior criminal record for all prospective faculty members.
3. Investigate retirement incentives at other universities and explore post-retirement options.
4. Review and discuss the Committee's general charge, as provided in the *Rules of the Faculty Senate*, and identify what you believe to be the most pressing issues facing the Faculty over the next few years. In light of your discussions, recommend to the Senate Executive Committee two or three high-priority charges for the Committee on Faculty to undertake in academic year 2008-2009.

### Self-disclosure of Prior Criminal Records by Prospective Faculty Members

At its first meeting, the Chair of the Senate Executive Committee (SEC) informed the Committee on Faculty that the Provost had requested SEC's urgent consideration of, and a decision on, the issue of whether or not candidates for faculty positions should be required to disclose prior criminal convictions (hereinafter, "self-disclosure"). SEC asked us to make this our highest priority for the year.

We, therefore, began a series of meetings in which we attempted to achieve a consensus on whether or not self-disclosure should be required, and if so, under what conditions this should be done. In our work, we relied heavily on the *Report on Disclosure of Prior Criminal Records in Faculty Hiring* presented to the Provost by the Committee on May 16, 2007 (The White Paper).

Despite vigorous and thorough discussion, and despite the excellent foundation provided by the White Paper (*Almanac* March 18, 2008), we were unable to achieve such a consensus. In the end, we presented two statements to SEC, one recommending that a self-disclosure policy be developed, and one not making this recommendation. These statements found equal support within the Committee. However, the entire Committee agreed that any self-disclosure policy should be designed with great care so that academic freedom and individual privacy are preserved.

The Committee recognized that considerations of equity with other University constituencies—students, staff, and administration—some of whom currently are required to self-disclose, could be argued to recommend self-disclosure by faculty as well. Our concerns about the issues of freedom and privacy, however, as well as the lack of any evidence that self-disclosure is effective in securing the safety of the community, prevented us from recommending that self-disclosure should be required of potential new faculty members.

### Study of Non-standing Faculty

During the spring semester, the Committee moved on to an examination of the role of non-standing faculty at Penn. This issue has come to the Committee's attention repeatedly for at least a decade, with little apparent result. Part of this appears to be because for much of this time, Penn had no central mechanism or office for gathering information about such concerns, and in part because the issue is so large and multi-faceted.

The Committee therefore determined to divide the problem into distinct sectors, and to focus on one or two of these in an attempt to move the study forward.

We analyzed the issues involving non-standing faculty at Penn as metaphorically extending along two perpendicular axes, ideal/real and practical/philosophical. The first of these axes extends from considerations of the ideal ways that such faculty should be employed and treated at Penn, to the questions of how they are employed and treated in reality. The second range of questions concerns the large-scale, philosophical issues of the employment of non-standing faculty—for instance, their academic freedom—versus the practical, day-to-day details of their employment—for instance, access to office space, computers and the other physical infrastructure of academia, and representation at faculty meetings and other specifics of their function in the academic community.

We decided to address two aspects of the issue that were highlighted by this analysis.

In the "real" sphere, we decided to try to estimate the proportion of Penn undergraduate course units that are being taught by non-standing faculty. To begin this, we initiated a study of the courses taken by a group of graduating Penn seniors, examining how many courses, and which

ones, were taught by non-standing faculty members in various categories, and how many and which ones by standing faculty. Our study will initially focus on undergraduates in SAS, the School that teaches the largest number of undergraduates and of undergraduate course units.

To begin this study, we met with Stacey Lopez, Penn's new Director of Institutional Research and Analysis, and solicited her collaboration in the study, which she gladly offered. Through Associate Provost Vincent Price, the Committee then approached Dean Rebecca Bushnell and Dennis DeTurck and Kent Peterman of SAS, who have offered their cooperation.

In the "ideal" realm, we began an examination of the philosophical issues involving the employment of non-standing faculty, and the ways in which some of those issues work out in the practical realm. In particular, we began consideration of such questions as the motivation of department chairs for hiring non-standing faculty and the appropriate responsibilities of such faculty. We also considered the potential problems associated with the increasing role of non-standing faculty at Penn and the resulting need to consider and protect the interests of all parties—our students and the University, as well as those of the non-standing faculty themselves.

Both of these efforts will require long-term effort by the Committee, extending well beyond a single academic year; they therefore give rise to our most important recommendations for the Committee's work in future years.

### Recommendation of a General Study of Penn as an Eminent University in the Twenty-First Century (The Millennium Study)

The Committee has come to believe that our study of the role of non-standing faculty addresses one aspect of a larger issue that is of profound importance, not just to Penn but to our entire society, as we move into the twenty-first century: What should be the nature of a great University in the new millennium?

The immense, even exponential increase in knowledge has pushed the creative front of many disciplines farther and farther—in some cases, a decade or more—beyond the level of the introductory survey course. In many fields, years of postdoctoral work are now common before the first faculty position is achieved. As part of this growth, the research interests of most faculty members are increasingly specialized, and many of us are far from conversant with much of the new work in our own fields.

At the same time, the explosion in the technology for disseminating scholarship, research, and art, means that the results of our work are accessible to far more people, and far more rapidly than has ever been the case. Thus the effects of our work on society may be more profound, and more immediate, than ever before.

In a similar way, advances in the technology of teaching have been so swift and so wide-ranging that some have advocated the development of a group of teaching specialists, whose expertise is primarily in the techniques of teaching, and only secondarily in their conventional academic disciplines. Already, some or much of the teaching of introductory language and science courses has fallen to this group.

The meaning of an academic degree from an elite University is no longer the same as it once was, especially at the bachelor's level. These degrees were once regarded as the mark of broadly educated men and women, who were prepared not for a specific type of work, or for work in a specific type of enterprise but for a broad range of activity, including simply to be informed and perceptive citizens. Increasingly, however, degrees from eminent institutions are regarded as credentials that should certify that their holders are prepared for specific functions in society.

These are among the considerations that lead us to call on the Senate Executive Committee to develop a forum (The Millennium Study?) in which the Penn community can examine the essence of the eminent University from the broadest perspective—in which we can discuss who we are, what we want to be in the coming years, and how we should change in order to accomplish those goals.

Penn will most assuredly experience the future. Whether we do so blindly and stochastically, placing one foot in front of the other, or with forethought and some sense of purpose, is up to us.

### Recommendations for Next Year's Committee (2008-2009)

1. Vigorously push forward the study of non-standing faculty that the Committee has begun and pass the work on to future years' Committees to maintain the continuity and momentum of this important work.

2. Study and make recommendations on the role of emeritus faculty at Penn, including the rights and privileges extended to them by their Departments and Schools with a view to ensuring that they are able to enrich Penn by their continued activity, and to benefit from their continuing contact with the

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communities of which they have been valued members.

3. Examine the tenuring process, with particular reference to the School of Medicine, and with special attention to the issues of conversion from research-track to tenure-track or tenure, the timing of applications for tenure, and the declining number of junior faculty on the tenure track.

4. Review and discuss the Committee's general charge, as provided in the *Rules of the Faculty Senate*, and identify what you believe to be the most pressing issues facing the Faculty over the next few years. In light of your discussions, recommend to the Senate Executive Committee two or three high-priority charges for the Committee on Faculty to undertake in academic year 2008-2009.

## 2007-2008 Committee Members

*Stephen Phipps, School of Arts & Science/Earth & Environmental Science, Chair*

*Frank Goodman, School of Law*

*Grace Kao, School of Arts & Science/Sociology*

*Ian Lustick, School of Arts & Science/Political Science*

*Reed Pyeritz, School of Medicine, Genetics*

*Diana Slaughter-Defoe, Graduate School of Education*

*Ex-Officio:*

*Senate Chair, Larry Gladney, School of Arts and Sciences/Physics*

*Senate Chair-Elect Sherrill Adams, School of Dental Medicine*

## Report of the Faculty Senate Committee on Faculty Development, Diversity, and Equity (SCFDDE)

### General Charges to the Committee

The Committee (i) identifies and promotes best practices for faculty development, mentoring, and work environment to facilitate faculty success at all career levels; (ii) evaluates and advocates processes for faculty recruitment, promotion, and retention that promote diversity, equity, and work/life balance for the faculty; (iii) monitors the status of faculty development, mentoring, diversity, and equity; and (iv) issues periodic reports on the activities and findings of the committee and makes recommendations for implementation.

### 2007-2008 Specific Charges

The Committee reviewed the specific charges referred to it by the Senate Executive Committee. These were to:

1. Follow up on sexual harassment recommendations
2. Follow up on mentoring recommendations
3. Evaluate Penn's family-friendly policies and ensure that they are prominently displayed on Penn's web page
4. Monitor minority equity and gender equity reports.

### Report of Activities

By the end of the Spring Semester, the SCFDDE will have met in six regular meetings and nine special meetings to conduct its business.

*With respect to its charges regarding sexual harassment, family friendly policies, and minority and gender equity reports:*

a. The Committee communicated to Associate Provost Vincent Price its support of the plan to conduct train-the-trainer sessions on sexual harassment and also on bias in recruiting in each school. A progress report has been requested from the Office of the Associate Provost.

b. The Committee believes that accessible child care remains important for faculty and plans to take action on this issue in AY 2009.

c. *The Minority Equity Report* published in the December 4, 2007, *Almanac* will be reviewed at the May SCFDDE meeting. There has been no new Gender Equity Report.

*The charge related to Mentoring of Junior Faculty consumed the majority of the SCFDDE efforts this year.* Given that the Provost had requested every school to implement a mentoring program last year, and that each had complied with a written policy, the SCFDDE determined that follow up on implementation would be appropriate.

#### *Mentoring Meetings*

a. The Committee met with the mentoring facilitators from each of the 12 schools in small groups in a series of seven special meetings in January and February. Each facilitator was asked to bring the School's current policy on mentoring and to share implementation status, current challenges, things that were going well, and how the SCFDDE might be of assistance to further implementation of the plan. These meetings were instructive, both for the SCFDDE and also for facilitators, who appeared to learn from one another processes that had not been previously considered.

b. A summary of general findings, concerns, and best practices was developed and discussed on March 28 in a meeting with Associate Provost Vincent Price and mentorship consultant Dr. Mary Croughan from UCSF. Questions regarding mentorship training, accountability, exit interviews regarding quality of mentoring, and evaluation of mentorship programs were addressed in the consultation visit with Dr. Croughan. Dr. Croughan shared specific suggestions in each of these areas, both during the meeting and also in a subsequent formal presentation to the SCFDDE and the mentoring facilitators. The Committee recommends that attention to mentor training be addressed in AY 2009.

c. The SCFDDE has scheduled a forum with mentoring facilitators for May 21, 2008, in which Best Practices at Penn will be shared followed by general discussion. An outline of common procedures and standard elements for Schools to track will be distributed and discussed at the forum.

#### *Mentoring Recommendations*

a. While recognizing differences among Penn's 12 schools in size and needs, it is believed that all would benefit from a blueprint that establishes short and long term goals and a set of mentoring program evaluation metrics (including demographic data, mentee/mentor satisfaction measures, number of mentoring meetings) to be collected on an annual basis and monitored by the Deans and Provost.

b. The Committee recommends strongly that deans be required to report on faculty mentoring status [activities and outcomes] in their annual reports to the provost.

c. A description of best practices, reference materials, list of mentoring facilitators from each school, and other helpful information should be made available on the University Faculty Senate website or appropriate alternative.

d. The Committee had planned to query peer and second tier schools regarding their mentorship programs. The consultation with Dr. Croughan revealed her summary of the mentoring programs of several leading universities; thus, this work is not of primary importance at this time.

### Recommended Activities for AY 2009

*Provide input regarding mentorship into planned/ongoing University projects.* The Committee should take advantage of opportunities to have input into several related projects under way in the Office of the Provost. These include:

a. developing items regarding mentoring for insertion in the faculty exit interview surveys

b. recommending information regarding mentoring and similar areas for the planned New Faculty Orientation to the University

c. identifying mentoring evaluation data to be tracked as part of the evolving University database system, and

d. training department chairs and mentors in areas related to mentoring, sexual harassment, and family-friendly policies.

*Support the wide dissemination of mentoring best practices & opportunities.* Explore and support the development and maintenance of a dedicated website focused on faculty mentoring. This website could include not only best practices within departments and schools at Penn, but also published references and other resources and venues for faculty development [e.g., NIH].

*Support accessible quality child care.* Lack of available and quality child care remains an important factor in faculty recruitment and retention. It is important that we strive to be a leader among our peer institutions in this regard. The Committee recommends continued collaboration with the administration to achieve this goal.

*Follow up faculty recruitment pipeline issues.* Successful recruitment and retention of underrepresented minorities to Penn's faculties remain important goals. Recognition of the importance of pipeline development and access through shared information (using a relevant Penn website) will be important in this regard and should be addressed by the Committee.

*Monitoring implementation of sexual harassment and bias in recruitment training recommendations.* The Committee should continue to monitor the implementation of training across and within schools on these important matters.

## 2007-2008 Committee Members

*Lois Evans, School of Nursing, Chair*

*Stephanie Abbhul, School of Medicine*

*Helen Davies, School of Medicine*

*Cliff Deutschman, School of Medicine*

*Olena Jacenko, School of Vet Medicine*

*Susan Margulies, School of Engineering & Applied Science*

*Ex-Officio:*

*John Jackson, Chair, University Council Committee on Diversity*

*Senate Chair, Larry Gladney, School of Arts and Sciences/Physics*

*Senate Chair-Elect Sherrill Adams, School of Dental Medicine*

## Report of the Faculty Senate Committee on Faculty and the Administration (SCOA)

### The General Charge of the Committee

SCOA oversees and advises the Senate Executive Committee on matters relating to the faculty's interface with the University's administration, including policies and procedures relating to the University's structure and the conditions of faculty employment.

### Specific Charges to SCOA for 2007-2008

At the initial meeting of SCOA for the 2007-2008 academic year, Professor Larry Gladney, Chair of the Faculty Senate, presented the Committee with its official charges:

1. Keep a close watch on any cases in which the power of temporary exclusion is exercised under the new provision in order to assess its adequacy. SCOA has recommended that the new policy be reviewed in three years time, and thus any cases arising under this provision over the course of the next three years will be subject to scrutiny.

2. Discussion of current policy in *Handbook for Faculty and Administrators*, I.I.G.2 Consultation Procedures for the Appointment and Reappointment of Deans and University-wide Administrators.

3. Discussion of current policy in *Handbook for Faculty and Administrators*, I.I.G.6 Reappointment of Department and Graduate Group Chairs in consultation with Associate Provost for Faculty Affairs, Vincent Price.

4. Examine the standard sabbatical policy and its usage, especially by research faculty, in the schools doing health-related research.

5. Review and discuss this Committee's general charge, as provided in the *Senate Rules*, and identify what you believe to be the most pressing issues facing the Faculty and Administration over the next few years. In light of your discussions, recommend to the Senate Executive Committee two or three high-priority charges for the Committee on Faculty and the Administration to undertake in academic year 2007-2008. In explaining these charges, outline any appropriate actions you suppose the Senate might conceivably take after its review.

In addition, during the fall, the committee was asked to review the policy related to faculty involvement in the selection of Deans in the various schools. We added this work to our charge.

#### 1. Temporary Exclusion Provision

The Committee did not receive any reports that the temporary exclusion provision, drafted last year, was used this year.

2./3. Discussion of current policy in *Handbook for Faculty and Administrators*, I.I.G.2 Consultation Procedures for the Appointment and Reappointment of Deans and University-wide Administrators.

This charge came out of discussions with the Provost concerning reappointment of department chairs in the School of Medicine and other health schools. Under this policy, Department Chairs can serve for two six-year terms. The policy has not been followed in the School of Medicine. The Committee discussed the genesis of the discrepancy between the health schools and other schools at the University. The committee recognizes that few medical schools in the country follow term limits for Department Chairs, but also acknowledges the interests of the University in requiring term limits for Chairs. In further discussions with Professor Gladney, we were informed that negotiations between the Provost and Deans were moving forward, and SCOA was asked to allow these negotiations to move forward without further recommendations at this time. SCOA will revisit this issue at the request of the Senate Executive Committee.

4. Examine the standard sabbatical policy and its usage, especially by research faculty, in the schools doing health-related research.

The concern related to the sabbatical policy and its usage in the health schools arose in the Senate Executive Committee meeting. The concern is that because of either research or clinical (patient) responsibilities, faculty in the medical school have not been able to use sabbatical leave, and that sabbaticals and other releases from duty are not used in a consistent manner across schools. SCOA agreed that the Committee would review sabbatical information from the various schools at the University in order to identify best practices that might provide guidance for policy development that is fair and equitable across schools. The Committee met with Associate Provost Vincent Price to discuss the monitoring of sabbatical leave by faculty members.

Tracking sabbatical use by faculty is not straight forward. Presently, data from the Faculty Information System (FIS) can be examined to identify when faculty take leave that is minuted. Faculty leaves are minuted when money is taken from the Provost's Central Fund; however all types

of faculty leaves are recorded in FIS and sabbaticals cannot be separated out. Additionally, informal leaves that do not rely on the Provost's Central fund are not recorded. Presently, a system is being developed that will create profiles for faculty members, and will be able to identify sabbatical use, but this system is not yet available. The Committee reviewed preliminary data provided by Associate Provost Vincent Price and have reviewed the data with assistant professors removed from the data. The data reveal that faculty in the medical, dental and engineering schools are under-utilizing sabbatical leave. In addition, the Committee felt that faculty should be given an annual account of their individual accrual of sabbatical credits, preferably in an annual salary letter to each faculty member. Finally, the Committee noted that Penn's sabbatical leave policy is not equal to their peer institutions.

SCOA feels these are important issues that require ongoing work by the Committee. We will continue to work with the administration to review data across schools (to the best of our ability), to review practices across schools related to sabbatical and other leaves, and to review and make recommendations for any needed policy changes related to sabbatical requirements and use.

5. Review and discuss this Committee's general charge, as provided in the *Senate Rules*, and identify what you believe to be the most pressing issues facing the Faculty and Administration over the next few years. In light of your discussions, recommend to the Senate Executive Committee two or three high-priority charges for the Committee on Faculty and the Administration to undertake in academic year 2007-2008. In explaining these charges, outline any appropriate actions you suppose the Senate might conceivably take after its review.

SCOA did not formally identify any items to be reviewed by its successor committee. However, the Committee feels that further work related to the sabbatical policy is needed in order to ensure equity across schools. In addition, SCOA members recommended that a charge for next year's committee be to look into the supervision of, and faculty involvement in, the Master's programs at the University which are not under the supervision of the Provost's office.

6. Review the policy related to faculty involvement in the selection of Deans in the various schools.

Last year the Faculty Senate Tri-Chairs received a letter from some faculty expressing concern about the process and policy of selecting a Dean. The faculty requested an opportunity to interview the final candidates for the position; they are allowed to give input but there is no opportunity for expression on the final choice. They asked SEC and a Senate committee to review this matter. This request was passed to SCOA for review. We reviewed the policy and practices of faculty involvement in the selection of a Dean across schools. Although the policy in the *Faculty Handbook* states that each school should choose faculty to be on the search committee for a Dean, there is no uniformity on how faculty are selected for this role. The Committee discussed whether the faculty as a whole should have the opportunity to meet final candidates for Dean prior to their selection, and decided against this practice. The Committee felt that there were compelling reasons related to confidentiality of the candidates to decide against this practice. Furthermore, SCOA felt that faculty selected to sit on the search committee were representatives from the school, and thus, faculty had representation in the process. The Committee inquired how schools from the last four Dean searches selected their faculty members to be on the search committee and found that three of the schools rely on institutional memory and have no written procedures. SCOA agreed to recommend to the Faculty Senate Tri-Chairs that schools codify their procedures for nominating faculty to be on the search committee for a Dean.

### 2007-2008 Committee Members

*Cindy W. Christian, School of Medicine, Chair*

*William Ewald, School of Law*

*Howard Kunreuther, Wharton School*

*James Ross, School of Arts & Science/Philosophy*

*Rogers Smith, School of Arts & Science/Political Science*

*Henry Teune, School of Arts & Science/Political Science*

*Ex-Officio:*

*Senate Chair, Larry Gladney, School of Arts and Sciences/Physics*

*Senate Chair-Elect Sherrill Adams, School of Dental Medicine*