

Faculty Senate Meeting
Monday, April 27, 2009
3:30-5:30 p.m. – Adelbert Hall, Toepfer Room

AGENDA

3:30pm	Approval of Minutes from the March 25, 2009 Executive Committee meeting, <i>attachment</i>	G. Starkman
	President's Announcements	B. Snyder
3:35pm	Provost's Announcements	B. Baeslack
	Chair's Announcements	G. Starkman
3:40pm	Report from the Executive Committee	C. Musil
	Report from Secretary of the Corporation	J. Arden-Ornt
3:45pm	Discussion of Sexual Harassment Policy <i>attachment</i>	P. Higgins, C. Treml S. Nickel-Schindewolf
3:55pm	Faculty Handbook, <i>attachment</i>	C. Cano
4:00pm	Faculty Parental Leave Policy <i>attachment</i>	S. Case
4:10pm	Report on Faculty Senate Budget Priority: Childcare <i>Attachment</i>	J. Ryan
4:20pm	Announcement on Fundraising with Faculty/Staff	B. Loessin
4:30pm	Presentation on University Branding Initiatives	G. Bieler
5:10pm	New Certificate Program: Clinical Translational Oncology Research Scholars Program (CTORSP) <i>attachment</i>	A. Levine
5:20pm	Consent Agenda: <i>attachments</i> 1) Year End Reports by Standing Committee Chairs 2) Final Report of the <i>ad hoc</i> Committee on University-Level Faculty Committees	G. Starkman
5:25pm	09-10 Chair-elect and Executive Committee Recognition of the Chair Passing the Gavel to the Chair-elect	G. Starkman C. Musil

Faculty Senate

Minutes of the Meeting of April 27, 2009
Toepfer Room, Adelbert Hall

Members Present

Kathryn Adams
Jeffrey Alexander
Bud Baeslack
Daniela Calvetti
Christine Cano
Joseph Carter
Susan Case
Dave Diles
Molly Fuller
Steven Garverick
James Harris
Susan Hinze
Elizabeth Kaufman
Kenneth Ledford
Alan Levine
Leonard Lynn
Kalle Lyytinen

Charles Malemud
Frank Merat
Shirley Moore
Diana Morris
Carol Musil
Ray Muzic
Regina Nixon
Roy Ritzmann
Jonathan Sadowsky
Barbara Snyder
Glenn Starkman
Elizabeth Tracy
Susan Tullai-McGuinness
Rhonda Williams
Terry Wolpaw
Liz Woyczynski

Members Absent

Keith Armitage
Cynthia Beall
Nabil Bissada
Robert Bonomo
Martha Cathcart
William Deal
Mark De Guire
Robin Dubin
Angela Graves
Robert Greene
Peter Haas
Christine Hudak
Cheryl Killion
Wilbur Leatherberry
Jacqueline Lipton

Kenneth Loparo
Sana Loue
David Matthiesen
Kathryn Mercer
Roland Moskowitz
Ronald Occhionero
Joseph Prah
Cassandra Robertson
Alan Rocke
Benjamin Schechter
Scott Shane
Faisal Quereshy
Michele Walsh
Jeff Zabinski

Others Present

Jeanine Arden-Ornt
Chris Ash
Kathleen Carrick
Glenn Bieler
Randy Deike
Joanne Eustis
Don Feke

Lev Gonick
Lara Kalafatis
Dean Patterson
Ginger Saha
Marilyn Mobley
John Sideras
Jeffrey Wolcowitz

Call to Order

Professor Glenn Starkman, chair of the faculty senate, called the meeting to order at 3:30 p.m.

Approval of minutes

Upon motion, duly seconded, the minutes of the Faculty Senate meeting of March 25, 2009 were approved as submitted.

President's announcements

President Barbara Snyder described the April 25, 2009 Hudson Relays; the sophomore class won for the second year in a row. The statue was dedicated to Prof. Ignacio Ocasio; his family traveled from Puerto Rico for the occasion. President Snyder is seeking nominations for the position of Faculty Diversity Officer.

Provost's announcements

Provost Bud Baeslack announced that the alliance groups associated with the strategic plan are meeting regularly; recent alliance activities are described in *Case Daily*. The report on undergraduate advising is coming out shortly. And the associate provost for internationalization will be announced soon.

Chair's announcements

Prof. Glenn Starkman announced that Prof. Alan Levine has been elected as chair-elect of the Faculty Senate. And the following faculty members were elected to the Executive Committee for 2009-2010: Cynthia Beall, Ken Ledford, Ken Loparo, Katy Mercer, Diana Morris, Roy Ritzmann and Terry Wolpaw. Prof. Starkman and Prof. Carol Musil, chair-elect, will meet with Prof. Sana Loue and Prof. Aura Perez, outgoing and incoming chairs respectively of the Faculty Senate Committee on Minority Affairs, on May 22. There will be a report back to the Faculty Senate at the beginning of next year. An update on the swine flu was distributed to all members of the Faculty Senate.

Report from the Executive Committee

Prof. Carol Musil, chair-elect, encouraged people to attend the meeting of the University Faculty on Friday, May 8, 2009 and to vote by online ballot after the meeting for the proposed changes to the Constitution of the University Faculty which include replacing the UUF with the Faculty Senate Committee on Undergraduate Education.

Report from Secretary of the Corporation

Jeanine Arden-Ornt, vice president, general counsel and secretary of the corporation, summarized the recent meeting of the Board of Trustees on April 13, 2009.

Updated Sexual Harrasment Policy

Prof. Patricia Higgins, Colleen Trembl, deputy general counsel, and Sue Nickel-Schindewolf, associate vice president for student affairs and campus life, discussed the proposed changes to the Sexual Harassment Policy. After some discussion, the Faculty Senate endorsed the proposed changes.

Proposed Changes to the Faculty Handbook

Prof. Christine Cano, chair of the faculty senate committee on by-laws, presented a change to the Constitution of the University Faculty that would allow faculty and staff to attend the same state of the university address by the president each fall. The recent practice has been that the president gives two state of the university addresses, one to faculty and one to staff. As written in Article IV, Section A, the state of the university address is a required part of an annual fall meeting of the University Faculty. The proposed changes to the Constitution of the University Faculty allow that if there are additional agenda items after the state of the university address, the meeting of the University Faculty would continue after staff depart. The Faculty Senate upon motion, duly seconded, voted to approve the changes for final consideration by the Board of Trustees at its June 2009 meeting.

Faculty Parental Leave Policy

Prof. Susan Case, chair of the faculty senate committee on faculty compensation, presented the updated proposed Faculty Parental Leave Policy, which was submitted for the committee's review and edits in fall 2008. Much work has gone into clarifying all the issues addressed. The new policy gives up to 16 weeks of paid parental leave that can be applied flexibly toward work in fall and/or spring semesters, depending on the date of birth or arrival of the new child(ren). The Faculty Senate upon motion, duly seconded, voted to approve the Faculty Parental Leave Policy for final consideration by the Board of Trustee at its June 2009 meeting.

Update Report on Faculty Senate Budget Priority: Childcare

Jamie Ryan, senior director of benefits, and other members of the Childcare Committee, updated the Faculty Senate on the administration's efforts to address childcare issues for faculty and staff. The committee is expected to confirm new provisions for sick and emergency child care shortly. Also, the Cleveland Music School Settlement has expressed an interest in partnering with Case Western Reserve and University Circle employees to provide daycare for infants and toddlers. The Music School Settlement is considering the use of the site of the former Coventry School in Cleveland Heights. There were some questions, and appreciation was expressed for the committee's efforts and the administration's ongoing support on childcare issues.

Discussion of Planned Fund-Raising Campaign Directed at Faculty and Staff

Bruce Loessin, senior vice president for university relations and development, shared the administration's interest in conducting a fund-raising campaign directed at faculty and staff. Such campaigns are common at other universities. Outside donors value a high level of participation by faculty and staff in fund-raising efforts as an affirmation of support for the university's current endeavors. Some constituent faculties already have their own fund raising campaigns; there is no expectation that faculty and staff should participate in both school-wide and university-wide campaigns. Members of the Faculty Senate expressed support for the campaign. But it was asked that the amount of money donated by each faculty member be confidential, so as not to influence issues of promotion and tenure, and so as not to embarrass faculty or staff who might be hard-pressed to give large amounts of money. The development staff was encouraged to make it easy to give small amounts of money so as to increase the participation rate. The campaign would likely start within a few months.

Presentation on University Branding Issues

Glenn Bieler, associate vice president for marketing and communications, presented plans for the university’s branding and marketing efforts. *Think Beyond the Possible* will be the prominent tag line in the university’s communications. There were some questions and a few reservations were expressed. The values of University Circle, the laudable levels of inter-disciplinary research at the university, and the unique aspects of the undergraduate capstone requirement were suggested as themes that should be prominent in the university’s campaign. Mr. Bieler asked for faculty input on stories about outstanding teaching and research efforts that could be included in the university’s promotions. Prof. Starkman thanked Mr. Bieler for his efforts and those of his staff.

Consent Agenda

The year-end reports by chairs of the faculty senate standing committee and the final report of the *ad hoc* Committee on University-level Committees was distributed by email for review before the meeting. Upon motion, duly seconded, the faculty senate voted to approve the reports in the consent agenda.

Year-end Recognition and Passing of the Gavel

Prof. Glenn Starkman was thanked for his outstanding leadership of the Faculty Senate in 2008-2009. Prof. Starkman passed the gavel to Prof. Carol Musil who was recognized as the chair of the Faculty Senate for 2009-2010.

Adjournment

Upon motion, duly seconded, the meeting was adjourned at 5:35 p.m.

APPROVED
by the
FACULTY SENATE



ELIZABETH H. WOYCZYNSKI
SECRETARY OF UNIVERSITY FACULTY

SEXUAL HARASSMENT POLICY (4/21/09 DRAFT)

INTRODUCTION & POLICY STATEMENT

It is the policy of Case Western Reserve University to provide a positive, supportive, discrimination-free educational and work environment. Sexual Harassment is unacceptable and unlawful conduct, which will not be tolerated. The purpose of this policy is to define sexual harassment and the procedures the university uses to investigate and take appropriate action on complaints of sexual harassment. This policy and the accompanying procedures shall serve as the only internal university forum of resolution and appeal of sexual harassment complaints.

This policy applies to all members of the university community including all students, faculty, staff, and other university officials, whether full or part-time or under temporary contract, and guest lecturers, volunteers and visitors. Sexual harassment may involve the behavior of a person(s) regardless of the person's gender identity or expression against a person(s) of the opposite or same gender **or against a person who is transsexual or transgender**. All members of the university community must adhere to the sexual harassment policy and report violations of the policy.

The university is committed to educating its members about sexual harassment via this policy and related resources. Further **information about** sexual harassment and **frequently asked questions about this policy** can be found on the University's Sexual Conduct website at <http://www.case.edu/provost/sexualconduct/>.

Laws Governing Sexual Harassment

Sexual harassment in the workplace is a form of sex discrimination prohibited by Title VII of the Civil Rights Act of 1964 and by Section 4112.02 of the Ohio Revised Code. EEOC Guidelines require employers to affirmatively address the issue of sexual harassment and to adopt procedures for the prompt resolution of employee complaints. Similarly, federal regulations implementing Title IX of the 1972 Education Amendments require educational institutions that receive federal funds to provide a prompt and equitable procedure for resolving complaints of sex discrimination, including sexual harassment claims.

DEFINITION

Sexual Harassment can be defined as any unwelcome verbal or non-verbal sexual advance, requests for sexual favors, other verbal or physical conduct of a sexual nature, and/or conduct directed at an individual(s) because of gender when:

- a. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or student status; or
- b. Submission to or rejection of such conduct is used as the basis for decisions affecting that individual with regard to employment (raises, job, work assignments, discipline, etc.) or to student status (grades, references, assignments, etc); or
- c. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or educational experience or creates an intimidating, hostile, or offensive work and/or educational environment*. Such conduct generally involves more than one incident and must be severe or pervasive.

*The work or educational environment includes, but is not limited to: offices, classrooms and clinical settings; residence halls and Greek Houses; on or off campus interactions between university community members; and all university sponsored activities, programs, or events (including off-campus activities such as international travel programs).

Examples of Sexual Harassment:

Acts that constitute sexual harassment take a variety of forms and may include but are not limited to the following *unwelcome* actions:

1. Propositions, invitations, solicitations, and flirtations of a sexual nature.
2. Threats or insinuations that a person's employment, wages, academic grade, promotional opportunities, classroom or work assignments, or other conditions of employment or academic life may be adversely affected by not submitting to sexual advances.
3. Verbal expressions of a sexual nature, including sexual communications about a person's body, dress, appearance or sexual activities; the use of sexually degrading language, name calling, sexually suggestive jokes, or innuendoes; suggestive or insulting gestures, sounds or whistles; sexually suggestive phone calls.
4. Sexually suggestive objects or written materials, such as e-mail or internet communications, pictures, photographs, cartoons, text messages, videos, or DVD's.
5. Inappropriate and unwelcome physical contact such as touching, patting, pinching, hugging or other sexually suggestive contact.
6. Stalking of a sexual nature; i.e. persistent and unwanted contact of any form whether physical, electronic or by any other means.
7. Stereotyping or generalizing about a group based on gender. These types of comments typically constitute sexual harassment when associated with other sexual behavior or comments.

Power Relationships

When one party has any professional responsibility for another's academic or job performance or professional future, the university considers sexual relationships between the two individuals to be a basic violation of professional ethics and responsibility; this includes but is not limited to sexual relationships between faculty (including teaching assistants and laboratory supervisors) and their students or between supervisors and their employees, even if deemed to be mutually consenting relationships. Because of the asymmetry of these relationships, "consent" may be difficult to assess, may be deemed not possible, and may be construed as coercive. Such relationships also may have the potential to result in claims of sexual harassment. See Consensual Relationship Policy at <http://www.case.edu/finadmin/humres/policies/standards/cr.html>.

Although Sexual Harassment often takes place when the alleged harasser is in a position of power or influence (e.g., a faculty advisor to a student, supervisor to supervisee), other types of harassment are also possible e.g., peer to peer.

Intent

The fact that someone did not intend to sexually harass an individual is not considered a sufficient defense to a complaint of sexual harassment. For example, in some instances, cultural differences may play a role in the interpretation of behavior, by either the accuser or accused, which may result in a complaint of sexual harassment. It is expected that all members of the university community are knowledgeable about what constitutes sexual harassment under this policy. Although the accused's perceptions will be considered, in most cases, it is the effect and characteristics of the behavior on the accuser, and whether a reasonable person in a similar situation would find the conduct offensive that determine whether the behavior constitutes sexual harassment.

Academic Freedom

Case Western Reserve University adheres to the principles and traditions of academic freedom. As stated in the Faculty Handbook, academic freedom is a right of all members of the university faculty and applies to university activities including teaching and research <http://www.case.edu/president/facsen/frames/handbook/CASEFH2006.pdf>. Each faculty member may consider in his or her classes any topic relevant to the subject matter of the course as defined by the appropriate educational unit.

Case Western Reserve University also recognizes, however, that these freedoms must be in balance with the rights of others, including the rights of individuals to not be sexually harassed. It is therefore understood that the principles of academic freedom permit topics of all types, including those with sexual content, to be part of courses, lectures, and other academic pursuits. If there are questions about whether the course material or the manner in which it is presented falls within the definition of sexual harassment, the concerned party(s) should contact a designated reporting office representative (See: Designated Reporting Offices section in this policy).

RESPONSIBILITIES OF THE UNIVERSITY COMMUNITY

Any member of the university community who is consulted about and/or witnesses potential sexually harassing behavior has the responsibility to advise the accuser of the university's sexual harassment policy and encourage prompt reporting.

When a firsthand allegation of sexual harassment is made and the alleged harasser is named, members of the university community are obligated to report the allegation to one of the designated reporting office representatives (see Chart II). A firsthand allegation is defined as an allegation from a person who experienced alleged sexual harassment, or from a person who hears the allegation directly from the person who experienced the alleged sexual harassment. Because the university is committed to a positive educational and work environment, in instances where individuals witness or hear about behavior that could be construed as sexual harassment, the individual is encouraged to report the incident to the designated reporting offices.

Note: Confidential resources(i.e. those members of the university who are licensed or designated by law as professionals who can receive privileged communication, and receive information regarding possible sexual harassment in the context of a professional relationship with the reporter of that information) are not required to report allegations of sexual harassment to university representatives (see Chart I).

Specific Responsibilities of University Community Members

All members of the university community are responsible for:

1. Complying with this policy;
2. Identifying and reporting sexual harassment; and
3. Cooperating in any subsequent investigation, including appearing before a hearing committee.

Deans, directors, department chairs, department heads, supervisors, and administrative officers are responsible within their area for:

1. Complying with this policy;
2. Identifying and reporting sexual harassment;
3. Informing individuals bringing complaints about the university's policy and their right to talk to a representative in the Office of Inclusion, Diversity and Equal Opportunity or the University Office of Student Affairs as appropriate;
4. Cooperating and participating in investigations, resolutions of complaints, and the implementation of recommended sanctions, if any; and
5. Providing a work and educational environment that is free from harassment and intimidation.

Designated Reporting Office Representatives in the Office of Inclusion, Diversity and Equal Opportunity (216-368-8877), and the Office of Student Affairs (216-368-2020), are responsible for:

1. Complying with this policy;
2. Identifying and reporting sexual harassment;
3. Coordinating, disseminating, and implementing this policy;
4. Serving as a resource for all matters dealing with sexual harassment complaints;
5. Conducting informal sexual harassment complaint inquiries and facilitating resolutions as appropriate; and
6. Referring formal sexual harassment complaints to the Vice President for Inclusion, Diversity and Equal Opportunity.

REPORTING

The university supports and encourages anyone who believes they have been sexually harassed to report the incident to the reporting source of their choice. Individuals who wish to seek advice or obtain consultation regarding sexual harassment have two types of university resources:

1. **Confidential Resources** (See Chart I)
 - a. Enables the person(s) concerned about sexual harassment to seek advice, support, and guidance about how to manage the situation without initiating university action.

Note: Discussing a matter with a confidential counseling resource is not considered a report to the university or a request that any action be taken by the university in response to any allegation.

Chart I. University Confidential Resources

Student Complaints	Faculty or Staff Complaints
University Counseling Services (216) 368-5872 (24 Hours)	Employee Assistance Program (216) 241-EASE (3273) or (800) 521-3273 (24 hours)
University Health Services (216) 368-2450 (24 hours)	
Flora Stone Mather Center for Women (216) 368-0985 Ask to speak with the Licensed Professional Health Advocate (M-Fri) 8:30 a.m. to 5:00 p.m.	
Inter-Religious Center Muslim Campus Ministry, Newman Catholic Campus Ministry, and United Protestant Campus Ministry (216) 421- 9614 or Hillel (216) 231-0040 <i>(Ask to speak with a Clergy person)</i>	

2. Designated Reporting Offices (see Chart II)

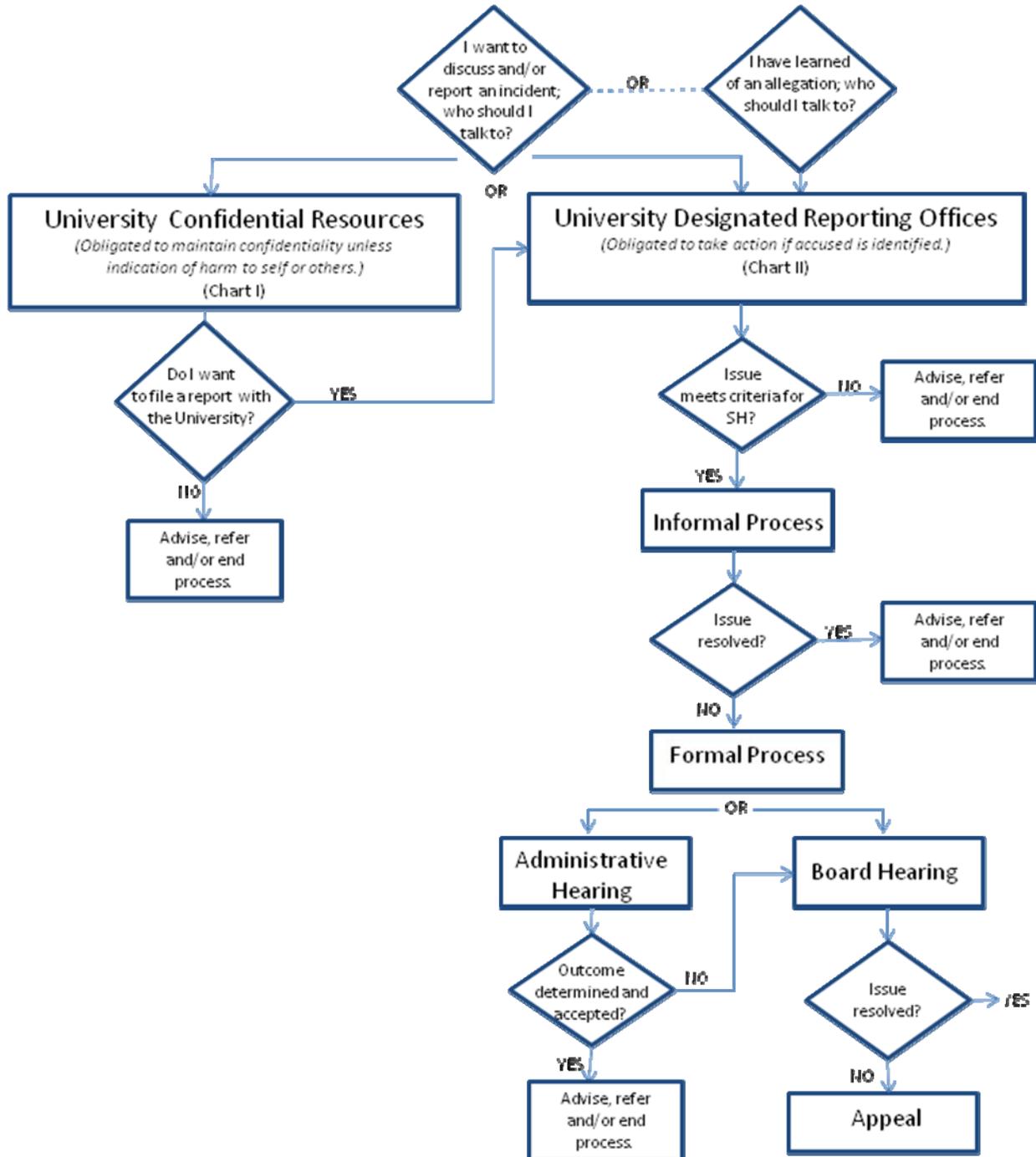
- a. Enables the person(s) concerned to seek advice, support, and guidance about sexual harassment *without disclosing* the name(s) of the accused.
and/or
- b. Enables the person to file a complaint of sexual harassment with the university, and when the name of the accused is made known to a designated reporting office representative, university action will be initiated.

Note: Designated reporting office representatives are obligated to investigate complaints of sexual harassment and to pursue university action as appropriate; consequently, the designated reporting resources will attempt to keep complaints confidential to the extent possible and consistent with the university’s requirement to investigate allegations and take appropriate action.

Chart II. University Designated Reporting Offices

Student Complaints	Faculty Complaints	Staff Complaints
Associate Vice President for Student Affairs (216)368-2020 (M-Fri) 8:30 a.m. to 5:00 p.m.	Faculty Diversity Officer (216)368-8877 (M-Fri) 8:30 a.m. to 5:00 p.m.	Equal Employment Opportunity and Diversity Specialist (216) 368-8877 (M-Fri) 8:30 a.m. to 5:00 p.m.

Student, Faculty, and Staff Sexual Harassment Complaint Process



Complaints Involving Different Constituents

When a sexual harassment complaint is made against an individual from a different constituency than the accuser (i.e. students/faculty complaints, faculty/staff complaints, etc.), the designated reporting office representatives representing each constituency will work together to investigate and bring resolution to the complaint.

Timely Reporting

Prompt reporting is in the best interest of the entire university community and enables the university to address and correct unacceptable behavior and provide support for the person(s) bringing the complaint. **Complaints must be brought to the attention of the university within two years of the alleged incident. In some instances, the university reserves the right to utilize the sexual harassment policy and procedures and take action concerning a complaint brought beyond this period of time.**

Anyone who has been sexually harassed may choose whether to pursue both the university sexual harassment process and/or criminal prosecution (if applicable). However, choosing not to pursue university or criminal prosecution does not remove the responsibility of the university to investigate and/or take action (*See Investigative Responsibility Section of this policy*).

Reporting Alternatives

Anonymous Reports

An anonymous report of sexual harassment is not considered a complaint under the policy. While the university will attempt to perform an inquiry as to any anonymous report received, anonymous reporting will limit the ability to conduct an effective inquiry and take action concerning the report (see University's Responsibility section of this policy).

Responsibility of Confidentiality & Non-Retaliation

When a report of sexual harassment is made, both the accused and the accuser, and all identified witnesses who are named in the investigation, will be notified of the university's expectation of confidentiality. The university will attempt to maintain confidentiality to the extent possible within legitimate conduct of an investigation and/or as required by law.

In addition, all parties will be informed of the consequences of retaliating against anyone involved in the complaint. Retaliation against persons raising concerns about sexual harassment or against witnesses or any person cooperating in the sexual harassment process is prohibited and will constitute separate grounds for disciplinary action. An individual who believes they have experienced retaliation should contact a designated reporting office representative (see Chart II) under the policy and the university will investigate the complaint. If the university determines that evidence exists to support that retaliation occurred, appropriate action will be taken, regardless of the outcome of the underlying sexual harassment complaint.

SEXUAL HARASSMENT COMPLAINT PROCEDURES

UNIVERSITY RESPONSE

University's Responsibility

Once a report of sexual harassment is made to one of the designated reporting office representatives, the university is obligated by law to investigate and to take appropriate action regardless of whether the accuser wishes to participate or considers the behavior sexual harassment.

The university's authority to investigate, to compel cooperation, or to impose sanctions against those who are not members of the university community is limited. The informal and formal processes as described below apply to faculty, staff, and students of the university. Complaints against guest lecturers, volunteers, and visitors will be referred to the Vice President of Inclusion, Diversity and Equal Opportunity or his/her designee for investigation and appropriate action.

Immediate University Action

Upon receiving a complaint, the designated reporting office representative will take appropriate immediate actions to protect the safety and well-being of the individuals involved in a complaint of sexual harassment. Generally, such actions include but are not limited to the following:

1. Notify the accused that a complaint has been made against them;
2. Provide a copy of the university sexual harassment policy to both parties;
3. Establish an agreement between the parties that they are not to initiate contact with the other party or parties until further notice by the university. Failure to cooperate or honor the agreement could result in restricting either party's presence on campus;
4. Have each of the parties and any witnesses sign a confidentiality statement, agreeing that they will keep the sexual harassment complaint and process confidential;
5. Advise all parties and any witnesses that they may not retaliate against any party or any witness involved in a sexual harassment complaint.

University Police Responsibility

There may be instances in which sexual harassment constitutes a criminal act. If a designated **reporting office** or the Case Police receives a complaint, or is made aware of a complaint of sexual harassment that also involves possible criminal activity, the **designated reporting office** and/or Case Police have a responsibility to uphold and enforce the law, even if the person sexually harassed does not want to participate in the process and/or make a complaint.

COMPLAINT RESOLUTION

Those having a concern about sexual harassment are encouraged to refer to the sexual conduct website at <http://www.case.edu/provost/sexualconduct/> for information and resources about sexual harassment. To discuss university policy and/or to file a complaint, the designated reporting office representatives in the Office of Inclusion, Diversity and Equal Opportunity or the University Office of Student Affairs will meet with any person(s) who raise concerns about sexual harassment at the

university. They will provide general advice and resources about sexual harassment and will also discuss options for pursuing both informal and formal resolution of a sexual harassment complaint.

Resolving the Complaint

Once the accuser initiates an allegation and the accused person or group is identified, the designated reporting office representatives will conduct an initial inquiry of the sexual harassment complaint.

Initial Inquiry

An initial inquiry will include interviews with the person(s) reporting harassment and those person(s) accused of harassment and may include interviews of other potential witnesses. Following the initial inquiry, the designated reporting office representative will determine if the information gathered during the initial inquiry indicates that the complaint falls within the sexual harassment policy.

If so, the policy's complaint processes will be utilized, as appropriate, to bring resolution to the complaint. If the initial inquiry finds that the complaint does not fall within the sexual harassment policy, the accuser may be referred to other university policies or resources and/or the matter will be closed.

While an initial inquiry will be pursued for every identified complaint, generally, disciplinary action will not be taken against an individual or group unless the formal complaint process is used.

Complaints by the University

The university may bring a complaint against an accused person in instances in which the accuser is not willing to bring a complaint and the university determines it is necessary for the university to initiate a complaint. In such a case, the university will select a representative to act during the formal process.

Generally, if the accused is a faculty member, the university representative shall be the Provost or his/her designee; if the accused is a student, the university representative shall be the Vice President for Student Affairs or his/her designee; and if the accused is a staff member, the university representative shall be the Vice President for Human Resources or his/her designee. If the university representative is the accused or a potential witness, the president shall appoint the university representative. The university representative shall have the same rights and responsibilities as the accuser as outlined in this policy. The university representative shall not be an attorney from the Office of General Counsel.

Rights Under the Process

The accuser and the accused can expect the university to respect the rights of all involved by following the stated university sexual harassment process.

Rights of the Accuser and the Accused:

- To confidentiality as provided in this policy (see above).
- To options outlined in the informal process or formal process if applicable.
- To the presence of an advisor at a board hearing (see Board Hearing Procedures).
- To not be questioned about past sexual conduct unless relevant to the case.
- To have the allegations investigated in a thorough and timely manner.
- To refrain from making self incriminating statements. However, the university will make a determination of whether a violation of the sexual harassment policy occurred based on the information presented.

- To be informed of the outcome of the sexual harassment process.

Informal Process

All parties will participate in the informal process. The following are examples of possible options, one or more of which may be used to bring resolution to an informal complaint.

Potential Informal Actions:

1. Distribute a copy of the sexual harassment policy as a reminder to the department or area whose behavior is being questioned;
2. Educate all parties regarding the university sexual harassment policy;
3. Advise the person(s) how to communicate the unwelcome nature of the behavior to the alleged harasser;
4. Conduct a sexual harassment educational workshop for the designated department/school/university organization;
5. Meet with the accused to raise awareness about alleged inappropriate behavior and provide notice about possible university consequences;
6. Mediate and/or negotiate with the accuser and accused (with the agreement of all parties);
7. Institute alternative work, living arrangements, class schedule, advisor/supervisor arrangements; or
8. Limit contact between accused and accuser.

At the conclusion of the informal process a letter summarizing the outcome(s) of the process will be sent by the designated reporting office representative(s) to the accuser and accused and other appropriate university officials to bring closure to the matter (see Retention of Documents section in this policy).

If the matter is not resolved to the satisfaction of the accuser or the accused utilizing the informal process, and/or the university determines the matter should be resolved through the formal process, the accuser, the accused and/or the university may pursue the formal process.

Formal Process

The university offers a formal process leading to resolution of a complaint if the complaint falls within one of the elements of the university definition of sexual harassment (see definition on page 1: a, b, or c); the informal resolution is not agreed upon or fails to satisfactorily resolve a concern; and/or the university determines the formal process is necessary.

To initiate the formal process, the person or university representative making the complaint must complete Step 1. Steps 2-4 will follow.

Step 1-Accuser's Written Statement:

1. Complete a statement on the university sexual harassment complaint form <http://xxxxxxx>. The statement should be as specific as possible, including dates, times, locations, a description of the alleged harassing behavior and the name(s) of the alleged harasser(s).
2. Provide a list of any person(s) who may have information that would be helpful to the hearing process.
3. Submit the above information to the designated reporting office representative.

Step 2- University's Response:

The designated reporting office representative will contact the accused, provide him/her with a copy of the written statement, and ask that a written response to the complaint be submitted by a specified date.

Step 3-Accused's Response:

1. Submit a written response to the complaint to the designated **reporting office**. The response will be forwarded to the accuser and/or the university representative bringing the complaint, when applicable.
2. Provide a list of any person(s) who may have information that would be helpful to the hearing process.

Step 4-Determination of Administrative Hearing vs. Board Hearing:

A formal process may be resolved in one of two ways, through an administrative hearing or a board hearing.

An administrative hearing may be used when all of the following exist:

1. The accuser wishes to use an administrative hearing to resolve the complaint.
2. The accused has admitted to the alleged harassment and admits that the conduct is or could be construed as sexual harassment under the university's policy.
3. The accused agrees to an administrative hearing to resolve the complaint.
4. The designated reporting office representative(s) determine(s) that an administrative hearing is appropriate to bring resolution to the complaint.

A board hearing is used when the following exists:

1. The accuser wants to use a board hearing to resolve the complaint, and/or the designated reporting office representative(s) determine(s) that a board hearing is necessary to resolve the complaint.

Or

2. The accused does not admit that the alleged harassment has occurred and/or does not admit that the alleged conduct is sexual harassment under the university's policy.

Formal Process: Administrative Hearing

If the requirements listed above are met, an administrative hearing will be conducted. The function of this hearing is to hear from the accuser and the accused and to determine an appropriate sanction.

All administrative hearings will be conducted by the Vice President for Inclusion, Diversity and Equal Opportunity or his or her designee (the university hearing representative).

Administrative Hearing Procedure:

1. The accuser and accused will be notified of the date, time and location of the hearing.
2. The hearing is closed and generally includes only the accused and the Vice President for Inclusion, Diversity and Equal Opportunity or his or her designee.
3. The accuser may submit an additional written statement concerning the effect of the harassment and the desired sanction for the accused.
4. The accused may make a statement about the harassment and the possible sanction for the harassment, and present any other information to the university hearing representative.

5. The university hearing representative may ask questions of the accused and will consider the statements and any relevant information received during the investigation.
6. Prior to determining a sanction: the Vice President for Inclusion, Diversity and Equal Opportunity or his/her designee will consult with the following individuals depending on the constituency of the accused:

When a student is the accused: Vice President for Student Affairs or his/her designee;

When a faculty member is the accused: Provost or his/her designee;

When a staff member is the accused: Vice President for Human Resources or his/her designee.

7. After the hearing is concluded, the Vice President for Inclusion, Diversity and Equal Opportunity or his/her designee will make a decision promptly on the appropriate sanction and communicate that decision in writing to the accused, accuser, and to any university administrators, faculty or staff who require the information to carry out the sanction.

Administrative Hearing Appeal Process

If the accuser or the accused is not satisfied with the outcome of the administrative hearing, either may notify the Vice President for Inclusion, Diversity and Equal Opportunity or his/her designee of the desire to initiate a formal board hearing. Appeals must be submitted within five (5) business days of receipt of the written decision. A formal board hearing as outlined below will then be held.

Formal Process: Board Hearing

Sexual Harassment Board Membership: A sexual harassment board is appointed by the President annually and will include representatives of the administration, faculty, staff, and students. The appointees serve one-year terms renewable at the option of the President for up to three consecutive years. All board members will receive training specific to sexual harassment issues.

Hearing Board Composition: Three representative members will be selected from the board-at-large (faculty, staff and/or students) to serve as the hearing board for an individual case.

Chairperson: The Vice President of Inclusion, Diversity and Equal Opportunity or his/her designee serves as the chairperson and is an ex-officio, non-voting member of the board and facilitates the hearing process.

Board Members: The role of the selected board members is to determine if the action(s) or behavior(s) of the accused violates the university's sexual harassment policy. If the board finds the accused in violation of the policy, it will determine a sanction(s) to resolve the complaint.

Pre-Hearing Procedure: Prior to the board hearing, the chairperson will:

1. Determine available and appropriate hearing board members. An attempt will be made to include board members representing the constituencies of the accuser and the accused;
2. Consult with the accuser, the accused and potential board members to determine any personal and/or professional conflicts of interest that may make the board member unable to render an unbiased decision. All board participants are required to disclose any personal and/or professional conflicts of interest to the chairperson prior to agreeing to participate in a board hearing. The chairperson will determine whether a member should not serve on the board because of a conflict of interest;

3. Advise the accuser and accused of their right to have an advisor at the hearing, **who must be a current student, faculty or staff member of the university community. An advisor may not be an attorney from outside the university community or a witness in the matter.** Advisors may only consult with their advisee; they may not participate in the hearing in any way or address the board unless responding to a direct question from the chairperson;
4. Allow the board to require relevant members of the university community to participate in the hearing and request those outside the university community to appear at the hearing;
5. Notify all board members, the accuser, the accused, the witnesses and all those involved in the hearing process that the hearing is confidential and should not be discussed outside the hearing proceedings;
6. Make a determination as to the relevance of the information submitted and prepare information to be considered by the board; the information should include the following:
 - Accuser's written statement;
 - The accused's response;
 - Any other information submitted by the accuser or accused as deemed relevant to the complaint;
 - Any other information that may be relevant to the complaint;
 - Witness list (**Prior to the hearing, each witness will be expected to submit a written statement about their knowledge of the complaint.**)
7. Provide accuser, accused, and advisors an opportunity to review all information prior to the hearing;
8. Arrange a hearing date, time, and location and notify all hearing participants in writing;
9. Advise board members about the complaint and the hearing procedures.

Hearing Procedure:

1. The chairperson will convene the hearing by introducing the participants and explaining the sexual harassment hearing purpose, procedures and standard of proof;
2. Standard of Proof is preponderance of evidence, which means that the board must be convinced, in light of all the information presented, **that it is more likely than not that the sexual harassment was violated;**
3. An audio recording of the hearing will be made;
4. The accuser will be invited to make a statement to the board;
5. The accused will be invited to make a statement to the board;
6. Witnesses invited to appear before the board will be asked to **submit a written statement;**
7. Board members will be permitted to ask questions at the conclusion of each statement. The accuser and the accused may then ask questions of each other. All questions must be directed to the chair.
8. The accuser, the accused and their advisors will be permitted to sit in the hearing during all statements and questioning. Witnesses will be permitted to attend only during their own statements and questioning.
9. The board may ask further questions of the accuser and the accused after it has heard from all witnesses invited to appear.
10. After all statements and questioning are completed, the board will dismiss the accuser, the accused and their advisors from the hearing and meet to discuss findings in confidence.
11. The board will consider all information received as part of the hearing process.

12. The board will issue one of the following findings:
 - a. The university's sexual harassment policy was not violated or
 - b. The university's sexual harassment policy was violated;
13. The board may also determine that the accuser's actions may violate some other university policy. This information will be provided to the **chairperson, who will direct the information to the** university official for further investigation and resolution.
14. If the board determines that the sexual harassment policy was violated, the board members will determine sanctions. Sanctions will be based on the nature and severity of the offense. In general, sanctions may include, but are not limited to, one or more of the following:
 - Apology and/or reprimand;
 - Participation in educational, skills or management training;
 - Written warning, or letter of reprimand;
 - Institute alternative work and/or living arrangements, class schedules, advisor/supervisor arrangements;
 - Limit contact between accused and accuser;
 - Faculty and staff may face suspension without pay, consideration of or denial of advancement or pay raise, demotion, or termination for cause;
 - Students may be suspended from the university, university housing, selected activities or organizations; placed on probation; or expelled from the university.
15. Prior to determining a sanction, the board **will** consult with the following individuals depending on the constituency of the accused:
 - **When a student is the accused:** Vice President for Student Affairs or his/her designee
 - **When a faculty member is the accused:** Provost or his/her designee
 - **When a staff member is the accused:** Vice President for Human Resources or his/her designee

Report of Findings

1. The board shall draft a written report that includes its finding of whether the policy has been violated or the policy has not been violated, the reason for the finding, and sanctions (if applicable).
2. The chairperson will distribute a copy of the report to the accuser, accused, and to the accused's department chair, dean/supervisor, and appropriate vice president(s) or his/her designee. A copy of the report will be kept on file in the Office of Inclusion, Diversity and Equal Opportunity. The chairperson will identify and notify the appropriate individuals to carry out the accused's sanctions, if applicable.

Appeal Process

Either the accused or the accuser may appeal the board's finding and/or sanction to the president on the basis for appeal set out below. Appeals must be submitted to the Vice President for Inclusion, Diversity and Equal Opportunity or his/her designee **within five business days of receipt of the written decision** and must specify the grounds for the appeal. The individual appealing must complete an Appeal Form in writing at <http://.....>

- The grounds on which an appeal may be filed with the president are limited to the following:

1. New information not available to the board which, if available at the time of the hearing, may have affected the decision
 2. Evidence that established procedures were not followed in a manner that may have affected the decision, and/or
 3. The sanction was inappropriate for the violation
- The president shall review the report and sanctions to be imposed, and may review any documents, the recording or statements presented to the board
 - The president may accept, reject, or modify the finding and/or sanctions of the board based on one of the three grounds for appeal.
 - The president will communicate his/her decision, in writing, to the Vice President for Inclusion, Diversity and Equal Opportunity or his/her designee, who will forward the decision to the accused, the accuser, and the board members.
 - If the president rejects or modifies the board's decision, the Vice President of Inclusion, Diversity and Equal Opportunity or his/her designee also shall forward the president's decision to the accused's department chair, dean/supervisor, and appropriate vice president(s).
 - The president's decision shall be final **with the exception of certain faculty sanctions described in "Additional Faculty Sanction Process"**.

Additional Faculty Sanction Process

If the sanction **issued to a faculty member**, following any appeals, is **(1) termination of a tenured faculty member's appointment or (2) demotion in academic rank of a faculty appointment (professor, associate professor, assistant professor, or instructor) then** the procedures in Section IV of the Faculty Handbook are initiated. The factual findings and conclusions of the sexual harassment board, or the president following appeal, shall be determinative as to whether the university's sexual harassment policy has been violated. The Section IV **of the Faculty Handbook** proceedings shall be limited to a determination of whether the finding constitutes just cause for termination of the tenured faculty appointment **or for demotion in academic rank.**

False Claims of Sexual Harassment

The University reserves the right to take appropriate action concerning members of the community who bring false claims of sexual harassment. A "false claim" exists when a person knowingly files a complaint against another person which the accuser knows is not true. No complaint will be considered "false" solely because it cannot be corroborated or because a formal process found there was no violation of the university's sexual harassment policy. An accused may file a complaint of a false claim of sexual harassment by contacting one of the designated reporting office representatives under the policy. The university will investigate the complaint of a false claim and if it determines that evidence exists to support the false claims complaint, it will take appropriate action, which may include disciplinary action up to and including suspension, expulsion or termination.

RETENTION OF DOCUMENTS

All records will be retained for at least as long as the accused and/or the accuser(s) are members of the university community. Records will be kept in a confidential and secured location and only made available to designated reporting office representative(s), other appropriate university officials, or other authorized individuals as determined by law.

Informal Complaints: Information about all informal complaints will be kept on file in the offices of the designated reporting office representatives, and in the Office of Inclusion, Diversity and Equal Opportunity, **and in a confidential file in the appropriate dean's and/or department chair's and/or supervisor's office when such dean/chair/supervisor is notified of the informal complaint to ensure that the university is maintaining records of those individuals about whom multiple informal complaints have been made and/or to enforce the informal resolution.**

Formal Complaints: If the accused is found to have violated the sexual harassment policy, a copy of the decision letter will be retained in the individual's official university file.

If the person found in violation is a:

Faculty: The information will be kept on file in the Office of the Provost, the office of the appropriate dean and department, and the Office of Inclusion, Diversity and Equal Opportunity.

Staff: The information will be kept on file in Human Resources, the Department, and the Office of Inclusion, Diversity and Equal Opportunity.

Student: The information will be kept on file in the University Office of Student Affairs, the Dean's Office of the appropriate school, and the Office of Inclusion, Diversity and Equal Opportunity.

If the accused is found not to have violated the sexual harassment policy, a copy of the decision will be retained in the Office of Inclusion, Diversity and Equal Opportunity.

Annual Report

An annual report of sexual harassment complaints and their resolutions shall be produced by the Vice President of Inclusion, Diversity and Equal Opportunity or his/her designee **and accessible on the Office of Inclusion, Diversity and Equal Opportunity website.** The report shall identify accusers and accused by constituency only, e.g., student, staff, faculty.

Last Updated: 4/21/09

For April 2009 Meetings of
Executive Committee and
Faculty Senate

Approved changes

Proposed change

Text relevant to proposed change

Chapter 2

Organization and Constitution of the Faculty

Introduction

The Board of Trustees has delegated to the University Faculty certain powers and responsibilities concerning the University's educational, research, and scholarly activities. Educational policy is recommended to the president for transmittal to the Board of Trustees through the structure described in the "Constitution of the University Faculty."

The faculty of the University comprises eight constituent faculties, each responsible for a particular professional or scholarly discipline or group of related disciplines. The eight include the faculties of Applied Social Sciences; Arts and Sciences; Dentistry; Engineering; Law; Management; Medicine; and Nursing.

All powers of the University Faculty, not reserved for the University Faculty itself, are exercised by the Faculty Senate, which is elected by the constituent faculties. The Faculty Senate also includes voting student members. The president of the University, the provost or a designee of the president, and the secretary of the University Faculty are members *ex officio* of the University Faculty and Faculty Senate.

Undergraduate education is governed by the Faculty Senate Committee on Undergraduate Education.

Graduate education is governed by the Faculty Senate Committee on Graduate Studies.

The secretary of the University Faculty serves as secretary of the Faculty Senate. Copies of the complete by-laws of the Faculty Senate may be obtained from the Office of the Secretary of the Faculty Senate. The by-laws of each constituent faculty may be obtained from the dean of the respective unit.

Preamble

The Board of Trustees of the University has delegated to the University Faculty certain powers and responsibilities within the scope of faculty competence and consisting of the conduct of the institution's educational, research and scholarly activities. These activities inherently require action in concert among the various scholarly disciplines, and thus call for a coherent structure of group policy formulation and group procedure. The provision of such a structure is the essential function of this constitution.

ARTICLE I. MEMBERSHIP OF THE UNIVERSITY FACULTY

The University Faculty consists of three different categories of faculty appointments: 1) tenured or tenure track appointments, 2) non-tenure track appointments, and 3) special appointments. Faculty members described in Sec. A and Sec. B shall be deemed "voting members" of the University Faculty. Each engage in the missions of faculty of the University as described below:

Sec. A. Tenured or tenure-track faculty members

Tenured or tenure track faculty members are those persons holding full-time academic appointments at the ranks of professor, associate professor, and assistant professor in the constituent faculties whose obligations to the University include 1) teaching, 2) research and scholarship, and 3) service to the University community. Tenured or tenure track faculty shall be entitled to vote on all matters coming before the University Faculty as well as all matters coming before the constituent faculties in which they are appointed.

Sec. B. Non-tenure track faculty members

Non-tenure track faculty members are those persons holding full-time academic appointments at the ranks of professor, associate professor, assistant professor, senior instructor, and instructor in the constituent faculties whose obligations to the University include two of the three obligations of the tenured/tenure track faculty, i.e. 1) teaching, 2) research and scholarship or 3) service to the University community. Non-tenure track faculty members shall be entitled to vote on all matters coming before the University Faculty. The by-laws of the constituent faculty shall determine if they may vote on matters coming before the constituent faculties in which they are appointed.

Sec. C. Special faculty members

Special faculty members are: 1) those persons holding part-time academic appointments, or 2) persons holding full-time academic appointments, but who have specific, limited responsibilities for the duration of a specific project, or for a limited duration. Examples of special appointments are faculty members hired for one semester, who teach one course on a repeated basis, who engage in clinical supervision only without other responsibilities to the University, or who are engaged in a specific project conducted outside the University. In general, special faculty members' obligations to the University shall include one of the three obligations of the tenured/tenure track faculty, i.e. 1) teaching, 2) research and scholarship or 3) service to the university community. The titles held by special faculty members shall be determined according to the by-laws of the constituent faculty to which their appointment is made, subject to approval by the provost, and shall include a modifier to traditional ranks that reflects the nature of the appointment. Special faculty members shall not be entitled to vote on any matter coming before the University Faculty. The by-laws of the constituent faculty shall determine if they may vote on matters coming before the constituent faculties in which they are appointed.

Sec. D. Majority of appointments shall be tenured or tenure track

At least a majority of the voting University Faculty members within each constituent faculty shall be tenured or tenure track faculty members. However, under special circumstances which are reviewed by the Faculty Senate and approved by the provost, a constituent faculty may ask for an exception to this rule. Unless otherwise stated in the by-laws or by separate resolution of the constituent faculty, the proportion of tenure/tenure track faculty to non-tenure track faculty within a constituent faculty will be decided by the dean in consultation with that constituent faculty, subject to review by the Faculty Senate and the approval of the provost. The provost will monitor and must approve available tenured or tenure track positions in all constituent faculties.

Sec. E. Members ex officio

The president of the University, the provost or a designee of the president, the secretary of the University Faculty, and such other officers of the University as may be specified in the by-laws of the Faculty Senate shall be voting members of the University Faculty by virtue of office.

Sec. F. List of members of the University Faculty

By September 1 of each year, the dean of each constituent faculty shall furnish to the Secretary of the University Faculty a list of all voting members of the University Faculty, according to the above definitions, showing their respective ranks and voting privileges. Faculty additions or deletions from the list shall be communicated to the secretary of the University Faculty when they occur. Unless a written challenge is filed with the secretary of the University Faculty, each person whose name appears on any of these lists shall be a member of the University Faculty. Such a challenge shall be adjudicated by the Faculty Senate.

ARTICLE II. OFFICERS OF THE UNIVERSITY FACULTY

Sec. A. Chair

The president of the University shall be chair of the University Faculty.

Sec. B. Vice Chair

The chair of the Faculty Senate shall be vice chair of the University Faculty.

Sec. C. Secretary

The secretary of the University Faculty shall update and make available to every member of the University Faculty, as defined in Article I, Section A-C, a *Faculty Handbook* setting forth all university policies and procedures directly affecting members of the University Faculty.

ARTICLE III. AUTHORITIES AND POWERS OF THE UNIVERSITY FACULTY

Sec. A. Authorities

Those authorities delegated by the Board of Trustees to the faculty for the educational, research and scholarly activities of the University shall reside in the University Faculty.

Sec. B. Powers Reserved

The University Faculty, on recommendation of the Faculty Senate, as provided in Article V, Section A, Paragraph 2, shall make recommendations to the president for consideration and transmittal to the Board of Trustees concerning amendments to the Constitution of the University Faculty (Chapter 2); the establishment, discontinuance, or separation of any college, school, or constituent faculty, or the merging of two or more of such organizational units; or the consolidation of the University with other academic organizations. The University Faculty shall have the rights of initiative and referendum under procedures specified in Article VIII.

ARTICLE IV. MEETINGS OF THE UNIVERSITY FACULTY

Sec. A. Annual Meeting

The University Faculty shall have an annual meeting early in the fall term. The agenda for the annual meeting shall include a report by the president on the state of the University and such additional business as may be introduced by the process of initiative as provided in Article VIII. Staff may be invited by the president and the chair of the Senate to attend the report on the state of the University and discussion thereon. That report shall then be delivered immediately after the

meeting is called to order and all other business that concerns just the University Faculty, if any, shall follow discussion of the report.

Sec. B. Special Meetings

Special meetings of the University Faculty may be called by the president or by the Faculty Senate, or upon a petition of ten percent of the voting members of the University Faculty stating the purpose of the proposed meeting. The petition shall be delivered to the secretary of the University Faculty who shall certify the validity of the petition to the president, who in turn shall call the special meeting within thirty (30) days of receiving the certified petition.

Sec. C. Emergency Meetings

An emergency meeting of the University Faculty may be called by the president or by the chair of the Faculty Senate.

Sec. D. Notification and Agenda

The chair of the Faculty Senate, or on the chair's designation, the secretary of the University Faculty, shall notify each voting member of the University Faculty at least ten days before each annual meeting and special meeting. Such notification shall be in writing and shall specify the time, the place, and the agenda of the meeting. Any main motion to be introduced at an annual meeting or a special meeting shall be included in the agenda.

Sec. E. Quorum and Rules of Order

Par. 1. A quorum of a meeting of the University Faculty shall consist of thirty percent of the voting members, except that at a meeting called by petition, a quorum shall be forty percent.

Par. 2. Meetings shall be conducted according to the latest edition of *Robert's Rules of Order Newly Revised*, unless otherwise specified.

ARTICLE V. THE FACULTY SENATE

Sec. A. Purpose and Functions

Par. 1. There shall be a Faculty Senate, which shall meet regularly to exercise all powers of the University Faculty not reserved to the University Faculty itself or delegated elsewhere by the University Faculty.

Par. 2. The powers and obligations of the Faculty Senate shall include but not be limited to those following:

- a. Making recommendations to the University Faculty on all issues presented to the University Faculty, including those specified in Article III, Section B.
- b. Making recommendations to the president for consideration and transmittal to the Board of Trustees with respect to policies governing:
 1. Standards of appointment, reappointment, promotion, tenure and termination of service of members of the constituent faculties;
 2. Standards for curricula and content of all degree programs;
 3. Standards and facilities for research and scholarship;
 4. Admission standards and academic requirements for students;
 5. Awarding of degrees in course;

6. Awarding of honorary degrees.
- c. Making recommendations to the president for consideration and transmittal to the Board of Trustees with respect to:
 1. New degrees and the discontinuance of existing degrees;
 2. The establishment or discontinuance of departments within constituent faculties, as provided in Article VII, Section B, the renaming of departments, the merging of departments, or the transfer of departments between constituent faculties;
 3. Approval of the University academic calendar and modifications in the university calendar except in the case of extraordinary circumstances.
- d. Advising and consulting with the president on the appointment of major academic officers other than those of individual constituent faculties, on the formulation of the budget, on the allocation of the University's resources and facilities, on long-range planning, on the composition of faculty benefits, and on other matters of similar concern to the University Faculty.
- e. Reviewing current programs, policies and organizational structures with regard to their effectiveness, and exercising initiative in proposing the development and introduction of new programs, policies, and organizational structures.
- f. Recommending amendments of this constitution, as provided in Article IX.

Sec. B. Meetings

Par. 1. The by-laws of the Faculty Senate shall provide as to frequency of regular meetings and emergency meetings, provided, however, that each year the Faculty Senate shall hold not fewer than two regular meetings during the period from September to December, inclusive, nor fewer than two during the period from January to May, inclusive.

Par. 2. The by-laws of the Faculty Senate shall specify rules concerning the calling of meetings by petition or otherwise, notice of meetings, agenda, quorum, meeting procedures, and the distribution and approval of minutes.

Sec. C. Membership

The voting members of the Faculty Senate shall be the president of the University, the provost or a designee of the president, the secretary of the Faculty Senate, elected voting members of the University Faculty apportioned as specified in Article V, Section F, the chair of each standing and *ad hoc* committee of the Faculty Senate, for the duration of such committee chairmanship, one undergraduate student, one student enrolled in the School of Graduate Studies, and one student enrolled in a post-baccalaureate program in any of the professional schools, the three student members to be selected by their respective constituencies.

Sec. D. Privilege of Attendance

Members of the Board of Trustees, a designee of the provost, vice presidents, deans, and other academic officers of equivalent rank, as well as others designated in the Faculty Senate by-laws may attend all meetings of the Faculty Senate and may participate in its discussions. Student and faculty members of committees of the Faculty Senate who are not elected senators may attend all meetings of the Faculty Senate, and may participate in the discussions of the Faculty Senate related to their committee's work. Other members of the university community may attend designated meetings with the permission of the chair.

Sec. E. Officers

Par. 1. The Faculty Senate shall elect annually from among the voting members of the University Faculty a chair-elect, who shall serve as vice chair during his or her first year of office and shall become chair of the Faculty Senate during his or her second year in office and past chair in the third year. If not already an elected member of the Faculty Senate, the vice chair, the chair, and the past chair shall be voting members of the Faculty Senate by virtue

of office. The chair of the Faculty Senate, or in the chair's absence, the vice chair, shall preside over the Faculty Senate and shall be vice chair of the University Faculty.

Par. 2. The secretary of the University Faculty shall serve *ex officio* as secretary of the Faculty Senate.

Par. 3. Additional officers of the Faculty Senate may be selected in a manner and for duties and terms to be specified in the by-laws of the Faculty Senate.

Sec. F. Apportionment, Election, Term of Office, and Vacancies

Par. 1. APPORTIONMENT. Pursuant to Article V, Section C, each constituent faculty of fewer than seventy voting members of the University Faculty shall elect three voting members of the Faculty Senate, each constituent faculty of at least 70 but fewer than 150 shall elect five and each constituent faculty of 150 or greater shall elect ten. The Department of Physical Education and Athletics shall have one voting member of the Faculty Senate. For purposes of apportionment, the membership of any constituent faculty shall be deemed to consist of only those members who are voting members of the University Faculty as defined in Article I. Reapportionments shall be made prior to senatorial elections in any year as may be required by changes in the number of members of each constituent faculty or by changes in the number or identity of constituent faculties. For the purpose of such reapportionment, the secretary and the chair of the Faculty Senate shall have reference to the lists of faculty members furnished by the deans of the constituent faculties as provided in Article I of this constitution and shall inform each dean as to the resulting number of senators to be elected that year by that faculty.

Par. 2. ELECTION. Each elected faculty member of the Faculty Senate shall be elected by majority vote of the constituent faculty represented, but no one such member shall represent more than one electorate. The Department of Physical Education and Athletics shall elect its faculty senator by majority vote. Each member of the University Faculty holding appointments in more than one constituent faculty shall vote in senatorial elections and be eligible for election to the Faculty Senate as a member of that faculty in which the member holds the primary appointment. The senatorial elections shall be held in the spring semester. The newly elected senators shall take their seats at the first meeting subsequent to the spring commencement.

Par. 3. TERM OF OFFICE. The elected faculty senators representing constituent faculties shall serve overlapping three-year terms to end on commencement day of the terminal year. The faculty senator of the Department of Physical Education and Athletics shall serve a three-year term. Excepting as otherwise provided in this constitution, any elected faculty senator who shall have been a member of the Faculty Senate for three consecutive years shall not be eligible for election for a fourth consecutive year, whether representing the same or another constituency, but after the lapse of one year following three consecutive years of membership, he or she shall again be eligible for election.

Par. 4. VACANCIES OTHER THAN LEAVES OF ABSENCE. Faculty senatorial vacancies, other than those occasioned by leaves of absence from the University, shall be filled by the constituent faculty for only the unexpired portion of the term. The incumbent who completes the unexpired term shall, upon completion, be eligible for immediate election to serve for a maximum of three additional consecutive years.

Par. 5. LEAVES OF ABSENCE. Faculty senatorial vacancies occasioned by leaves of absence from the University shall be filled for only the duration of the absence. Should the period of absence terminate before the end of the senatorial term so vacated, the original incumbent, upon return to the University, shall resume membership and complete the term. Should the period of absence terminate at the same time as the senatorial term, both the original incumbent and the incumbent who shall have completed the vacated term shall be eligible for immediate election to serve for a maximum of three additional consecutive years.

Sec. G. Annual Report

Each year, the chair of the Faculty Senate shall make available to all voting members of the University Faculty a report on the activities of the Faculty Senate that year.

ARTICLE VI. COMMITTEES OF THE FACULTY SENATE

Sec. A. Executive Committee

Par. 1. The Executive Committee shall consist of thirteen persons. The president of the University, or, in the absence of the president, a designee of the president; the provost; the chair of the Faculty Senate; the vice chair of the Faculty Senate; the immediate past chair of the Faculty Senate; the secretary of the University Faculty shall be members *ex officio*. In addition, there shall be seven faculty members of the Faculty Senate elected at large by the Faculty Senate for one-year terms. A member may be successively re-elected to membership of the Executive Committee for the duration of his or her term as a member of the Faculty Senate. The chair of the Faculty Senate or, in the absence of the chair, the vice chair shall serve as chair of the Executive Committee.

Par. 2. The Executive Committee shall consult with the president on such matters as the president may bring before it; it shall be empowered to act for the Faculty Senate between meetings on matters requiring emergency action; and it shall advise the president in the selection of officers of academic administration whose positions carry responsibilities extending beyond a single constituent faculty.

Par. 3. The Executive Committee shall set the agenda for meetings of the Faculty Senate, subject, however, to such exceptions as may be specified in the by-laws of the Faculty Senate.

Par. 4. The Executive Committee shall report all actions and recommendations to the Faculty Senate.

Sec. B. Nominating Committee

Par. 1. The Nominating Committee shall consist of voting members of the University Faculty, one representing each constituent faculty, to be selected by the faculty senators representing that faculty. The dean of each constituent faculty shall administer the selection. The term of membership on the Nominating Committee shall be two years. A member of the Nominating Committee may serve no more than two terms consecutively. Members shall serve overlapping two-year terms.

Par. 2. The Nominating Committee shall nominate candidates for the position of chair-elect and for membership of the standing and *ad hoc* committees of the Faculty Senate, unless otherwise specified. The Faculty Senate shall elect a chair-elect and members of such standing and *ad hoc* committees from the nominees named by the Nominating Committee, except that additional nominations shall be invited from the floor. No nominations shall be valid unless the proposed nominee shall have signified in advance a willingness to serve.

Sec. C. Budget Committee

Par. 1. **The Budget committee shall consist of one voting member elected by each constituent faculty budget committee for a term of not less than two years, three members of the University Faculty at-large, at least one of whom must be an elected member of the Faculty Senate, the chair of the Committee on Faculty Compensation *ex officio*, and such additional members *ex officio* as shall be specified in the Faculty Senate By-Laws. The at-large members shall be elected to serve overlapping three-year terms. One of the at-large members shall serve as the chair of the Budget Committee. Should the terms of senatorial members of the Budget Committee extend beyond their terms as members of the Faculty Senate, they shall complete their committee terms as non-senatorial members.**

Par. 2. The Budget Committee shall participate with the university administration to assure that the budgetary goals and priorities are responsive to the academic plans.

Par. 3. The Budget Committee shall review and report to the Faculty Senate on the adherence to budgetary priorities and the attainment of budgetary goals. The Budget Committee shall advise the Faculty Senate on the financial feasibility of the University's current and planned education programs, activities, and facilities, and their effect on the operating budget, capital requirements, and financial health of the University. The Budget Committee shall also advise the Faculty Senate on budgetary questions as they affect current and planned educational programs, activities, and facilities.

Par. 4. The members of the Budget Committee shall serve also as the elected faculty representatives of the University Planning and Budget Committee which reports to and advises the president in the preparation of the budget of the University.

Par 5. Each constituent faculty shall have a Budget Committee. The regular members of each Budget Committee shall be selected from among the University voting faculty of that constituent faculty by direct election or by appointment by a directly elected body of that constituent faculty. In addition, each Budget Committee may include additional members *ex officio* as needed.

Sec. D. Committee on Graduate Studies

Par. 1. The Committee on Graduate Studies shall consist of the dean of graduate studies, *ex officio*, the vice president for research and technology management, *ex officio*, nine voting members of the University Faculty elected for overlapping three-year terms, three graduate student members elected for one-year terms, and the professional school senator, *ex officio*. The Nominating Committee, in consultation with the dean of graduate studies, shall select nominees for election to the committee on the basis of participation in graduate research and in graduate study and instruction. Such selection shall be broadly representative of graduate disciplines.

Par. 2. The Committee on Graduate Studies shall review and recommend to the Faculty Senate with respect to the academic standards and degree requirements of all departmental, inter-departmental, inter-divisional constituent faculty, and *ad hoc* and special programs under the administration of the dean of graduate studies.

Sec. E Committee on Undergraduate Education

Par. 1. The Committee on Undergraduate Education shall consist of (1) the following voting members: the Provost, *ex officio*, three voting members of the University Faculty elected by the Faculty Senate for overlapping three-year terms, one representative each from the College of Arts & Sciences, the Case School of Engineering, the Frances Payne Bolton School of Nursing, and the Weatherhead School of Management appointed by the executive committee/faculty council, one voting member of the University Faculty from the Department of Physical Education and Athletics, one voting member from the University Faculty from the Departments in the Case School of Medicine that offer undergraduate majors, two undergraduate students selected by the Undergraduate Student Government for a one-year term; (2) Up to four non-voting members, designated by the Provost from among members of the administration with the rank of deputy, vice or associate-provost, vice-president, or dean and having specific responsibility for undergraduate education and life. (Hereinafter, voting members of the University Faculty who have a primary or joint appointment in at least one of these four constituent faculties, or in the Department of Physical Education and Athletics, or in one of the Departments in the Case School of Medicine that offer undergraduate majors are collectively referred to as the "Undergraduate Program Faculty", or "UPF".) The Faculty Senate shall appoint a chair and vice chair from the voting members of the Undergraduate Program Faculty who are members of the Committee on Undergraduate Education, with either the chair or the vice chair assuming the role of chair in the subsequent year, assisted by the vice chair appointed in that year.

Par. 2. (a) The Undergraduate Program Faculty is responsible for the basic policies that govern undergraduate education at the University. The Committee on Undergraduate Education shall review and recommend to the Faculty Senate with respect to changes in standards of admission for undergraduate students; changes in academic requirements and regulations for undergraduate students; curricula, contents, and standards for newly-proposed undergraduate degree programs¹; changes in existing undergraduate curricula and degree programs within a constituent faculty that specifically influence undergraduate degree programs or students enrolled in undergraduate degree programs in other constituent faculties (the Provost, or the Provost's designee, in consultation with the chair of the Committee on Undergraduate Education will decide which course action forms require review by the Committee); resource allocations for undergraduate education, outcome assessment of undergraduate degree programs, the discontinuance of existing undergraduate degree programs; standards for undergraduate academic standing; standards for receipt and retention of merit-based undergraduate financial aid; standards of undergraduate academic integrity and student conduct; standards and facilities for undergraduate research and scholarship; and conditions of undergraduate student life. The Committee on Undergraduate Education shall be responsible for the

¹ Degree programs are the major and minor academic programs that are officially recognized by the Office of Undergraduate Studies and appear on an official academic transcript of a student.

interpretation of existing policies and the application of existing academic rules to decide cases that involve academic probation, separation, and readmission; to review and to decide upon applications for undergraduate admission to the University; to decide cases of receipt and retention of merit-based undergraduate financial aid; and to report its actions to the Faculty Senate as well as the appropriate administrative offices. The Committee on Undergraduate Education shall receive regular reports from the executive or other governing committees of the constituent faculties, departments, or programs of the UPF that involve matters of undergraduate education not within the charge of the Committee on Undergraduate Education and as a matter of communication transmit them to the Faculty Senate as well as the appropriate administrative offices. The Committee on Undergraduate Education shall be empowered to form subcommittees as it judges appropriate to discharge its duties and to appoint to these subcommittees voting members of the University Faculty, staff members from administrative units that serve the undergraduate mission, and undergraduate students.

(b) The Undergraduate Program Faculty is responsible for the administration of all undergraduate programs at the University. All proposals for undergraduate courses and programs must be submitted for appropriate review through at least one of the four UPF Constituent Faculties.

Par. 3. (a) When issues arise that in the judgment of the Chair or a majority of the members of the Committee on Undergraduate Education, or of the Chair of the Faculty Senate involve important basic policies that govern undergraduate education at the University and extend beyond degree programs in a constituent faculty, the Committee on Undergraduate Education may refer proposals for action to a meeting of the Undergraduate Program Faculty for discussion. After that meeting, eligible faculty members in those faculties, departments, or programs shall vote on proposals by electronic ballot. The result of that vote shall be conveyed to the Faculty Senate for action at its next meeting after the vote.

(b) Meetings of the Undergraduate Program Faculty defined in Par. 3(a) to consider proposals for action regarding issues that involve important basic policies that govern undergraduate education at the University and extend beyond degree programs in a constituent faculty may also be called by the President, by the Provost, by the Chair of Committee on Undergraduate Education, by the Chair of the Faculty Senate, or upon written petition, stating the proposal for action at the meeting and signed by not less than 10 (ten) percent of the total number of eligible voting members of the UPF. Such a petition shall be delivered to the Chair of the Committee on Undergraduate Education, who shall certify the signatures to the Committee. The Committee on Undergraduate Education shall specify a meeting date upon receipt of the Petition, such meeting to take place no later than 30 (thirty) calendar days after receipt of the petition.

(c) The President, or in the absence of the President, the Provost, or in the absence of the Provost, the Chair of the Committee on Undergraduate Education, shall preside at all meetings of the Undergraduate Program Faculty defined in Par. 3(a).

Par. 4. In discharging its responsibilities, the Committee on Undergraduate Education shall observe university policies governing academic freedom.

Sec. F. Other Standing Committees

Par. 1. The by-laws of the Faculty Senate shall provide for additional standing committees and shall assign explicitly to each the appropriate areas of Senate powers and obligations from among those enumerated in this constitution, Article V, Section A.

Par. 2. As may be provided in the by-laws of the Faculty Senate, members of such additional standing committees may include members of the university community who are not themselves members of the Faculty Senate.

Par. 3. All standing committees shall report to the Faculty Senate.

Sec. G. Ad hoc Committees

Par. 1. *Ad hoc* committees of the Faculty Senate may be established by the Executive Committee. The Executive Committee shall provide each such *ad hoc* committee with a specific charge stated in writing, and the *ad hoc* committee shall confine itself to the fulfillment of this charge unless otherwise authorized in writing by the Executive Committee. The maximum term of any such *ad hoc* committee shall be twelve months, subject to extension at the discretion of the Executive Committee.

Par. 2. At the discretion of the Executive Committee, such *ad hoc* committees may include members of the university community who are not themselves members of the Faculty Senate.

Sec. H. Multipartite Committees and Commissions

The Faculty Senate may participate on behalf of the University Faculty in the establishment of multipartite committees and commissions of faculty and other agencies and groups of the University. The Faculty Senate shall approve the faculty membership of such bodies on recommendation of the Nominating Committee.

ARTICLE VII. THE STRUCTURE OF THE UNIVERSITY FACULTY

Sec. A. Constituent Faculties

Par. 1. For the purpose of organization and execution of the educational and research programs of the University, the University Faculty shall be organized into constituent faculties, each responsible for a particular professional or scholarly discipline or group of related disciplines. In pursuit of this function, each constituent faculty shall discharge the following obligations:

- a. The recommendation to the president of promotions and of initial faculty appointments;
- b. Recommendation to the president of tenure appointments;
- c. The election of faculty members to the Faculty Senate;
- d. The recommendation to the Board of Trustees of awarding of degrees in course.

Each constituent faculty shall be governed in accordance with by-laws adopted by that faculty and ratified by the Faculty Senate.

Par. 2. Each constituent faculty shall have a dean or otherwise designated chief executive officer appointed for a term of office by the president after consultation with that faculty. Each constituent faculty shall establish procedures for advising the president regarding the appointment of a dean or chief executive officer, pursuant to the guidelines found in the *Faculty Handbook* (Chapter 3).

Par. 3. Each constituent faculty shall be responsible to the University Faculty for execution of the programs delegated to it.

Par. 4. In discharging its responsibilities, each constituent faculty shall observe university policies governing academic freedom, and its by-laws shall provide that the decision-making processes in its government are essentially democratic.

Par. 5: Each constituent faculty shall have a Budget Committee. The regular members of each Budget Committee shall be selected from among the University voting faculty of that constituent faculty by direct election or by appointment by a directly elected body of that constituent faculty. In addition, each Budget Committee may include additional members *ex officio* as needed.

Sec. B. Departments

Par. 1. Any constituent faculty may be organized into departments. The department shall be the basic unit of those faculties so organized. Each member of the University Faculty holding a principal appointment in such a faculty shall normally have an appointment in a department.

Par. 2. The department shall provide a central administration and a focal point for an academic discipline or for closely related disciplines; it shall plan and provide programs of teaching and scholarly work and professional activity, assume the responsibility for implementing these programs, and determine the policies necessary to guide

them and the practices necessary to carry them out. The department shall be responsible for the content of the undergraduate curricula and programs in its disciplinary fields. It shall maintain and staff the facilities which lie within its jurisdiction.

Par. 3. Each department shall have a chair appointed by the president after consultation with the members of that department. Such consultation shall be conducted by the dean of the constituent faculty and reported to the president. Each constituent faculty shall establish procedures for advising the president regarding appointment of a chair pursuant to the guidelines found in the *Faculty Handbook*. These procedures shall be incorporated in the by-laws of the constituent faculty.

Sec. C. Graduate Programs

Subject to regulations and standards determined by the Faculty Senate upon recommendation of the Committee on Graduate Studies, as provided in Article VI, Section D, Paragraph 2, each department, and each constituent faculty not having a departmental structure, shall be charged with the responsibility for its graduate programs, and each constituent faculty shall be charged with the responsibility for its inter-departmental and inter-divisional graduate programs. Graduate programs in which more than one constituent faculty participate shall be the joint responsibility of the participating faculties.

ARTICLE VIII. INITIATIVE AND REFERENDUM

Sec. A. Initiative

A motion or resolution may be placed on the agenda of a meeting of the University Faculty by any of the following initiative procedures:

1. A request of the president,
2. A request of the chair of the Faculty Senate,
3. A petition signed by forty percent of the voting members of the Faculty Senate,
4. A petition signed by two-thirds of the voting members of the University Faculty in any constituent faculty, or
5. A petition signed by ten percent of the voting members of the University Faculty.

Sec. B. Referendum

Any action of the Faculty Senate may be made subject to referendum by the University Faculty, within six months of the date of such action, by any of the procedures specified above for initiative. A two-thirds vote of the voting members of the University Faculty present at the meeting called to consider such referendum shall be required to overrule the action of the Faculty Senate. In the event that the meeting does not achieve a quorum, that petition of referendum shall expire.

ARTICLE IX. AMENDMENT

Par. 1. An amendment of this constitution may be proposed by majority vote of the Faculty Senate or by action of the voting members of the University Faculty at an annual meeting or at a special meeting, subject to the procedures specified in Article VIII, Section A. The vote on any proposed amendment shall be by mail ballot of the University Faculty and shall require the approval of sixty percent of those voting members returning ballots. In the case of an amendment proposed by majority vote of the Faculty Senate, the president of the University shall call a special meeting of the University Faculty to discuss the proposed amendment; that meeting shall take place not later than the fifth day preceding the final date for submission of ballots.

Par. 2. At least once every five years, the Faculty Senate shall review all provisions of this constitution and recommend to the University Faculty as to desirable amendments.

Par. 3. After its approval by the voting members of the University Faculty, an amendment shall be submitted to the president for consideration and transmittal to the Board of Trustees for approval. The amendment shall take effect immediately upon receipt of trustee approval unless the amendment specified otherwise.

ARTICLE X. RATIFICATION

Par. 1. This constitution shall be approved by a sixty percent majority vote of a meeting of the Faculty Senate as constituted under the 1969 constitution. Upon such Senate approval, a draft of this constitution shall be distributed to all members of the University Faculty, and a meeting of the University Faculty shall be held to discuss it. The constitution shall then be submitted to a mail ballot of the University Faculty and shall require the approval of sixty percent majority of those members of the University Faculty returning ballots. In the event of failure to achieve such majority, the constitution shall be referred back to the Faculty Senate.

Par. 2. After approval by the University Faculty, the constitution shall be submitted to the president for consideration and transmittal to the Board of Trustees for approval.

**Approved by the Faculty Senate 5/9/77;
approved by the Board of Trustees 6/22/77;
amended by the University Faculty 10/3/79;
approved by the Board of Trustees 10/9/79;
amended by the University Faculty 5/17/82;
approved by the Board of Trustees 6/3/82;
amended by the University Faculty 9/27/85;
approved by the Board of Trustees 10/8/85;
amended by the University Faculty 2/27/87;
approved by the Board of Trustees 3/18/87;
amended by the University Faculty 10/8/87;
approved by the Board of Trustees 10/24/87;
amended by the University Faculty 10/13/88; approved by the Board of Trustees 11/15/88;
amended by the University Faculty 10/11/90; approved by the Board of Trustees 10/13/90;
amended by the University Faculty 10/11/91; approved by the Board of Trustees 10/19/91;
amended by the University Faculty 10/15/93; approved by the Board of Trustees 10/30/93;
amended by the University Faculty 10/5/95;
approved by the Board of Trustees 11/9/95;
amended by the University Faculty 10/14/94; approved by the Board of Trustees 6/15/96;
amended by the University Faculty 10/13/00; approved by the Board of Trustees 3/11/00;
amended by the University Faculty 10/12/01; approved by the Board of Trustees 11/7/01;
amended by the University Faculty 4/23/03; approved by the Board of Trustees 5/19/03.
amended by the University Faculty 4/57/05; approved by the Board of Trustees 7/13/05*

approved by the University Faculty 5/24/77;

amended by the University Faculty 10/5/07; approved by the Board of Trustees 10/19/07

April 27, Draft 26

PARENTAL LEAVE POLICY EXECUTIVE SUMMARY

Recommendations for Replacement of Current Policy for Faculty

Case Western Reserve University is committed to providing family friendly leave programs across all Colleges and Schools to improve faculty members' quality of life by helping them balance work and family lives. To this end, it is recommended that a new Parental Leave Policy for faculty be created that will provide:

- Up to sixteen weeks (16 weeks) of paid parental leave during the academic year(s) for faculty primary caregivers, including guardians, to care for and bond with a newborn, adopted or foster child under the age of 6; the leave period is expected to be continuous unless other arrangements are agreed to by the parent/faculty member and Dean of his or her respective School
- Up to 3 weeks of paid parental leave for secondary caregivers and domestic partners to care for and bond with a newborn, adopted, or foster child
- Both a mother and a father, as well as both domestic partners, foster parents and guardians who are employees of CWRU can take this leave
- The parents shall designate which caregiver is the primary and which one is the secondary under the University paid parental leave policies
- The paid parental leave workload release will replace the current workload release policy of teaching and service. The new policy releases a faculty member from research, scholarship, teaching and service duties
- For purposes of the 16 consecutive weeks, for a faculty on a nine-month contract, the year is defined as the first day of classes in August to graduation in May; for faculty on a twelve-month contract the year extends from July 1 to June 30.

Current Policy

Recommended Policy

Faculty

- One academic semester workload release for primary caregivers following each live birth or each adoption of a child under the age of 6
 - Workload release is limited to a release from teaching and service duties only
- Up to a 16 weeks of continuous paid parental leave for the primary caregiver at 100% of the pay and benefits the faculty member would have received that semester if not on leave to allow for the care and bonding with a newborn, adopted, or foster child (or children, in the case of multiple births, adoptions, or multiple placements). At the option of the faculty member, the parental leave provided by the Policy may be taken during the semester in which a child is born, adopted, or becomes a foster child, across a portion of two semesters, or during any subsequent semester that begins no later than twelve months after the birth, adoption, or placement of a foster child or child under guardianship allowing for the relief of a sixteen week workload (equivalent to a semester).
 - Up to 3 weeks of paid parental leave is also available for secondary caregivers, domestic partners, foster parents, guardians, or adoptive parents to care for and bond with a newborn, adopted, foster, or child placed in guardianship (or children, in the case of multiple births, adoptions or multiple placements) within twelve months of birth, adoption, or placement.
 - The parents shall determine which caregiver is the primary and which is the secondary.
 - The new parental leave policy runs concurrently with the Family Medical Leave Act (FMLA) leave specified in the HR Policy Manual and the benefits afforded under this new policy meet or exceed the rights afforded under the FMLA, as described above. To be eligible for the Paid Parental Leave under this policy, a faculty member must meet the eligibility requirements for FMLA leave as provided in the FMLA policy in the HR Policy Manual. The benefits afforded under this Policy are not in addition to those offered by the FMLA.
 - The parental leave policy can be used in combination with existing University non-FMLA policies sequentially (not concurrently). For example, a faculty member could request a leave in the event of medical complications for the mother or child or children during birth or adoption. This enables available approved leave to extend beyond sixteen weeks where necessary.
 - The Policy will apply to all FTE faculty who are at least 50% time as defined by the Faculty Handbook, across all Schools and Colleges
 - Faculty members on leave shall be relieved of their normal duties and responsibilities during the period of leave including research, scholarship, teaching, and service responsibilities. The pre-tenure period can be extended during this period as provided in the provision on pre-tenure extensions stated in the Faculty Handbook. Being on leave shall not adversely impact any employee evaluation.
 - Paid parental leave is separate from sick days. Use of parental leave has no effect on any remaining leave time of the faculty member.
 - For a new faculty member not eligible for FMLA leave, the University will seek to make appropriate leave accommodations through a process administered by the Provost.

Policy Comparison

The following comparison highlights the significant components of the current and recommended policies:

Policy Implications

The key implications to consider when evaluating the current and proposed policies are:

Consequences of Maintaining Current Policies

- Puts university at competitive disadvantage in market for talent acquisition and retention
- Forces employees to choose between family, with unpaid leave, and work, which keeps them away from family obligations

Benefits of Adopting New Policy

- Impacts positively on recruiting and retention
- Increases the value of the total compensation package
- Supports a family-friendly work environment
- Boosts morale during period of low merit increases
- Provides fathers, mothers, domestic partners, foster parents, guardians, and adoptive parents greater flexibility to be involved in child rearing

Cost Estimates

The primary component to the cost of the recommended paid parental leave policy is derived from labor replacement expenses. The estimated costs are:

Labor Replacement

About\$ 300,000

The labor replacement figure includes the implementation costs for staff as well as faculty. The staff portion has already been implemented. While some of the projected replacement cost is currently being experienced, the data is insufficient to accurately predict the true incremental cost. In addition, adjunct faculty are already being utilized to fill the vacated teaching duties of faculty on the current policy – i.e., the cost of adjunct faculty is already being incurred.

U.S. adoption statistics suggest an adoption rate of 30 per 1,000 live births. Therefore, the cost analysis assumes that 3% of parental leaves will be attributable to adoptions. The university has not historically maintained leave administration data regarding adoptions, so the 3% assumption seems the most reasonable estimate that can be applied at this time. There are very few instances of faculty serving as foster parents or becoming legal guardians of young children at CWRU. But with the intent to have an inclusive policy recognizing the needs for better work in life integration, the multiple ways of becoming a parent are included in this policy.

President's Committee on Child Care Options

Report and Recommendations

Presented to the Faculty Senate, April 27, 2009

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EXECUTIVE SUMMARY

Introduction

In 2008, the Faculty Senate identified and ranked budget priorities through Senate-wide voting. Of 141 votes cast, the highest number (50) supported an on-campus child care center (49 supported an increase in the faculty compensation pool to address compression, inversion and inequity).

In response, President Barbara R. Snyder this fall convened the President's Committee on Child Care Options (PCCCO), a group including representation from faculty, staff and graduate students. Over the past several months, this committee has studied in depth both the national context for employer-sponsored child care and the history of efforts to launch child care programs at Case Western Reserve. The group also researched child care initiatives at other universities, and considered more current surveys of this campus' interest in the issue.

Among the most significant findings:

- Research overwhelmingly shows that the availability of quality child care makes organizations more attractive to potential employees, reduces turnover and translates to significant cost savings.
- More than 60 percent of the nation's colleges and universities provide some kind of child care center.
- About two thirds of faculty, staff and graduate students surveyed in 2008 reported there was "a great deal" of need for a child care center at Case Western Reserve University.

Based on its research and deliberations, the committee today presents a range of short-, medium- and long-term recommendations. In all instances, the PCCCO believes that any initiatives offered should apply to the entire community; that is, the committee opposes any approaches that exclude one or more groups of community members.

Short-Term Recommendations

A. Emergency Child Care

The Faculty Parents of Young Children organization considers sick child and back-up care the most pressing challenge its families face. When a child is unable to attend regular child care, parents scramble to find care even for an hour or two of class or meetings. Other universities have arrangements with providers that make it easier for employees to secure quality emergency care. This assistance in turn allows these employees to perform critical work for the institution. The PCCCO believes this program would be useful not only to faculty parents, but staff and student ones as well.

B. Support for Child Care Related to Travel

Faculty, staff and students all can have occasion to travel on university-related business. These trips may relate to conferences, field work or other activities. An obstacle to participation in such efforts involves child care, a point recognized by some national organizations that provide supervised care during their conferences. The university's ACES program provided modest child care travel grants, an effort the PCCCO believes should continue with ongoing financial support from the university's central administration.

President's Committee on Child Care Options

Medium-Term Recommendations

A. Child Care Subsidy

In the absence of on-campus child care, the university can provide support for parents by providing a modest subsidy for those with the greatest need for assistance. Such a program would indicate the university's commitment to providing a family-friendly environment, and reduce the financial strain for employees with fewer financial resources.

B. Cooperative Arrangement with the Cleveland Music School Settlement

In December, 2008, the Cleveland Heights-University Heights Board of Education selected the Cleveland Music School Settlement (CMSS) as the primary party with whom it will seek to negotiate a lease of its now-vacant Coventry School site. Those negotiations are in their earliest stages, but leaders of the CMSS met with the PCCCO regarding the possibility of working with Case Western Reserve to provide infant and child care programs in the Coventry facility. More recently, leaders of University Circle Inc. also have expressed interest in working with CMSS on the same topic. The PCCCO believes significant opportunities exist for CMSS to provide precisely the kind of high-quality services Case Western Reserve parents have sought for years.

Long-Term Recommendation

On-Campus or Nearby Child Care Center

Members of the PCCCO are enthusiastic about the prospects for a conveniently located and high-quality center at the Coventry School, and welcome participation by other University Circle institutions. If this arrangement does not prove feasible, however, the committee favors aggressive and timely pursuit of alternatives. These could include further development of the proposal for a Carlton Road location (by the university alone, or with representatives of UCI), or exploration of other sites proximal to the campus.

Conclusion

While an on-campus child care center remains the single best solution to identified needs, we recognize that financial considerations make the launch of such an initiative difficult in the near future. At the same time, the desire for university support on this topic has grown more acute over time. Thus, the PCCCO urges immediate action on its less costly recommendations. Not only will such efforts measurably improve the experiences of members of our community, but it also will send a powerful message regarding Case Western Reserve University's commitment to enhancing the quality of life for its constituents.

INTRODUCTION

The 2008 vote ranking child care as the Faculty Senate's top budget priority surprised few who have engaged on the issue at Case Western Reserve University in recent years. Since 2002, one campus survey after another has confirmed the strong feelings constituents have on this topic. In addition, several university groups have advanced specific initiatives to address aspects of child care, while one on-site center nearly came to fruition four years ago.

The persistent interest and activism regarding child care at Case Western Reserve University underscores its importance to our community. Faculty, staff and students all see the provision of high-quality child care as a measure that would dramatically improve the quality of life on campus. Advocates say child care programs would enhance the university's ability to recruit top candidates, and also translate to greater productivity for those here. President Barbara R. Snyder signaled her personal commitment to making Case Western Reserve University a more family-friendly institution in proposing paid parental leave programs for faculty and staff last fall. Substantive initiatives involving child care would build on that initiative and further establish the university as a place that supports an appropriate work-life balance for every member of its community.

I. Advantages of Workplace Child Care

Child care is one of the most important workplace benefits for families with two working parents.ⁱ It is well-documented that workplaces offering high-quality child care benefit in recruiting, retention and productivity of employees.ⁱⁱ ⁱⁱⁱ In a recent national survey of working parents using high quality employer-sponsored child care across industries:

- 94% of respondents said that work-site child care would affect their decision to make a job change
- 68% reported that workplace child care was important in their decision to join their company
- 90% reported that access to a work-site child care center positively affects their ability to successfully concentrate on the job and be productive.

The positive impact of workplace child care was even stronger for women than men, though it was universally high among respondents. In this same study, voluntary turnover rates were found to be reduced by 45% among employer-sponsored child care users compared with non-users, resulting in an average savings of \$615,000 per organization on this dimension alone.^{iv}

When the investigators pursued which employees were using child care services and which were being retained, top performers (as identified by employers) were overrepresented compared with the general workforce population. Child care center users were 20% more likely to be identified as top performers than their non-center using counterparts. Retention among top performer center users was 97%. Top performing women particularly appeared to benefit from child care center support—64% of top performers who use the centers were female as opposed to 56% in the general workforce.^v

Not all child care facilities are equal, however. The best results of workplace child care for employers and employees come in context of high quality centers and programs.^{vi} High-quality child care centers meet or actively strive to meet national and local standards articulated and evaluated by research-based organizations that provide

President's Committee on Child Care Options

early childhood accreditation such as the National Association for the Education of Young Children (NAEYC) and Ohio's Step Up to Quality program.

Finally, on both national and local Cleveland levels, high-quality^{vii} child care is more scarce among the youngest children,^{viii} ^{ix} who ironically need it the most.^x ^{xi} Providing quality care for infants and toddlers is expensive compared with preschoolers but also establishes an important foundation for the rest of a child's life. Research has found care between birth and three years old to be absolutely critical to scaffolding this period of the most rapid brain development in an individual's life.^{xii}

II. Child Care and Higher Education

A. The National Context

Child care is a major issue among colleges and universities. Its significance is driven by a range of concerns, among them:

- the shortage of female tenured faculty;
- the loss of talented scholars who choose to pursue careers in private industry due to perceived opportunities for faster career advancement, higher salaries and better work/life integration; and
- the competition to attract top students.^{xiii}

When the tenure clock and the biological clock coincide — as they do for the majority of female academics — child care support can be critical in both recruitment and retention of talented faculty.^{xiv} In general, women disproportionately shoulder family care-giving responsibilities, and such responsibilities are directly linked to women's lower success rates in achieving tenure, advancing to the rank of full professor, and attaining administrative positions.^{xv} While issues of gender inequality in academia are multiple, deep and complex, providing child care on campus is a direct support that aids in recruitment and retention of faculty — female and male — who have access and use it.^{xvi} In addition, student parents with access to campus child care are less likely to drop out, graduate sooner and with higher grades compared to those without such access.^{xvii}

As a result, a university structure including child care not only solves a pressing concern of many faculty members but also signals values of an educational institution that may even be more important to future generations less willing to sacrifice family to work.^{xviii} On a daily basis, affordable, proximate childcare reduces stress, commute time, and time out of the office, thus enhancing quantifiable outcomes such as productivity as well as more subtle outcomes such as community-building.^{xix}

Today, approximately 2,500 of the nation's more than 4,000 colleges and universities have at least one child care center that serves them, though there is considerable variability in the types of centers from research lab schools to community-university partnerships.^{xx}

B. Specific Examples

The PCCCO examined child care options at 13 peer institutions (Appendix A). Successful models offered a range of supports, chief among them subsidies, on-site child care centers, and back-up care. In addition, 11 of the 13 universities studied provide infant care. As valuable as this overall data is, the PCCCO found that the details of individual university programs most enlightening. Below are description of efforts at two of those institutions, the Massachusetts Institute of Technology (MIT) and Cornell University.

President's Committee on Child Care Options

1. *Massachusetts Institute of Technology* (http://hrweb.mit.edu/worklife/children_o.html);

MIT contracts with Bright Horizons Family Solutions LLC, a leading private provider of child care solutions for companies, hospitals and universities. The firm manages four on-site centers that provide quality child care (infant, toddler, and preschool) for the MIT community.

To assist MIT community members (faculty, benefits-eligible staff, postdoctoral associates and fellows, graduate students) with child care costs, taxable scholarships are available for MIT Child Care Centers for those individuals with demonstrated financial need. Members of the MIT community also can register with an affiliated placement agency for back-up child care (and eldercare). Those who participate in this program receive up to 15 free referrals per year; they are responsible only for the negotiated rate of \$15 per hour (that is, members of the community pay no registration or placement fee).

2. *Cornell University* (<http://www.ohr.cornell.edu/worklife/childCare/index.html>)

Bright Horizons also operates the on-site child care facility that opened at Cornell last year. Infant, toddler, and pre-school options as well as limited back-up care are available to Cornell faculty, staff, and students. Referral services and eldercare options are also available. In contrast to MIT, Cornell offers a Child Care Grant for faculty, staff, and students. This subsidy program contributes up to \$5000 annually toward child care expenses based upon outlined eligibility criteria. These pre-tax funds are allocated to a Dependent Care Reimbursement account and can be utilized for any eligible child care expenses, including summer day camp and in-home child care arrangements.

CHILD CARE AT CASE WESTERN RESERVE UNIVERSITY

I. Early Efforts

In 2002, the Women Faculty Association survey on Family-Friendly policies revealed that overwhelming proportions of the community (for example, 70 percent of faculty and 72 percent of staff) felt the university needed child care on campus. (Additional details of this survey can be found in Appendix B.)

The following year, the University Advisory Council on Women (UACW, now PACOW, the President's Advisory Council on Women) began to study available options. The group visited several local child care centers to learn about various available models and explore possibilities for joint ventures. As part of those efforts, council members met with representatives of the Cleveland Clinic regarding opportunities to partner. While no formal cooperative arrangement emerged from those discussions, the university did secure a 10 percent discount for Case Western Reserve constituents who use the Cleveland Children's Academy (formerly the Kindercare Learning Center) on East 93rd Street adjacent to the Clinic campus.

Council members also worked closely with campus offices on this project. For example, in 2004 the Office of Finance and Administration conducted an industry, market, and environmental analysis of child care at CWRU. At the same time, university leaders were exploring the possibility of closing South Side dorms, which would free up Fribley Commons (then a dining hall) for use as a childcare center. Then-Provost John Anderson set aside approximately \$1.4 million for the project, architects developed plans and the university even developed an advertisement for a director. Ultimately, record undergraduate enrollments led the university to keep the South Side dorms open, which in turn meant Fribley was needed as a dining hall.

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In December 2006, PACOW presented a report to President Greg Eastwood that recommended the university build a new on-site child care facility (Appendix C). President Eastwood identified this proposal as one of three initiatives introduced at a special event at Harcourt House. The university's Campus Planning office identified the corner of Overlook and Carlton Roads as an appropriate site. In conjunction with outside architects, the office developed plans for a 10,375 square foot, single-story facility to accommodate approximately 100 infant through pre-K children.

Planners envisioned the facility as a model for high-quality programming. They created a design concept that would foster a sense of community and support for the children, and also meet high standards for environmental sustainability and child care facilities. In addition, supporters viewed the proposed center as an educational resource for the campus. Students and faculty would be able to intern, teach, study and interact with children and childcare staff.

In 2006, estimates put the project's cost at \$3,079,000, not including any of the ongoing operational expenses for the building. President Eastwood's efforts to stir donor support of the project enjoyed little success, while the university as a whole continued to experience significant budgetary challenges. Because of these factors, the university did not pursue this option. (Note: The producer price index (PPI) for construction inputs has historically grown at the rate of 5 to 6 percent annually. Using a 6 percent annual cost increase, the price for that same center today would be roughly \$3,667,200.)

In 2006-2007, the Harvard Graduate School of Education's COACHE project surveyed Case Western Reserve University's junior faculty. Nearly 70 percent of those responding identified child care as their top issue. Specifically, junior faculty identified child care as important to them, and the university's programming in this regard "ineffective." (Appendix D).

II. The Last Year

In January, 2008, members of the Faculty Senate voted on their top budget priorities. Balloting identified on-campus child care as the Senate's greatest concern (50 votes), with compensation receiving the next highest number of votes (49 votes). In response, President Snyder first requested that the university conduct a new needs assessment to determine the current status of the topic on campus. In coordination with the Office of the Provost, Professor Gott developed the survey and then tabulated the responses (including written comments).

The survey drew nearly 2,300 responses, including about a quarter of the faculty and a third of the staff. Roughly two thirds of responding faculty, staff and graduate students (undergraduates were not surveyed) indicated child care was a significant need at Case Western Reserve. This figure is particularly noteworthy since only about 28 percent of all respondents themselves use childcare. In other words, even those who do not require support for child care recognize its importance to the campus community. In addition, a quarter of respondents indicated they would use an on-campus child care facility if one was available. (Appendix E includes survey details and demographic information of respondents.)

Once the university had the data yielded through the needs assessment, President Snyder appointed the PCCCO and charged the group to develop short- and longer term proposals for presentation to the Faculty Senate at its last meeting in the Spring of 2009.

RECOMMENDATIONS

I. Short Term

A. Emergency Child Care

Members of the PCCCO agreed that back-up and sick child care represented two of the most acute needs among university constituents. Based on examinations of other universities' offerings (i.e. "Parents in a Pinch" for Boston-area universities) and discussions of Cleveland back-up programs available to individual parents, the committee approached a local provider of such services to determine receptiveness to a partnership with Case Western Reserve. The response was positive; representatives of the university administration and this provider are engaging in preliminary conversations regarding cost implications of such an arrangement. The model suggested echoes MIT – that is, the university would cover registration costs, while parents would pay for the actual care. The committee will have more information regarding the outlook for this option when members make their verbal presentation to the Senate April 27.

B. Support for Child Care Related to Travel

Travel is a significant part of the professional obligations of faculty and staff. Not only is attendance at professional meetings important to increase subject-matter knowledge, but it also can help increase the stature of the university as a whole.

Unfortunately, this travel places a substantial burden on faculty parents of young children, and is even worse for those who are single parents or in commuting relationships. Many must choose between caring for their children and traveling — right at the time when most are in a building stage of their careers. National organizations such as NSF, NIH, and a number of private foundations have become increasingly aware of this conundrum. They have started to fund bringing children and a caregiver on a trip, or aiding with increased child care expenses at home. Some professional organizations have also begun to acknowledge this need by providing fee-based or free child care at conferences.

At Case Western Reserve, the ACES program and ACES plus have provided individual scholars on a competitive basis for such child care aid with travel. Feedback from this program has been resoundingly positive, with several faculty members completing important travel they otherwise would not have been able to do. Now that National Science Foundation funding for ACES has expired, it is critical to ensure our faculty—female and male—have continued access to such funds. Staff members, such as those who travel with teams or those attending professional development seminars, also deserve the opportunity to apply for child care support funding. Finally, graduate students who need to attend meetings, present their work, and network (and are on notoriously lean budgets) should also be given access to such funding. Grants as small as \$150 can determine whether someone is able to travel. In other words, the investment is fairly small – especially compared to the returns for the individual and organization.

The PCCCO recommends that the university build on the ACES model to provide funds for faculty, staff, and students. These grants would be competitive in nature. Individuals could apply on an annual basis for money to aid

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with child care during travel for professional conferences, travel required by the position, non-local fieldwork or other job-related travel. Grants would range from about \$100 to \$1,000 per person in any given calendar year.

Applicants could decide whether to take the child(ren) with them (such as in the case of a breastfeeding mother), or use the funds to help pay for child care at home. Based on experiences with the previous ACES model, the PCCCO recommends that the university provide \$15,000 for the first, pilot year of this initiative.

II. Medium Term

A. Child Care Subsidy

The PCCCO’s research on peer institutions revealed varying levels of financial support provided to faculty, staff, and students for child care. In the absence of an on-campus program, the committee considers the idea of a child care subsidy worth exploration. That said, the committee also recognizes that the potential costs of such an initiative require significant research and modeling before leaders can decide whether the option is workable. In addition, the committee is acutely sensitive to the possibility that administrative costs of such an option might be so great as to limit its actual cost effectiveness. The committee thus provides the following recommendations for consideration, with the caveat that our initial estimates are at best rough approximations. More, the committee strongly supports the simplest options; that is, members want the overwhelming majority of those dollars allotted for child care to go toward services – not overhead.

The colleges and universities the committee reviewed typically offered subsidies on a sliding scale. Because the number of people who qualify for these programs tend to be large, slight variations in the amount of subsidy offered greatly impact costs. The annual budget for a subsidy program can vary from a few hundred thousand dollars to well over \$1 million. The committee found that those universities that offered subsidies tended to have expenses at the high end of this range.

If the university chooses to pursue this option, the PCCCO strongly favors a multi-year model. That is, such a program is intended to alleviate strain on families. If the initiative is tenuous – that is, offered for a single year without certainty regarding its ultimate duration – it only increases parents’ uncertainty. The PCCCO recommends a four-year commitment to such a program. This duration would allow sufficient time for thorough marketing, use and evaluation.

The 2008 needs assessment identified 750 faculty, staff and students (not including undergraduates) who indicated they currently pay for child care. The majority (89 percent) of these people earn less than \$90,000 per year. Below are the financial details of three options to highlight the implications of different approaches (more detail regarding these options can be found in Appendix F):

- Option A: Average annual subsidy per qualified person: \$2,350 (~\$196/mo)
 Estimated number of qualified people: 674
 Annual impact of this option: \$1,134,000
 Four-year impact: \$4,536,000

- Option B: Average annual subsidy per qualified person: \$1,175 (~\$98/mo)
 Estimated number of qualified people: 674
 Annual impact of this option: \$756,000
 Four-year impact: \$3,024,000

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- Evaluate making CMSS program costs more affordable for employees by way of a university subsidy or other funding mechanism

III. Long Term

On-Campus or Nearby Child Care Center

The prospects for a cooperative arrangement with CMSS (and, possibly, UCI) to allow infant and child care at the Coventry School are enormously exciting. That said, this concept is in its most preliminary stages; if this arrangement does not prove feasible, however, the committee believes the university must pursue alternatives. These could include further development of the proposal for a Carlton Road location (by the university alone, or with representatives of UCI), or exploration of other sites proximal to the campus. The advantages of such programming are well-documented in this report, and cannot be abandoned because initial opportunities do not come to fruition.

CONCLUSION

The months the PCCCO has spent exploring child care at Case Western Reserve University have underscored both the complexity and importance of this topic. The committee is unanimous in its belief that an organization's commitment to quality-of-life issues improves the performance of that organization. Employees able to focus squarely on their work obligations at the office, without worrying about the care their children receive, are more productive and more loyal to that organization. Investments in this topic will have significant returns in terms of enhancing climate, reputation, and the retention and attraction of employees.

Given the economic uncertainty and strain plaguing all organizations today, the PCCCO appreciates that it would be difficult for the university to make a major investment in an on-campus child care center. Yet committee members also believe the university can make a significant impact through more limited approaches that nonetheless recognize how important this topic is to the community. The short-term options proposed are relatively inexpensive; the committee urges swift movement on each. The other proposals will require more time and attention, but have even greater prospects for positive influence on this campus. They too deserve serious consideration.

Finally, the PCCCO would like to thank President Snyder for the opportunity to work on this important project. Members also are enormously grateful to all of those who have worked for years on this issue. In particular, the PCCCO would like to acknowledge Deputy Provost Lynn Singer and Campus Architect Margaret Carney, both of whom were generous with their time and insight regarding the details of previous efforts and proposals related to this topic.

The PCCCO welcomes Faculty Senate comments on its recommendations.

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^{xi} www.zerotothree.org

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^{xviii} Mason (January 27, 2009) "A Bad Reputation," *The Chronicle of Higher Education*. BHFS

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^{xx} Boswell (2003).

APPENDIX A

Carnegie Mellon	see scholarships	Full-time benefits eligible faculty/staff		3 months - kindergarten	Yes - back-up care	7:15 am - 6 pm	Sliding scale - 10% of gross family income (limits apply) up to \$5000; affects dependent care account contribution/taxable	NAEYC; full day only
Cornell	\$988 - \$1248	benefits-eligible faculty, academic staff, administrative staff members; students (taxable)	158	8 weeks - preschool	Yes- back-up care	7 am - 6 pm	Awards up to \$5,000 a year, tax-free in dependent care account; based on income; not just limited to CU center	half-day programs available (2, 3, 4, 5 days)
Johns Hopkins	\$1163 - 1455 (based on 10 hrs regular care)	Full-time employees, students, house staff, fellows		6 weeks - pre-school	Yes- back-up care	6:30 am - 6:30 pm		
MIT	\$1236 - \$2019	Faculty, staff, students	4 locations	8 weeks - preschool	Yes- back-up care		Cost of tuition for one child minus family contribution ~19% of gross family income (eligibility < \$100000); only for MIT centers	
Ohio State	\$624-\$1192 (F/T based on income)	OSU employee or student	5 locations; 37 classrooms	6 weeks - pre-school	Yes- back-up and evening care	6 am - 6pm or 10pm	Family income based; scholarships available	NAEYC; part-time, half-day, and drop-in care available
RPI	\$765 - \$998	RPI or nearby hospital; community last priority	127	8 weeks - kindergarten	Yes - back-up care (subsidized \$3/hr) & summer care	6:30 am - 5:30 pm	N/A	2,3,5 day programs

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Univ of Akron	\$160 - 185/wk	Faculty, staff, students & community	120 (85 filled)	18 months - 5 yrs	No	7:30 am - 6 pm	Discounted rate; possible discount for siblings	Only child care referral list; priority enrollment for UA; lab school; flextime; part time hourly rate
Univ of Notre Dame	salary dependent; \$320-756	Faculty, staff, students; also site at neighboring college		2 yrs - kindergarten	Yes- Summer	6:30 am - 5:30 pm	Completely dependent on salary from \$20K to \$70K per year; scholarships also available	
UPenn	\$1028 - \$1428	Faculty, staff, students, community	32 inf; 50 toddlers; 80 preschool	3 months - preschool	Yes- back-up care	7am - 7pm	Reduced rate for university faculty and students; sliding scale based on employee salary; some scholarships available	NAEYC; snow day care, drop-in care
URochester		Near-campus facility with employee slots reserved		infant - preschool			Reduced rate for employees	
Vanderbilt	\$595-\$710	Full-time benefits eligible faculty/staff and full-time students		infant - preschool	Yes- back-up & summer care	6 am - 6pm		3 sites; strong philosophy; low ratios

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WashU	\$720- \$1100	Faculty, staff, students, community	172; more in community centers	infant - kindergarten	Yes- back-up care & summer care	7am- 6pm	Student assistance	NAEYC; Multiple locations offer different levels of care; 2 at medical center; new initiative to purchase spots in other local childcares to better meet need
UCLA	\$1200 - \$1700 (full- time)	Faculty, staff, postdocs, students	over 1000	2 months - kindergarten; then onsite grade school	Yes - summer; sick care readily available at health centers and hospitals in communities and subsidized by state (\$6/hr)	7:30am - 5:30pm	Student family tuition assistance through state	NAEYC, Multiple locations, including very highly regarded psychology lab school; Always wait list at all sites; Part-time available

2002 WOMEN'S FACULTY ASSOCIATION FAMILY FRIENDLY SURVEY
 SUMMARY OF CHILD CARE RESPONSES AND COMPARISON TO THE 2008 SURVEY

SUMMARY OF 2002 SURVEY RESPONSES:

60% of total survey respondents indicated that there is a need for childcare at CWRU, despite the fact that only 16% of respondents were using childcare. Not surprisingly, the perceived need for childcare was greater for faculty (70%), staff (72%) and graduate and professional students (65%) than for undergraduate students (30%). Only 3-4% of faculty and staff responded that there was no need for a child care center vs. 7% of graduate and professional students and 23% of undergraduates. There were no questions in this survey regarding children's ages. Results of the entire survey are available in graphic form (39 page pdf file) and can be obtained from Mark Beno or Jonatha Gott.

2002 SURVEY DEMOGRAPHICS:

numbers in the table do not always add up because some respondents did not answer all questions and/or did not provide demographic information

	<u># of responses</u>	<u>% female</u>	<u>% male</u>	<u>have children</u>	<u>have no children</u>	<u>currently using daycare (# / %)</u>
Faculty:	379 (16%)	50	50	153 / 41%	223 / 59%	102 / 27%
Staff:	967 (41%)	77	23	292 / 30%	664 / 70%	202 / 21%
Grad/prof students:	458 (19%)	62	38	106 / 23%	346 / 77%	60 / 13%
Undergraduates:	523 (22%)	53	47	8 / 1.5%	512 / 98%	7 / 1.4%
Unidentified	60 (2.5%)					
totals:	2387	64	36	568/24%	1765 / 76%	375 / 16%

COMPARISON TO THE 2008 SURVEY:

The major difference between the 2002 and 2008 surveys was that the 2002 survey included undergraduate students, 98% of whom did not have children; some post-docs may not have been surveyed in 2002.

In the 2008 survey, in which undergraduates were excluded, 65% of survey respondents indicated that there is a significant need for childcare at CWRU, with 28% of respondents using childcare.

Percentages of each demographic group indicating a need for childcare were remarkably consistent between the two surveys. In the 2008 survey, 67% of faculty, 66% of staff, and 64% of graduate students responded 'a great deal' in answering the need for childcare at CWRU (vs. 3-4% responding 'not at all').

The percentages of male and female respondents were also very similar, but the percentage of each group using daycare facilities was higher in 2008:

	<u># of responses</u>	<u>% female</u>	<u>% male</u>	<u>% using daycare</u>
Faculty:	581	52%	48%	31%
Staff:	1023	75%	25%	30%
Post-docs:	66	50%	50%	36%
Grad students:	458	66%	34%	22%
Prof students:	119	60%	40%	15%
Unidentified:	31	63%	37%	10%
totals:	2278	66%	34%	

APPENDIX C

RECOMMENDATIONS REGARDING ON-CAMPUS CHILDCARE UNIVERSITY ADVISORY COUNCIL ON WOMEN (UACW) DECEMBER 6, 2006

GOAL AND PURPOSES:

Establishment of a high quality, affordable childcare facility on campus to enhance faculty and staff *recruitment* and *retention* and promote a *diverse*, supportive working environment.

NEED:

The highest quality childcare facilities in the area have significant waiting lists and some are not open year round. Quality infant daycare is especially difficult to find. Summer recess also poses challenges for parents of school age children; they must often cobble together a mosaic of camps to cover the summer months. *An urgent need for childcare on campus is frequently cited in surveys, including:*

- Women's Faculty Association survey (in 2002)
- NSF Advance-ACES program focus groups and surveys
- COACHE survey conducted by the Harvard Graduate School

Most peer institutions have either on-campus (Carnegie Mellon, Vanderbilt, Emory) or affiliated (Cornell, Northwestern, Brown) childcare centers.

FACILITY:

In order to be viable, the facility must provide *high quality, year round* childcare that is perceived as providing more than 'babysitting'. *Flexible schedules* and *affordability* are also extremely important features. The possibility of accommodating summer day camps for school age children should be considered during the planning stages, as these could offset operating costs.

- Rooms should be welcoming, spacious and light with good quality equipment.
- Infant rooms should include private spaces for nursing mothers.
- Outdoor play areas and an indoor large muscle/activity room are also essential.
- Care for infants should be warm and nurturing; additional enrichment areas and activities will be important for retaining and attracting older children (essential for economic viability). Smaller specialty rooms (eg. library, science/discovery, music) are useful for this purpose.
- We recommend visiting the facilities at Hershey Montessori in Concord and the Jewish Community Center in Cleveland Heights as outstanding models for toddler and preschool care.
- Incorporation of a sizable indoor activity room could provide overflow space for school holidays

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and snow days, as well as summer enrichment camps as the facility matures. A large number of partnerships are possible given the proximity of other University Circle institutions and the transportation infrastructure. Summer programs could also provide visibility and educational opportunities for CWRU students (eg. sports, theatre camps).

SITE:

In accordance with the University Master Plan, we recommend establishing the childcare center on South Campus. The childcare facility could easily be accommodated on South Overlook Rd. between the CWRU tennis courts and the Nottingham-Spirk facility. This space is currently vacant and lies in an area unlikely to be developed for classrooms, undergraduate housing, or administrative purposes. Salient features of this site include the following:

- size appropriate for a building that could accommodate 80 - 125 children
- sufficient exterior space to accommodate outdoor play areas that are isolated from automobile and foot traffic
- adequate room to establish parking and drop-off areas
- easy access for faculty and staff (off of Cedar Road)
- proximity to proposed site for married student/family housing on South Campus
- accessibility to professional and graduate students (predominantly living in Cleveland Heights)

COSTS AND PRICING STRUCTURE:

The key to a successful program is HIGH QUALITY service at an AFFORDABLE price

- Goal is a self-supporting facility run on a fee-for-service basis (i.e., not an employment benefit)
- Sliding scale for faculty, staff, and eventually graduate, professional, and undergraduate students should be instituted as soon as supporting funds can be identified
- Both full time and part-time childcare should be offered to allow flexible scheduling

To the extent possible, staffing and other operating costs should be covered by user fees. However, affordability is key to the success of the facility and it should be recognized that user fees may not cover all expenses, particularly in the early phases when enrollment is below the break even point. A family style organization (multiple ages in one room) could be used initially to keep staffing costs down during start-up. Staff could potentially be augmented by part-time internships for students from CWRU, CIA, CIM, and CSU majoring in child development, music, art, theater, etc. for enrichment classes. Programs could also be provided by agreement with other University Circle institutions (eg. Natural History Museum).

Strategies that could be used to augment income while maintaining affordability include:

- offering paid care on school holidays (arranged in advance) and snow days
- summer camps (such as those offered by the Jewish Community Center)
- parental fundraising (as done by Holy Rosary, Hershey, Cleveland Music School Settlement)
- foundation grants
- endowments
- directed giving (eg. possibly designating Charity Choice contributions via the United Way)

LICENSING PLAN:

Plan to start small and phase in additional space once the center is established. Note that the break-even point for self-sufficiency is usually 60-65 children, so the goal would be to get to this point relatively quickly. Once a building is zoned and licensed for childcare, it is straightforward to expand the number of children that a center is licensed to have. Building should be designed to accommodate 80-125 children, depending on the long-term use plan. The original license might cover:

- 7 infants (potentially expanding to ~16 infants)
- 10 toddlers (potentially expanding to ~20 toddlers)
- 12 preschoolers (potentially expanding ~30-40 preschoolers)
- 18 school age (school breaks, snow days; potentially expanding to accommodate summer camps)
- Hours: ~ 7 am - 7 pm (Monday-Friday)

STAFFING RECOMMENDATIONS:

- Hire an executive director to manage initial set-up
 - Starting Point can assist in design, initial set-up, and request for proposals. It also runs a job bank (to aid in staffing) and staff workshops
 - Emphasis should be on *quality*, so plan on hiring more staff than state minimums and meeting the Ohio 'Step Up to Quality' standards
 - Note that having staff over the minimum requirements allows flexibility (i.e. snow day coverage)
- minimum (state mandated) ratios recommended ratios
1 provider per 5 infants (or 2 providers for 12 infants) 1: 3-4
1 provider per 7 toddlers 1: 5
1 provider per 12 preschoolers 1: 9-10
1 provider per 18 school age 1: 15

BENEFITS TO THE CWRU COMMUNITY:

- leverage to recruit and retain high quality faculty, staff, and students
- promotion of diversity and a sense of community within the university
- enhanced quality of life for employees balancing work and families
- experiential learning and volunteer opportunities for students
- positive local (and potentially national) visibility

POSSIBLE FUNDING SOURCES:

The Hershey Foundation (including help with capital campaigns)

<http://www.foundationcenter.org/grantmaker/hershey/index.html>

State of Ohio (eg. Early Learning Initiatives)

<http://www.jfs.ohio.gov/cdc/docs/EarlyLearningInitiative.pdf>

United Way

<http://www.uws.org/community/programs/programlist.asp>

inquire about possibility of directing funds to center through Charity Choice campaign once established; they also fund area day camps

Flora Stone Mather women

contact Dorothy Miller, Director of the Flora Stone Mather Center for Women for more information

From Invest in Children website (<http://investinchildren.cuyahogacounty.us/default.htm>)

<http://investinchildren.cuyahogacounty.us/funders.htm>

- The Abington Foundation
- The Eva L. and Joseph M. Bruening Foundation
- The Cleveland ClearingHouse Association
- The Cleveland Foundation*
- The George W. Codrington Charitable Association
- Florence Crittenton Services Fund
- Deaconess Community Foundation
- Eaton Corporation*
- The George Gund Foundation*
- The Hershey Foundation*
- Initiatives in Urban Education Foundation
- Mount Sinai Health Care Foundation*
- The Reinberger Foundation
- RPM. Inc.*
- Saint Ann Foundation
- Saint Luke's Foundation*
- The Sherwick Fund*
- Sisters of Charity Foundation of Cleveland*
- The Billie Howland Steffee Family Fund*
- The Treu-Mart Fund *
- The TRW Foundation
- United Way Services*
- Verizon Foundation
- The Raymond John Wean Foundation*
- The Thomas H. White Foundation
- The Woodruff Foundation

CONSULTING RESOURCES, CHILDCARE:

Starting Point, 2000 E. 9th St. #1500, Cleveland, OH 44115 phone: 216-575-0061

<http://www.starting-point.org/about.html>

Billie Osborne-Fears, Executive Director

Joyce Bresler, Early Childhood Resource Developer

(joyce.bresler@starting-point.org)

Note that there is no charge for consultations by Starting Point, a non-profit organization funded by various governmental and charitable agencies.

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Hershey Foundation, 10229 Prouty Road, Concord Township, OH 44077

<http://www.foundationcenter.org/grantmaker/hershey/>

Debra Hershey Guren, President

Paula Leigh-Doyle

Deborah Bricker

David Kahn (recommended by Deborah Bricker)

Susan Glaser, Director, Early Childhood Services, phone 216-831-0700, ext. 1352

Jewish Community Center Early Childhood Center in the Heights at Park

<http://www.clevejcc.org/preschool-and-child-care.asp> (childcare)

<http://www.clevejcc.org/day-camps.asp> (summer day camps)

Sylvia Easley, Director of the Early Childhood Department, phone (216) 421-5806

Cleveland Music School Settlement, 11125 Magnolia Drive, Cleveland, OH 44106

<http://www.thecmss.org/>

cmssinfo@thecmss.org

For additional information or clarification please contact:

Dr. Jonatha Gott, UACW chair

jmg13@case.edu

368-3930

Question 34a. Regardless of whether the following policies and practices currently apply to your institution, please rate how important you think each would be to your success.

Question 34b. How effective for you have been the following at your institution?

From a list of 16 common policies and practices, below are those items which respondents identified as “Very important” or “Somewhat important” in Question 34a, then as “Very ineffective” or “Somewhat ineffective” in Question 34b. This “gap analysis” highlights those policies and practices for which a large gap exists between importance rating and effectiveness rating. We call this the “effectiveness gap.”

The following items were most frequently rated as **IMPORTANT** to junior faculty success, but **INEFFECTIVE** at your institution:

At your institution overall

1. Childcare
2. Professional assistance in obtaining externally funded grants
3. Spousal/partner hiring program

Males

1. Professional assistance in obtaining externally funded grants
2. Childcare
3. Spousal/partner hiring program

Females

1. Childcare
2. Financial assistance with housing
3. Professional assistance in obtaining externally funded grants

White faculty

1. Childcare
2. Professional assistance in obtaining externally funded grants
3. Spousal/partner hiring program

Faculty of color

1. Childcare
 2. Professional assistance in obtaining externally funded grants
 3. Paid or unpaid research leave during the probationary period
-

The following table provides “effectiveness gap” results in greater detail. A high percentage of faculty indicating an effectiveness gap indicates a potential problem with that policy or provision on your campus. Note especially the differences between groups on those policies and provisions that do not necessarily rank high overall.

Table 34: Percentage of junior faculty indicating an “effectiveness gap” for common policies and provisions.

Case Western Reserve University Policy or practice for junior faculty	At Your Institution				
	Overall	Males	Females	White faculty	Faculty of color
Childcare	69% (1)	63% (2)	79% (1)	68% (1)	71% (1)
Professional assistance in obtaining externally funded grants	64% (2)	64% (1)	64% (3)	63% (2)	66% (2)
Spousal/partner hiring program	56% (3)	60% (3)	47% (4)	58% (3)	51% (5)
Financial assistance with housing	42% (4)	34% (5)	65% (2)	34% (4)	54% (4)
Formal mentoring program for junior faculty	33% (5)	29% (6)	40% (5)	30% (5)	41%* (6)
An upper limit on committee assignments for tenure-track faculty	30% (6)	26%* (7)	35% (6)	25% (7)	41%* (6)
Stop-the-tenure-clock for parental or other family reasons	28% (7)	36% (4)	18% (13)	28% (6)	28% (10)
Paid or unpaid research leave during the probationary period	27% (8)	26%* (7)	30% (8)	17%* (10)	58% (3)
Travel funds to present papers or conduct research	23% (9)	21% (9)	26% (9)	22% (8)	26% (11)
Peer reviews of teaching and research	22% (10)	15%* (12)	31% (7)	18% (9)	32% (8)
Paid or unpaid personal leave during the probationary period	21% (11)	20% (10)	22% (10)	17%* (10)	29% (9)
Periodic, formal performance reviews for junior faculty	17% (12)	19% (11)	13%* (14)	15%* (13)	24% (12)
Informal mentoring	16% (13)	13% (14)	20% (12)	15%* (13)	17% (14)
An upper limit on teaching obligations	15% (14)	12% (15)	21% (11)	16% (12)	12% (15)
Written summary of periodic performance reviews for junior faculty	14% (15)	15%* (12)	13%* (14)	12% (15)	20% (13)
Professional assistance for improving teaching	7% (16)	4% (16)	11% (16)	8% (16)	5% (16)

Note: The values in parenthesis indicate the vertical rank of that response. A * indicates a tie.

HIGHLIGHTS OF 2008 CHILDCARE NEEDS ASSESSMENT SURVEY

JONATHA GOTT, PRESIDENT'S COMMITTEE ON CHILD CARE OPTIONS (PCCCO) 11/10/08

65% of survey respondents indicated that there is a significant need for high quality childcare at CWRU, despite the fact that only 28% of respondents are currently using childcare. Percentages were remarkably consistent across categories, with 67% of faculty, 66% of staff, and 64% of graduate students responding 'a great deal' in answering the need for childcare at CWRU (vs. 3-4% responding 'not at all'). While faculty (27%) and staff (41%) had the largest percentages of children under the age of 5, graduate students accounted for a substantial fraction of children in this age group (20%). Not surprisingly, those having small children responded at a higher rate than those having older children. 33% of the respondents do not have children, but differences between the current and projected needs for childcare suggest that respondents planning on having children in the near future are disproportionately represented. Questions regarding costs were not included in the survey. See tables compiled by Mark Beno for further details.

RESPONSE RATES AND DEMOGRAPHICS:

*notes: undergraduate students were not included in this survey
some responses may be duplications due to instances where both parents work at CWRU
numbers in the tables do not always add up because some respondents did not answer all questions
and/or did not provide demographic information*

	response rate	# of responses	% female	% male	# of children by age group			have no children
					<5 yrs old	5-15 yrs	>15 yrs old	
Faculty:	22%	581	52%	48%	267	279	317	109 (19%)
Staff:	33%	1023	75%	25%	408	458	354	309 (30%)
Post-docs:	3%	66	50%	50%	51	19	9	14 (21%)
Grad students:	11%	458	66%	34%	200	115	22	248 (54%)
Prof students:	3%	119	60%	40%	56	21	7	68 (57%)
Unidentified:		31	63%	37%	4	2	11	4 (13%)
totals:		2278	66%	34%	986	894	720	752 (33%)

NEEDS ASSESSMENT:

*note: before and after school care not included because fewer respondents (17%) would use this service
and transportation would be a significant issue (see data tables for numbers if interested)*

Would use now if available*:

	currently using daycare (# / %)	infants	preschool	sick child	school holidays	summer care	summer camps
Faculty:	182 / 31%	115	131	156	135	129	159
Staff:	306 / 30%	237	232	239	290	314	341
Post-docs:	24 / 36%	38	33	17	19	17	20
Grad students:	99 / 22%	154	136	99	80	96	92
Prof students:	18 / 15%	35	24	20	16	14	14
Unidentified:	3 / 10%	5	6	9	8	9	8
total number:	632	584	562	383	548	579	634
% of respondents*:	28%	26%	25%	24%	24%	25%	28%

* percentage includes answers by respondents that do not have children

Would use within the next 5 years:

	infants	preschool	sick child	school holidays	summer care	summer camps
Faculty:	150	191	188	181	175	206
Staff:	351	397	353	409	453	446
Post-docs:	33	47	24	30	35	33
Grad students:	267	265	156	138	162	149
Prof students:	61	57	36	35	36	30
Unidentified:	9	9	11	10	11	11
totals:	871	966	768	803	872	875
% of respondents:	38%	42%	34%	35%	38%	38%

APPENDIX F

Childcare Subsidy - CWRU to provide direct subsidy to faculty, staff, and students who qualify

Estimated number of people using (paying for) qualified daycare:	2008 survey	% of total	estimated total with 20% increase for non-response	SALARY RANGES				
				0-30,000	30,001-60,000	60,001-90,000	90,001+	
TOTAL	632	100%	758	270	308	96	86	
				<i>% of total:</i>	36%	41%	13%	11%
Faculty	182	29%	218	81	39	39	59	
				<i>percentage in range</i>	37%	18%	18%	27%
Staff	306	48%	367	73	239	37	18	
				<i>percentage in range</i>	20%	65%	10%	5%
Grad/Prof student, Post-docs, other	144	23%	173	168	5	-	-	
				<i>percentage in range</i>	97%	3%	0%	0%

Option for subsidy level - measure financial commitment

<i>Monthly subsidy per household in salary range</i>	\$ 300	\$ 150	\$ 50	\$ -
<i>Annual subsidy per household in salary range</i>	\$ 3,600	\$ 1,800	\$ 600	\$ -
<i>Subtotal (for each salary range)</i>	\$ 971,935	\$ 555,210	\$ 57,516	\$ -
TOTAL annual - Option A	<u>\$ 1,584,661</u>			
<i>Estimated number of qualified people</i>		674		
<i>Average annual subsidy per qualified person</i>	\$	2,350		
<i>Total during suggested (4-year) initial commitment</i>	\$	6,338,645		

President’s Committee on Child Care Options

<i>Monthly subsidy per household in salary range</i>	\$ 150	\$ 75	\$ 25	\$ -
<i>Annual subsidy per household in salary range</i>	\$ 1,800	\$ 900	\$ 300	\$ -
<i>Subtotal (for each salary range)</i>	\$ 485,968	\$ 277,605	\$ 28,758	\$ -
	<u>\$</u>			
TOTAL annual - Option B	<u>792,331</u>			
<i>Estimated number of qualified people</i>		674		
<i>Average annual subsidy per qualified person</i>	\$	1,175		
<i>Total during suggested (4-year) initial commitment</i>	\$	3,169,322		
<i>Monthly subsidy per household in salary range</i>	\$ 50	\$ 25	\$ -	\$ -
<i>Annual subsidy per household in salary range</i>	\$ 600	\$ 300	\$ -	\$ -
<i>Subtotal (for each salary range)</i>	\$ 161,989	\$ 92,535	\$ -	\$ -
	<u>\$</u>			
TOTAL annual - Option C	<u>254,524</u>			
<i>Estimated number of qualified people</i>		578		
<i>Average annual subsidy per qualified person</i>	\$	440		
<i>Total during suggested (4-year) initial commitment</i>	\$	1,018,097		



CASE COMPREHENSIVE CANCER CENTER

A Comprehensive Cancer Center Designated by the National Cancer Institute



Stanton L. Gerson, MD
Director

March 12, 2009

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Dr. Levine & Members of the CWRU Faculty Senate Graduate Education Review Committee:

Thank you for your review of the attached proposal for a new Certificate program Clinical Translational Oncology Research Scholars Program (CTORSP) in the School of Medicine and administered through the Case Comprehensive Cancer Center.

Moving forward with this Certificate program will allow us be compliant with an NIH requirement for career-development training grants. All institutions that are awarded a Paul Calabresi Career Development Award for Clinical Oncology (K12) are expected to receive formal recognition from the parent institution with a special certification in clinical research.

We look forward to the opportunity to discuss this Certificate proposal at your meeting on March 19th.

Sincerely,

Stanton L. Gerson, MD
Director, Clinical Translational Oncology Research Scholars Program (CTORSP)
Director, Case Comprehensive Cancer Center
Director, Ireland Cancer Center



Clinical Translational Oncology Research Scholars Program (CTORSP)

The Clinical Translational Oncology Scholar's Program (CTORSP) is a 16-20 hour two-year program that culminates in a Certificate in Clinical Translational Oncology Research. This program has been developed to provide structured training for clinical oncology junior faculty who are interested in pursuing academic research careers as physician scientists. This training will address the need for clinician investigators to translate fundamental cancer research discoveries to medical care of cancer patients. Training will draw on the basic science and clinical investigators who are CWRU School of Medicine faculty and Case Comprehensive Cancer Center members.

The CTORSP will be directed by Stanton L. Gerson, MD, Professor of Medicine and Director of the Case Comprehensive Cancer Center (Case CCC) and Ireland Cancer Center, University Hospitals Case Medical Center (UHCMC) and Alvin H. Schmaier, MD, Professor of Medicine and Chief, Division of Hematology and Oncology, CWRU and UHCMC. CTORSP will be administered through the Case CCC in the School of Medicine. Margy Weinberg, MSW, Training Program Manager at the Case CCC, will serve as the administrator of the program.

Eligible CTORSP candidates are physicians (MD, DO or MD/PhD) with a clinical training background in one of the oncology disciplines, including medical, surgical, dermatological, pediatric, or radiation oncology. Eligibility and recruitment are detailed below. Up to five candidates will be accepted into the program every other year. The program will graduate up to five candidates every other year. This Certificate program combines individualized training plans with courses offered through the University. Each Scholar is guided by a mentoring committee in addition to a basic science and clinical mentor as described in the program details. The Scholars' individual training plan will consist of a formal didactic curriculum consisting of course work and longitudinal training addressing important topics in clinical research. In addition, each Scholar will design an hypothesis-driven, laboratory-based research that they will translate into a patient-oriented, clinical cancer trial. Their research will culminate in application for independent funding as a physician scientist.

Leadership, Faculty, and Resources

The CTORSP Certificate program will utilize the resources of nine outstanding interdisciplinary scientific programs within the Case CCC. These research programs bring together basic research scientists and clinical investigators from the three institutions of the Case CCC: CWRU, University Hospitals Case Medical Center (UHCMC), and Cleveland Clinic and include members from the other University-affiliated hospitals; MetroHealth Medical Center and the Louis Stokes Cleveland Veteran Affairs Medical Center. All of these institutions provide mentors who have strong cancer research programs and experience in clinical and research oncology training.

The program's Steering Committee will be composed of senior researchers selected by Drs. Gerson and Schmaier. The two primary mentors will work with the Scholar to select a mentoring committee. Together these clinicians and researchers will assist with developing the individualized training plan for each Scholar. Through formal meetings and presentations, the mentors and the program's Steering Committee will evaluate the Scholars' progress toward their research and training goals. Mentors and Steering Committee members are accomplished basic and physician scientists, with experience and success in achieving extramural support for their research.

PROGRAM DETAILS

1. Program Overview: The CTORSP Scholars select one of three areas of concentration: 1) Mechanism Based Therapeutic Development and Clinical Trials, 2) Stem Cell Biology and Hematologic Malignancy Clinical Trials, and 3) Prevention, Aging and Cancer Genetics and Clinical Trials. The Certificate program creates multiple opportunities for the Scholars to work with PhDs and MDs in order to establish transdisciplinary teams to develop an original cancer-related research project effectively carrying a laboratory observation through a clinical trial to improve an aspect of patient care. Scholars will be taught to make novel observations about the nature and progression of disease and to frame

questions that will stimulate their laboratory investigations that will become the basis for clinical investigations.

Each Scholar will be co-mentored by both a basic scientist and a clinical investigator. A mentoring committee comprised of faculty in the Scholar's focus of oncology research provides additional guidance and support. Mentors will be selected from one of nine scientific programs of the Case CCC. During the period of mentored laboratory training, the Scholars will develop original hypothesis-based experiments related to disease mechanisms at a molecular or cellular level. As the Scholars build on their laboratory conclusions to create and implement clinical trials, they will be mentored by clinical investigators. Clinical trials will be aimed at developing new methods for diagnosis and testing promising ideas for novel therapeutic interventions.

2. General Recruitment Strategies

The Steering Committee oversees, implements and monitors recruitment of Scholars. This responsibility includes assurance that the different clinical oncology disciplines are well represented. The specific recruitment strategies to assure a talented and diverse applicant pool are presented below in detail.

Scholar Candidate Eligibility

a. All candidates will be physicians holding the MD, DO or MD/PhD degrees and have completed specialty clinical training and are board-eligible in a cancer-related specialty. The Scholars will have a clinical training background in one of the following oncology disciplines: medical, surgical, dermatological, pediatric or radiation oncology.

b. All clinician candidates must be eligible to obtain NIH funding.

c. Clinician candidates who have equivalent training or clear experience in clinical trial design and leadership in clinical oncology trials would not normally be candidates for this Certificate program.

Scholar Candidate Pool

The primary source of candidates to this Certificate program will be junior faculty with primary or secondary CWRU appointments in the various fields of oncology. Candidates coming from existing clinical training programs corresponding to multiple oncology disciplines will also serve as an important applicant pool. These individuals will have training in oncology disciplines including surgery, gynecology, dermatology, medical, pediatrics and radiation oncology. For all candidates the Steering Committee will only accept candidates for review for whom their Department makes a minimum of a 2-year commitment so they can complete their Certificate program's requirements. The oncology disciplines with strong track records in recruiting and supporting research-oriented trainees are summarized as follows:

Medical Oncology Trainees: The fellowship program in Medical Oncology is under the direction of Dr. Alvin H. Schmaier, Chief of the Division of Hematology Oncology. The fellowship is approved for 5 years under ACGME. The fellowship program recruits 4-5 new trainees per year from a pool of 260 applicants of whom 30 are interviewed and 20 are ranked and placed in the fellowship ranking lottery between institutions. Applicants are selected on the basis of their promise as academic investigators.

Radiation Oncology Trainees: This Residency Program is approved under ACGME for 5 years. Over the last 4 years Radiation Oncology faculty has grown to include 12 physicians, 7 PhD medical physicists, and 6 PHD radiation biologists. NCI and other peer reviewed funding is approximately \$3.5M.

Pediatric Oncology Trainees: The fellowship program in Pediatric Hematology/Oncology at Case and Rainbow Babies and Children's Hospital is under the direction of Dr. John Letterio, who served as Chief from the Carcinogenesis Branch of the NCI. Dr. Letterio has developed an academic division, recruited two physician scientists for laboratory-based research, and has established a 3-year fellowship for which the latter 2 years are research based.

3. Clinical Translational Oncology Research Certificate Program Details:

The Certificate program consists of three separate, yet integrated, sections: A) a formal didactic curriculum consisting of core course work and ongoing longitudinal training, B) an intensive mentored research project, and C) submission of an application for independent funding. Each of these components is described in detail below. Upon the successful completion of all program requirements, Scholars will receive a Certificate in Clinical Translational Oncology Research.

3A. FORMAL DIDACTIC CURRICULUM

3A1. COURSEWORK

3A1a. Required Courses

Translational Cancer Research (CNCR 501:1-4) (Fall & Spring for two years) Requirement: Attendance and participation at a minimum of 10 classes per year and presentation of research a total of 4 times over two years.

Translational Cancer Research (CNCR 501-1) (1 Fall) Course Directors: Stanton L. Gerson, MD & Alvin Schmaier, MD

Goal: This section of the course teaches clinicians the language and concepts of translational research and provides opportunities for problem-solving and practical application to the student's individual research project. Topics: development of hypothesis and specific aims for original laboratory research question, developing and nurturing interdisciplinary collaborations, available resources through the Case CCC Core Facilities, understanding the regulatory environment governing research and learning the process of obtaining relevant approvals. Each student will write a sample hypothesis and specific aims which will be critiqued by the other members of the class. Pre-req: Consent of Instructor. 6:00 – 7:45pm Wearn 137. Pass/No Pass.

Translational Cancer Research (CNCR 501-2) (1 Sp) Course Director: Stanton L. Gerson, MD & Alvin Schmaier, MD

Goal: This course teaches clinicians how to develop and manage a Phase I innovative cancer clinical trial. Topics: defining and designing the trial: 1) the purpose and parameters of the protocol, 2) incorporating laboratory research/ correlative science, 3) managing regulatory, legal, and ethical issues, 4) the purpose and process for the Letter of Intent (LOI), 5) choice of single or multi-site trials, 6) sample size calculations and how to accrue appropriate patient population, and 7) an introduction to the special statistical methods in the research design. Funding and budget issues: 1) attaining CTEP approval for therapeutic agents, 2) working with pharmaceutical companies, and 3) seeking NIH or foundation funding. Clinical trial management: 1) overseeing quality collection and management of data, 2) monitoring for evidence of adverse or beneficial treatment effects, 3) data analysis procedures, and 4) common mistakes. Additional topics: how to hire and supervise staff, and becoming involved with Eastern Cooperative Oncology Group (ECOG) or other Cooperative Groups. Each clinician will present his/her research twice during the semester. Pre-requisite: Consent of Instructor. 6:00 – 7:45pm Wearn 137. Pass/No Pass.

Translational Cancer Research (CNCR 501-3) (1 Fall) Course Director: Stanton Gerson, MD & Alvin Schmaier, MD

Goal: This course teaches clinicians how to analyze and evaluate all aspects of the Phase I clinical trial including clinical results and findings. Topics: An introduction to the special statistical methods in the analysis of clinical trials based on the student's individual clinical trial design. Topics can include: intent-to-treat analysis, analysis of compliance data, equivalency testing, multiple comparisons, and sequential testing. Each Scholar will make a presentation explaining the progress they have made in writing their protocol through their attendance at the summer Clinical Protocol writing workshop. Pre-requisite: Consent of Instructor. 6:00 – 7:45pm Wearn 137. Pass/No Pass.

Translational Cancer Research (CNCR 501-4) (1 Sp) Course Director: Stanton L. Gerson, MD & Alvin Schmaier, MD

Goal: Professional development. 1) This section of the course will focus on oral presentations with attention on the content and style of the presentation materials (PowerPoint), and oral presentation style. Each clinician will present his/her research twice during the semester. Written evaluation included. 2) This section of the course builds basic knowledge and develops core skills in scientific writing for peer reviewed journals, the anatomy of the scientific grant proposal, and how to serve as reviewer in the peer review process. 3) This section focuses on grantsmanship; sources of grant funding and strategies in applying and responding to reviews. 4) This section of the course teaches how to recognize and understand effective leadership traits

with interdisciplinary research teams in academic and clinic settings. Group discussion of article *Social Intelligence and the Biology of Leadership* by Goleman and Boyatzis; Topic 2: grantsmanship and the peer review process. Pre-requisite: Consent of Instructor. 6:00–7:45pm Wearn 137. Pass/No Pass.

In addition, Scholars will be required to take a special ethics course designed for clinical investigators. (If the Scholar shows proof of prior attendance at this or an equivalent course, this requirement is waived.)

Research Integrity and Ethics (IBMS 500) (0 Sum) Jessica Berg, PhD/Eric Juengst, PhD

Goal: To introduce students to the ethical, policy, and legal issues raised by research involving human subjects. Topics include (among others): regulation and monitoring of research; research in third-world nations; research with special populations; stem cell and genetic research; research to combat bioterrorism; scientific misconduct; conflicts of interest; commercialization and intellectual property; and the use of deception and placebos. IBMS 500 meets for 3 days in May.

3A1b. Elective Courses

(6 credit hours) Requirement: A minimum of one course must address clinical trial design. Courses must be taken for credit and completed during the two year program. Should the Scholar receive a fail or no pass, the Scholar is required to successfully repeat the course or receive a pass or a passing grade in an alternative course.

INTRODUCTORY COURSES

Theme: Clinical Trial Design

Introduction Clinical Research Summer Series (CRSP 401) (3 Summer) Douglas Einstadter, MD & E. Regis McFadden, MD

Goal: This course is designed to familiarize one with the language and concepts of clinical investigation and statistical computing, as well as provide opportunities for problem-solving and practical application of the information derived from the lectures. The material is organized along the internal logic of the research process, beginning with mechanisms of choosing a research question and moving into the information needed to design the protocol, implement it, analyze the findings, & draw and disseminate the conclusion(s). Regular Grading System.

Biostatistics for Clinical Research (CRSP 403) (3 Fall) Thomas Love, PhD

Goal: Learn the statistical process: how to conduct studies, what the results mean, and what can be inferred about the whole from pieces of information. Understanding and describing relationships between phenomena and measuring how well these relationships fit data. A project involves problem specification, data collection, management, analysis, and presentation. Will use statistical software extensively; exposed to multiple packages. Topics: descriptive statistics, exploratory data analysis, the fundamentals of probability, sampling, inferential statistics, power & sample size, experimental design, correlation, regression, & association. Prereq: CRSP 401. Regular Grading System.

Study Design and Epidemiology Methods (CRSP 402) (3 Fall) Douglas Einstadter, MD

Goal: Learn methods used in the conduct of epidemiologic and health services research; considers how epidemiologic studies may be designed to maximize etiologic inferences. Topics: measures of disease frequency, measures of effect, cross-sectional studies, case-control studies, cohort studies, randomized controlled trials, confounding, bias, and effect modification. Prereq: CRSP 401 or permission of instructor. Regular Grading System.

Health Disparities (CRSP 510) (3 Fall) Drs. Joseph J. Sudano and Ashwini Sehgal, and Michele E. Petrick

Goal: Provide theoretical and application tools for students from many disciplinary backgrounds to conduct research and develop interventions to reduce health disparities. The course is situated contextually within the historical record of the United States, reviewing social, political, economic,

cultural, legal, and ethical theories related to disparities in general, with a central focus on health disparities. Several frameworks regarding health disparities are used for investigating and discussing the empirical evidence on disparities among other subgroups (e.g., the poor, women, uninsured, disabled, and non-English speaking populations) are also included and discussed. Students are expected to develop a research proposal (observational, clinical, and/or intervention) rooted in their disciplinary background that incorporates materials from the various perspectives presented throughout the course, with the objective of developing and reinforcing a more comprehensive approach to current practices within their fields. Offered as CRSP 510, EPBI 510, MPHP 510, NURS 510, and SASS 510. Mon. 5:30– 8:00 pm, Location: NOA 31A. Regular Grading System.

Introduction to Behavioral Medicine (EPBI 411) (3 Fall) Kristina Noel Knight, MPH

Goal: Using a biopsychosocial perspective, students will learn the measurement and modeling of behavioral, social, psychological, and environmental factors related to disease prevention, disease management, and health promotion. EPBI 411 or MPHP 411. Tue/Thurs 1:15–2:30 pm, Loc: WHITE 324. Regular Grading System.

Theme: Communication and Leadership

Communication in Clinical Research (Part 1) (CRSP 412) (1 Fall) Drs. Ralph O'Brien and John J. Lewandowski

Goal: Parts 1 and 2 of this course build basic knowledge and develop core skills in scientific communication, grantsmanship, and the peer review process. Written and oral communication in clinical science, applying for grants, submitting abstracts and manuscripts, giving presentations, and the peer review process is covered. Recommended preparation: CRSP 401 or equivalent and consent of instructor. Mon 8:30–10:30am, Location: Cleveland Clinic JJ3-107 A & B. Pass/NoPass or Pass/Fail grading only.

Communication in Clinical Research (Part 2) (CRSP 413) (1 Sp) Ralph O'Brien, PhD

Goal: Parts 1 and 2 of this course build basic knowledge and develop core skills in scientific communication, grantsmanship, and the peer review process. Written and oral communication in clinical science, applying for grants, submitting abstracts and manuscripts, giving presentations, and the peer review process is covered. Prereq: CRSP 401 or equivalent and consent of instructor. Mon. 3:00 – 5:00 pm, Location: Cleveland Clinic, JJ3-107 A & B. Course offered for Pass/NoPass or Pass/Fail grading only.

ADVANCED

Theme: Clinical Trial Design

Statistics of Controlled Trials (EPBI 458) (3 Fall) Jeffrey Albert, PhD

Goal: Learn the special statistical methods and philosophical issues in the design and analysis of clinical trials. The emphasis is on practical important issues that are typically not covered in standard biostatistics courses. Topics include: randomization techniques, intent-to-treat analysis, analysis of compliance data, equivalency testing, surrogate endpoints, multiple comparisons, sequential testing, and Bayesian methods. Offered as EPBI 458 and MPHP 458. Tue/Thurs 1:15 – 2:30 pm, Location NOA 300. Regular Grading System.

Clinical Trials and Intervention Studies (EPBI 450) (3) Mark Schluchter, PhD

Goal: Learn issues in the design, organization, and operation of randomized, controlled clinical trials and intervention studies. Emphasis on long-term multicenter trials. Topics include legal and ethical issues in the design; application of concepts of controls, masking, and randomization; steps required for quality data collection; monitoring for evidence of adverse or beneficial treatment effects; elements of organizational structure; sample size calculations and data analysis procedures; and common mistakes. Prereq: EPBI 431 or consent of instructor. XLIST: MPHP 450, Mon/Wed 1:30 – 2:45, Location: MEDS WG73. Regular Grading System.

Observational Studies (CRSP 500) (3 Sp) Thomas Love, PhD

An observation study is an empirical investigation of treatments, policies or exposures and the effects that they cause, but it differs from an experiment because the investigator cannot control treatment assignment. **Goal:** Learn design, data collection and analysis methods appropriate for clinical investigators, preparing students to design and interpret their own studies, and those of others in their field. Technical formalities are minimized, and the presentations focus on the practical application of methodologies and strategies. A course project involves the completion of an observational study, and substantial use of statistical software. Topics include randomized experiments and how they differ from observational studies, planning and design for observational studies, adjustments for overt bias, sensitivity analysis, methods for detecting hidden bias, and propensity methods for selection bias adjustment, including multivariate matching, stratification and regression adjustments. Prereq: EPBI 432, EPBI 441, CRSP 406 or consent of instructor. Tue/Thurs 9:00–11:30am, Location: MetroHealth. Regular Grading System.

Theme: Bioinformatics

Introduction to SAS Programming (CRSP 406) (2 Fall) Rhoderick Machekano, PhD and Steven Lewis, MS

Goal: Students learn how to use SAS version 8.2 in the context of clinical research. Topics include an overview of the SAS "data step" and procedures commonly used to explore, visualize, and summarize clinical data. Students learn the basics of the SAS programming language, how to troubleshoot SAS code, as well as how to interpret selected SAS output. Clinical research datasets are used in class examples, computer laboratory sessions, and homework. Each session includes a lecture immediately followed by a computer lab to reinforce the concepts introduced. Students work in small groups or individually. Recommended preparation: CRSP 403 or consent of instructor. Tues/Thurs 8:30–11:00am, Location: MetroHealth, Rammelkamp, Rm R219, Course offered for Pass/NoPass or Pass/Fail grading only.

Logistic Regression/ Survival Analysis (CRSP 407) (3 Sp) Denise Babineau, PhD

Goal: Learn how to use the two most common statistical modeling techniques found in the medical, epidemiologic, and public health research fields; logistic regression and survival analysis. The course emphasizes summarizing and analyzing binary and time-to-event outcomes. The focus is on establishing a foundation for when and how to use these modeling techniques as well as an understanding of interpreting results from analyses. Two course projects will involve problem specification, data collection, analysis, and presentation. Students use statistical software extensively and are exposed to output from SAS. Planned topics include contingency tables, logistic regression models and diagnostic measure, analyzing ordinal outcomes, estimating of the survival curve, Cox proportional hazard regression models and diagnostic measures, and sample size estimation. Prereq: CRSP 403, CRSP 406 or consent of instructor. Mon 1:00–2:30; Wed 3:30–5:00pm. Regular Grading System.

The Biology and Mathematics of Biochemistry Microarray Studies (BIOC 460) (3 Sp) Patrick Leahy, PhD

Goal: This is a hands-on computer-based course, which upon completion will enable participants to conduct meaningful analyses of expression microarray and proteomics data. The course is multi-faceted and cross-disciplinary in nature. Upon completion, participants will have a thorough understanding of the principles underlying available micro-array technologies, including: sample preparation, sample processing on microarrays, familiarity with the use of Affymetrix Expression Console software, generation of microarray data sets, an ability to move data effortlessly from EC MS Excel and from there into MS Access in order to trim, query and globally manipulate and pre package data. Importation of data into other third party software such as, GeneSpring (Agilent), DecisionSite (Spotfire) and PathwayStudio (Ariadne, Genomics) will enable participants to cluster and mine the data in search of higher-order patterns and pathway annotation and assignment. A new module on proteomics and introduction to systems Biology has been added this year. Permission from course co-ordinator required. Payment of Lab fee (\$600). Regular Grading System.

Theme: Communication and Leadership

Working in Interdisciplinary Research Teams (CRSP 501) (1 Fall) Shirley Mason Moore, PhD, RN, FAAN

Goal: Understand why and how different professional disciplines, each representing a body of scientific knowledge, must work together to develop and disseminate knowledge. Learners develop a set of skills specific to being an effective member and leader of an interdisciplinary research team, including working with different value and knowledge sets across disciplines, running effective meetings, managing conflict, giving and receiving feedback, and group decision-making techniques. Using the small group seminar approach and case studies, learners practice individual and group communication, reflective and self-assessment techniques, and engage in experiential learning activities regarding effective teamwork in interdisciplinary research teams. Techniques to increase group creativity and frame new insights are discussed. Prereq: K12 Appointment or permission of instructor. Fri 9:00am–3:00pm, S 8:00am–3:00pm, Location: NOA 228, Course offered: Pass/No Pass or Pass/Fail grading only.

Leadership Assessment and Development (CRSP 502) (2 Sp) Tony Lingham, PhD

Goal: Learn a method for assessing their knowledge, abilities, and values relevant to management; and for developing and implementing plans for acquiring new management related knowledge and abilities. The major goals of this course include generating data through a variety of assessment methods designed to reveal your interests, abilities, values, and knowledge related to leadership effectiveness; learning how to interpret this assessment data and use it to design/plan developmental activities; small group sharing of insights from the various assessments. Prereq: K12 appointment. Tue 1:00–4:00 pm. Regular Grading System.

Innovation and Entrepreneurship (CRSP 503) (2 Sp) Scott Shane, PhD

Goal: Acquaint and ultimately engage clinical researchers with the business of innovation and entrepreneurship. Goals include: (1) to provide researchers with many of the skills that they would need to translate academic research into commercial uses; (2) to sensitize clinical researchers to the goals of the business community and facilitate their ability to work with the private sector on technology development; and (3) to make clinical researchers aware of the processes of academic technology development and transfer. Sessions consist of lectures and case discussion facilitated by the instructor. Some sessions include members of the business community as guest lecturers. As an example, students discuss the financing of new companies with local venture capitalists. Student products include the evaluation of the commercial potential of a university technology in which they apply their new knowledge about commercialization of scientific discoveries. ECON 406, HSMC 406. Prereq: Consent of instructor. Wed 1:00 – 2:45 pm, Location: PBLB 121. Regular Grading System.

3A2. LONGITUDINAL TRAINING

Formal coursework supplemented by longitudinal training provided through seminars, meetings, conferences and retreats, as well as institutional conferences, which will allow the Scholar to have interaction with their peers, colleagues, and mentors.

3A2a. Protocol Review & Monitoring Committee (PRMC), Chair, David Adelstein, MD

Purpose: Observe and participate in PRMC deliberations. This committee provides the scientific review required for all cancer related human subject research prior to IRB review. 2nd/4th Tues/Wearn 137, 4:30-6:00PM.

3A2b. Clinical Trial Protocol Development: Each Scholar will make a presentation during the Translational Cancer Research (Fall CNCR 501-3) detailing the progress and skills they have acquired through participation in one of the following Clinical Protocol Writing workshops.

American Society of Clinical Oncology and American Association for Cancer Research - Methods in Clinical Cancer Research <http://www.vailworkshop.org/>.

A 7-day intensive workshop in the essentials of effective clinical trial designs of therapeutic interventions in the treatment of cancer for junior faculty clinical researchers. AACR and ASCO have designed this intensive Workshop to increase the reliability and effectiveness of clinical trials by:

Introducing clinical fellows and junior faculty with an oncology subspecialty to the principles of good clinical trial design. **Goal:** This Workshop will give them the tools they need to conduct clinical trials that will yield clear results that investigators can use to proceed to the next level of research. **Goal:** Exposing early career clinical scientists to the full spectrum of challenges in clinical research – from surgery, radiotherapy, conventional and investigational antineoplastic agents and multidisciplinary treatment regimens to gene therapy, biologic therapy, and multimodality and combination treatments. Workshop faculty seek to inspire participants to devote all or a portion of their future careers to some aspect of clinical research. **Goal:** Developing a cadre of well-trained, experienced clinical researchers whose expertise will foster better clinical trial design. **Goal:** Learn such expertise to thereby hasten the introduction of improved regimens for cancer therapy and prevention into everyday medical practice and patient care.

The American Society of Hematology: Clinical Research Training Institute Curriculum
http://www.hematology.org/education/training/crti_brochure_2008.pdf

3-part program: summer workshop, a week-long immersion course in the basics of clinical research. Participants work from their own proposed clinical research protocols and refine and revise their plans with input from the expert faculty. Two subsequent sessions, one at the ASH annual meeting and one in the spring, provide an opportunity for further interaction and mentoring opportunities.

Participants will:

- Discuss the principles of clinical research design and execution
- Examine the methodology for interpreting results of clinical research studies
- Detail the ethical and regulatory issues of clinical research, emphasizing human research protection
- Discuss the fundamentals of competitive grant writing, abstract presentation, & manuscript preparation
- Further develop & improve the quality of their own research proposals through input from faculty & peers
- Learn strategies for pursuing and developing a successful career in hematologic research
- Meet leaders in clinical hematologic research who can enhance networking opportunities for career development

3A2c. Clinical Trials Disease Teams pre-review all therapeutic trials for scientific merit, prioritization, and intent to accrue patients.

Goal: Through observation and participation in these meetings Scholars will gain an appreciation of the methods by which the clinical research agenda is developed within the disease teams.

Clinical Trials Disease Teams	Leaders
Brain Tumors	Andrew Sloan, MD, Gene Barnett, MD
Head and Neck Cancer	Panos Savvides, MD, David Adelstein, MD
Thoracic/Esophagus Cancers	Afshin Dowlati, MD, Tarek Mekhai, MD
Breast Cancer	Joseph Baar, MD, G.Thomas Budd, MD
Gastrointestinal Cancer	Smitha Krishnamurthi, MD, Robert Pelley, MD
Genitourinary Cancer	Matthew Cooney, MD, Robert Dreicer, MD
Gynecologic Cancer	Steven Waggoner, MD, Peter Rose, MD
Malignant Melanoma	Kevin Cooper, MD, Ernest Borden, MD
Soft Tissue Sarcoma	Patrick Getty, MD, G. Thomas Budd, MD

Lymphoma, Hematologic Malignancies/ Stem Cell Transplant, Myeloma, Leukemia	Hillard Lazarus, MD, John Sweetenham, MD
Pediatric Malignancies	John Letterio, MD, Gregory Plautz, MD
Phase I Program	Afshin Dowlati, MD

3A2d. Designated Tumor Board Conference

Goals: The Tumor Board Conferences bring together multidisciplinary team to evaluate the diagnosis, classify the stages, discuss management modalities and selection of treatment modalities of various cancers.

Conference	Directors	Day	Time
Thoracic	Afshin Dowlati, MD	Monday	7:00-8:30AM
Sarcoma	Patrick Getty, MD	2 nd /4 th Monday	5:00-6:00PM
GU	Matt Cooney, MD	Tuesday	7:00-8:00AM
Neuro/Gamma Knife	Robert Maciunas, MD	Wednesday	1:30-2:30PM
GI	Thomas Stellato, MD	Wednesday	4:30-5:30PM
Lymphoma/Leukemia	Brenda Cooper, MD	Thursday	8:00-9:00AM
Breast	Paula Silverman, MD	Thursday	4:00-6:00PM
Head/Neck	Panos Savvides, MD/PhD, Pierre Lavertu, MD	Friday	7:00-8:00AM

All conferences are held in the Radiation Oncology Conf Room, Lerner Tower (B-151)

3A2e. Institutional Conferences:

Goals: Provide an opportunity for multidisciplinary cancer focused clinicians & researchers to be introduced to research discoveries and treatment modalities from peers, national and international experts in their fields

Conference	Day/Location	Time
Ireland Cancer Center Grand Rounds	Wednesday/Lerner B-151	8:00-9:00AM
Cancer Center Blood Club Seminar	Friday/BRB 105	12:00-1:00PM
Hematology/Oncology Fellows Conference	Friday/Wearn 137	8:00-9:00AM
Pathology Grand Rounds	2 nd Wed Sept.-June/Pathology Amp	8:00-9:00AM
Research and Progress	Monday/WRB 2-136	12:00-1:00PM
Hematology Conference	Wednesday/WRB 2-136	1:00-2:00PM

3A2f. Case Comprehensive Cancer Center Annual Retreat (Held for 2 days each July)

Goals: 1) To interact and network with Case Cancer Center members, 2) to learn first hand about individual member's current and future cancer research with the possibility of creating collaborations, and 3) develop a finer understanding of the resources available through the Case Cancer Center.

3B. INTENSIVE MENTORED RESEARCH PROJECT (10 credit hours)

In addition to the core courses and longitudinal training described above, each Scholar will participate in an intensive mentored research project centered on a specific hypothesis-based research problem that will result in a clinical trial and a first authored publication in a peer-reviewed journal. This program will include twice-yearly mentoring committee meetings and a review of a minimum of one manuscript for a journal.

3B1. Primary Co-Mentors and Mentoring Committee

Each Scholar will be guided in choosing two primary co-mentors along with a mentoring committee consisting of specialists in the Scholar's field of oncology research. One mentor represents a clinical oncology discipline (medical, surgical, dermatological, pediatric, or radiation oncology); and a

second mentor represents a basic or prevention/ population science discipline (cancer genetics, cancer biology, clinical pharmacology, epidemiology, and health care outcomes). This pairing of clinical and basic investigators as primary co-mentors fosters a complementary interdisciplinary clinical and basic training experience that involves the hands-on exposure to translational research projects involving the clinician and basic scientist. Early in the first year, Scholars, in consultation with their mentors, will develop an individualized plan which will identify their current level of learning in key areas for review as well as identify areas for future development. Together, they will identify key learning objectives, the means for meeting them and a timeline for completion of the certificate requirements. At this point, Scholars also identify various sources of learning appropriate to identified short and long-term career goals (including research scope, clinical trial plans, manuscript preparation and timeline for the Certificate program requirements), and learning needs essential to achieving their goals. Scholars will meet, on an ongoing basis, with their primary co-mentors and a minimum of twice a year with their mentoring committee, which includes Dr. Alvin H. Schmaier. Dr. Schmaier will have oversight of the mentoring committees for each Scholar.

The goal of the mentoring committee is to provide a mentoring that focuses on developing the skills necessary for translating basic cancer research findings into clinical experiments, procedures, and trials directly involving cancer patients in a clinical environment. This includes an understanding and working knowledge of the scientific method, particularly hypothesis development, experimental design, and statistical methods. Further, the clinical mentoring relationship will provide the Scholar with clinical research skills that will deal directly with aspects of cancer detection, diagnosis, prognosis, or treatment, experience and instruction in how to interact and communicate with basic research scientists in the design and implementation of collaborative translational research involving patients. In this context, basic scientists are involved in the training program in clinical seminars, protocol planning sessions, and interdisciplinary program working groups.

Oversight for this portion will be achieved through presentations of research progress. This will occur via poster or PowerPoint presentations to peers as well the twice-yearly mentoring committee meeting that includes feedback/recommendations on their research/clinical trials/publications/grant submission progress and annual progress report given as PowerPoint presentation at the Steering Committee meeting. Drs. Stanton Gerson and Alvin Schmaier will also monitor the Scholar's progress at the monthly Translational Cancer Research course including during their PowerPoint presentations of their progress at this course. In addition, Margy Weinberg will oversee the Scholar's registration to national oncology meetings; organize the CNCR 501 Translational Cancer Research course, the Steering Committee Annual Evaluation; and schedule the Scholar's PowerPoint presentations.

3B2. Faculty Mentors and Thematic Research Focus Areas

All scientific programs of the Case CCC will contribute mentors and provide a scientific focus area of investigation for the Scholar. This allows for the co-ordination of multidisciplinary and transdisciplinary investigation into the training and research focus of the Scholars in a manner that cuts across the Scientific Programs of the Case CCC. All clinical research mentors are involved in investigator-initiated clinical trials, have outside funding for clinical research, and participate in Case CCC multidisciplinary research initiatives. They will provide Scholars with training in clinical trial hypothesis testing through study design, including involvement by the biostatisticians, patient eligibility and ethical conduct during early phase clinical trials, patient accrual and assessment in the conduct of the interventional trial and careful review of the endpoints of the trial. Basic research mentors have successful and accomplished laboratory or prevention and interventional programs that will provide the framework for the Scholar to develop hypotheses that form the basis for interventional clinical trials.

Case CCC Scientific Programs and Clinical Trials Disease Teams	
Program	Leaders
Cancer Genetics	Sanford D. Markowitz, MD, PhD* Professor of Medicine (Hematology/Oncology) Robert C. Elston, PhD* Professor of Epidemiology & Biostatistics

Cell Death Regulation	Clark W. Distelhorst, MD* Professor of Medicine (Hematology/Oncology) & Pharmacology Nancy L. Oleinick, PhD* Professor of Radiation Oncology Alexandru Almasan, PhD Associate Professor of Cancer Biology, Radiation Oncology
Molecular Basis of Cancer	George R. Stark, PhD Professor of Molecular Genetics Susann M. Brady-Kalnay, PhD Associate Professor of Molecular Biology & Microbiology
GU Malignancies	Eric A. Klein, MD* Professor of Urology Warren D.W. Heston, PhD Professor of Cancer Biology, Urology
Stem Cells & Hematologic Malignancies	Kevin D. Bunting, PhD* Associate Professor of Medicine (Hematology/Oncology) Hillard M. Lazarus, MD* Professor of Medicine (Hematology/Oncology)
Developmental Therapeutics	Afshin Dowlati, MD* Associate Professor of Medicine (Hematology/Oncology)
Cancer Prevention, Control, & Population Research	Gregory S. Cooper, MD* Professor of Medicine (Gastroenterology) Susan A. Flocke, PhD* Associate Professor of Family Medicine
Aging-Cancer Research	Nathan A. Berger, MD* Director, Center for Science, Health and Society Hanna-Payne Professor of Experimental Medicine Julia Hannum Rose, PhD Professor of Medicine (Geriatrics)
Cancer Imaging (Developing Program)	James Basilion, PhD Associate Professor of Radiology, Biomedical Engineering Jeffrey L. Duerk, PhD Professor of Radiology, Biomedical Engineering
Clinical Disease Teams	Leaders
Brain Tumors	Andrew Sloan, MD*, Gene Barnett, MD
Head and Neck Cancer	Panos Savvides, MD, David Adelstein, MD
Thoracic/Esophagus Cancers	Afshin Dowlati, MD*, Tarek Mekhai, MD
Breast Cancer	Joseph Baar, MD, G.Thomas Budd, MD
Gastrointestinal Cancer	Smitha Krishnamurthi, MD, Robert Pelley, MD
Genitourinary Cancer	Matthew Cooney, MD, Robert Dreicer, MD
Gynecologic Cancer	Steven Waggoner, MD*, Peter Rose, MD
Malignant Melanoma	Kevin Cooper, MD*, Ernest Borden, MD
Soft Tissue Sarcoma	Patrick Getty, MD, G. Thomas Budd, MD
Lymphoma, Hematologic Malignancies/ Stem Cell Transplant, Myeloma, Leukemia	Hillard Lazarus, MD*, John Sweetenham, MD
Pediatric Malignancies	John Letterio, MD*, Gregory Plautz, MD
Phase I Program	Afshin Dowlati, MD*

*Serves as a mentor or on the Certificate Steering Committee

3C. Applications for Independent Funding

In the 1st year of the program, Scholars will be encouraged to apply for additional research support funding to support their clinical trials. Resources include ACS, Leukemia and Lymphoma Foundation and pharmaceutical companies. During the 2nd year in the program, Scholars will be required to submit applications for funding to such sources as: NIH K22 Career Transition Award, NIH K23 Mentored Patient Oriented Research Career Development Award or Independent awards such as R01 or R03. Oversight for this component will be accomplished, in part, through the mentors who will be involved in the review of their Scholar's grant submissions. Further, Drs. Gerson and Schmaier will discuss grant submissions during the Translational Research Course. Applications for funding are listed in the annual progress report that is reviewed by the Steering Committee.

3D. Overview and Timeline Of Certificate Requirements

	Requirements	Details	Credit Hours	Timeline	Product
A	Formal didactic curriculum	<ol style="list-style-type: none"> 1. CNCR 501(1-4)- Translational Cancer Research 2. IBMS 500 Research Integrity & Ethics 3. Two courses; 6 hrs from list of courses in section A. 4. Protocol Review Monitoring Committee 5. ASCO/AACR or ASH Protocol Writing Course 6. Clinical Disease Teams 7. Designated Tumor Board: Thoracic, Sarcoma, GU, Neuro/Gamma Knife, GI, Lymphoma/Leukemia, Breast, or Head/Neck 8. Institutional Conferences: Ireland Cancer Center Grand Rounds, Cancer Center Blood Club Seminar, Hematology Conference, Hematology/Oncology Fellows Conference, Pathology Grand Rounds, Research and Progress 9. Case Comprehensive Cancer Center Retreat 	<p>4 hrs</p> <p>0 hrs</p> <p>6 hrs</p>	<ol style="list-style-type: none"> 1. 1st Wed eve. both yrs 2. 3 days in May/ 2nd yr 3. Anytime during 2yrs 4. Longitudinal 5. Summer 2nd yr 6. Longitudinal 7. Longitudinal 8. Longitudinal 9. July/2 days annually 	<ol style="list-style-type: none"> 1. Passing grade on presentation to CNCR 501 directors/students & to Steering Committee, credit for 4 courses 2. Transcript 3. 6 hours credit, course required projects 4. Presentation of IRB proposal 5. Presentation of protocol at CNCR 501 6. Presentation of LOI 7. Active participation 8. Presentation when requested 9. Presentation or poster when requested.
B	Intensive mentored research project	<ol style="list-style-type: none"> 1. Laboratory cancer related research 2. Developmental Therapeutics Program Meetings 3. Developmental Therapeutic Clinical Trial 4. Mentoring committee meetings 	10 hrs	<ol style="list-style-type: none"> 1. Primarily 1st yr 2. Longitudinal 3. 1st & 2nd yr 4. Twice a yr 5. Publication in either yr 6. Review of manuscript anytime during 2 years 	<ol style="list-style-type: none"> 1. Develop original hypothesis & specific aims 3. From concept to successfully opening a clinical trial 4. Passing grade in research presentation in CNCR 501& Steering Committee meeting 4. Summary of meeting & annual progress report 5. 1st author publication in peer reviewed journal 6. Review of at least 1 manuscript for national

					journal
C	Application for independent funding	1. Fellowships: ie ACS, LLF 2. Pharmaceutical companies 3. R or K grant-mentored or independent career awards	0	1. & 2. During 1 st yr 3. During 2 nd yr	1-3. Written application for funding submitted to SC for review

** If the Scholar shows proof of prior attendance at either of these or an equivalent course, this requirement is waived.)*

**CLINICAL TRANSLATIONAL ONCOLOGY RESEARCH CERTIFICATE PROGRAM
CORE COMPETENCIES**

Competency 1: Develop a rational scientific hypothesis based on clinical knowledge and research findings with the potential for improving the medical care of cancer patients	
1.1	Develop an understanding of cross disciplinary concepts and language in order to develop original cancer research hypothesizes
1.2	Demonstrate ability to communicate, verbally and in writing, with basic and behavioral research scientists (PhD) in order to effect the translation of basic/behavioral information into patient-oriented research
1.3	Demonstrate the ability to formulate specific aims to validate the research hypothesis
1.4	Identify Case Comprehensive Cancer Center Core Facility resources available to support and enhance the implementation of the scientific research (Biostatistics, Gene Expression & Genotyping, Imaging Research, Tissue Procurement and Histology)
1.5	Attain required research subject approval(s) to conduct laboratory based research, if appropriate
1.6	Demonstrate the ability to translate laboratory-based scientific knowledge into a developmental therapeutic cancer clinical trial
1.7	Demonstrate an understanding of, and the ability to manage, ethical issues that may arise during the course of the study
Competency 2: Develop, conduct, manage and evaluate the results of an innovative cancer clinical trial	
2.1	Translate basic research findings into an innovative clinical trial designed to improve the medical care of cancer patients
2.2	Identify Case Comprehensive Cancer Center Core Facility resources available to support and enhance the implementation of the cancer clinical trial (Clinical Trials, Biostatistics, Translational Research, Cancer Pharmacology)
2.3	Demonstrate an understanding of the principles involved in producing an accepted Letter of Intent (LOI)
2.4	Attain Cancer Therapy Evaluation Program (CTEP) approval (when appropriate) for utilization of the selected therapeutic agent
2.5	Attain required Institutional Review Board (IRB) approval to perform the clinical trial
2.6	Accrue the appropriate patient population necessary to perform the desired clinical trial
2.7	Oversee data collection and management of clinical results and findings
2.8	Analyze clinical results and finding
2.9	Critically evaluate all aspects pertaining to the clinical trial
2.10	Demonstrate an understanding of, and the ability to manage, ethical issues that may arise during the course of the clinical trial
Competency 3: Develop and nurture transdisciplinary collaborations	
3.1	Work with a mentoring team to identify and initiate potential professional collaborations
3.2	Identify potential collaborations opportunities with other Scholars in the certificate program
3.3	Establish an effective relationship with various scientific (PhD), clinical (oncology disciplines), and program leadership within the certificate program
3.4	Identify a potential network of collaborations locally (Cleveland), regionally (Ohio and Tri-State),

	nationally, and internationally (when appropriate) to enhance future cancer based research
3.5	Identify and utilize (when appropriate) resources available through the Eastern Cooperative Oncology Group (ECOG)
3.6	Demonstrate effective relationships with CTEP, IRB and other regulatory agencies to aid in the advancement of the proposed clinical trial
3.7	Develop and nurture productive collaborations
Competency 4: Recognize and understand effective leadership traits	
4.1	Actively participate in appropriate clinical and scientific based workshops, seminars, retreats, and other learning opportunities
4.2	Establish an effective relationship mentors, mentoring committee members, and colleagues.
4.3	Demonstrate the ability to effectively provide constructive feedback and receive criticism
4.4	Recognize effective and ineffective leadership traits
Competency 5: Demonstrate ability to disseminate, in both oral and written form, the key scientific foundations and the clinical findings	
5.1	Acceptance to present their original cancer research findings at a nation oncology conference
5.2	Acceptance of a first authored research manuscript to a peer reviewed journal
5.3	Submission of a grant proposal with clear specific aims
5.4	Review and edit a manuscript for a national journal
5.5	Demonstrate the ability to translate data from the laboratory setting to the clinical setting and back to the laboratory (bench-bedside-bench)

4. INTERACTION BETWEEN THE CERTIFICATE PROGRAM AND OTHER PROGRAMS:

4A. CTSC

The Certificate program will take advantage of resources available through the School of Medicine's Clinical Translational Science Center, through their programs for research and career development of junior faculty. Both the Certificate and the CTSC programs take advantage of the courses offered through the CRSP.

4B. CRSP (The Masters in Clinical Research Program):

The Masters in Clinical Research Program (CRSP) will review courses and research proposals in order to decide on an individual basis which of the credits, presented here, can be transferred to CRSP Master Program.

5. PROGRAM OVERSIGHT, ADDITIONAL RESOURCES, AND EVALUATION

5A. Program Oversight

Dr. Gerson, Director of the Case CCC, will serve as the Program Director of the Certificate Program. Dr. Gerson will be responsible for the oversight of the CTORSP training program, including appointment of mentors, decisions regarding the curriculum, and implementation of Steering Committee recommendations. He will oversee and promote high quality mentoring of clinical investigators and will support their multidisciplinary training by taking advantage of all of the resources of the Case CCC. Dr. Gerson's career interests reflect the goals of the Certificate Program and his status as Program Director ensures the seamless linkage to the Cancer Center and the commitment by the Cancer Center to the goals of the Certificate Program.

Dr. Schmaier, Chief of the Division of Hematology Oncology, serves as the Co-Director. Dr. Schmaier is an outstanding laboratory-based investigator, an excellent clinician and has an extensive track record mentoring students, fellows and junior faculty. As Certificate Program Co-Director, Dr. Schmaier will have oversight of the mentoring committees for each Scholar and will co-chair the Steering Committee.

5B. Additional Resources

5B1. Shared Resources

As part of the Case CCC, Scholars will have access to the expertise and services of the Case CCC Shared Resources to aid in their training and to advance their research goals. The resources are described, briefly, below.

Shared Resources of the Case Comprehensive Cancer Center

Shared Resource	Leadership	Description
Athymic Animal & Xenograft	Lili Liu, PhD	Preparation of mouse xenografts for drug screening and immunodeficient animals for human stem cell engraftment.
Behavioral Measurement	Susan Flocke, PhD	Measure development and resource for analysis of human responses.
Biostatistics	Mark Schluchter, PhD	Support for clinical trials and preclinical data analysis.
Cancer Pharmacology	Yan Xu, MD	Detection methods development and pharmacokinetic measurements during clinical trials.
Clinical Trials	Smitha Krishnamurthi, MD	Management of all investigator-initiated clinical trials.
Confocal Microscopy	James Jacobberger, PhD	High quality microscopic analysis.
Cytometry	James Jacobberger, PhD	Flow analysis of cell phenotype, apoptosis, cell cycle, and drug effect of TK inhibitors.
Gene Expression & Genotyping	Martina Veigl, PhD	Affymetrix chips for gene expression, SNIPS, genome scanning to clinical samples.
Hematopoietic Stem Cells	Luis Solchaga, PhD	Analysis of stem cells, distribution of hematologic malignancies cell samples.
High Throughput Sequencing	Mark Adams, PhD	High throughput sequencing Examination of genetic alterations associated with clinical and experimental cancers
Hybridoma	Clemencia Colmenares, PhD	Preparation of antibodies.
Imaging Research	Christopher Flask, PhD	Animal and human imaging with MR, PET, luciferase, SPECT, imaging and radionuclide preparation.
Practice Based Research Network	James Werner, PhD	130 practice network in Northern Ohio for analysis of practice trends and interventions in cancer screening and prevention.
Proteomics	Mark Chance, PhD	Mass spectrometry and peptide identification.
Radiation Resources	Nancy Oleinick, PhD	Research equipment for radiation of animals and cell lines.
Tissue Procurement & Histology	Gregory MacLennan, MD	Collection and distribution of human tumors discarded at surgery.
Tissue Biorepository	Joseph Willis, MD	Preparation of tissue specific biorepository with clinical outcome annotation.
Transgenic & Targeting	Ronald A. Conlon, PhD	Creation of transgenic and knockout mice.
Translational Research	John J. Pink, PhD	Coordinating center for collection, processing, storage and distribution of

	human samples from clinical trials.
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5B2. Special Training Environment

There are a number of specific training sessions for this program. All involve active working groups and scientific collaborating teams that meet regularly to review results, develop new concepts, review clinical trials based on laboratory efforts and manage patients on early phase clinical trials. The specific scheduled meetings are:

Drug Development Working Group Committee monthly meeting (Monday 4-6 pm). All laboratory and clinical investigators involved in development of novel anti cancer drugs either in preclinical or early phase clinical trials including laboratory correlates evaluated during early clinical development of new drugs attend this meeting.

Included are pharmacokinetics of clinical drugs with methods development and validation for new agents; pharmacodynamic measurements of targets, enzyme, protein, DNA damage, cell cycle analysis, and apoptosis, depending on the agent, using biochemical cytometry, IHC, and imaging technologies; and preclinical evaluation of new markers to be used in clinical trials.

Angiogenesis Working Group (monthly, Wednesday, noon): This team evaluates new molecules that have anti-angiogenic properties in cancer, develops research and clinical questions involving basic biologists in the Vascular Biology of Cancer initiative, the imaging research group and the clinical trials group.

Phase I Patient Protocol Review (Friday, 9-11 am). This weekly meeting reviews all active patients on Phase I clinical trials at Case CCC. New trials, adverse events, dose escalation, regulatory, safety and privacy issues are addressed. Scholars develop clinical protocols with mentors and seek input from the Translational Core Facility (John Pink, PhD, Director) and from laboratory investigators. Statisticians from the Cancer Center Biostatistics Core are actively involved in study design and post-activation study review and analysis.

Developmental Therapeutics Program Meetings (Wednesday 5-60 pm) This weekly meeting will aid Scholars in the understanding the development and prioritization of clinical trials, and promote the discovery and evaluation of new mechanism-based therapeutics for the cancer patient. Program investigators lead innovative Phase I and Phase II clinical trials with novel agents, incorporating pharmacokinetic and pharmacodynamic studies to monitor drug effects, and to develop relevant biomarkers by integrating correlative laboratory endpoints and capitalizing on cancer imaging technologies.

5C. Program Evaluation

5C1. Evaluation of Mentoring: Mentors and Scholars

Mentoring is regarded as a powerful catalyst and essential for professional development, and is considered critical for establishing a strong career in clinical research and academic medicine. Evaluations will assess the extent to which Scholars and their mentors identify and meet expectations within the mentor-scholar relationship; the extent to which short- and long-term career goals are set; and whether scholars participate in close, collaborative relationships with their mentors. Special attention will be given to the extent to which women and minorities are supported in the mentoring relationship; to the assessment of issues in such areas as gender and power; negotiation and conflict management; performance pressures, isolation, and role-limiting expectations. Both surveys and individual interviews will be used to assess the quality of the mentoring relationships.

5C2. Steering Committee and Evaluation

The Steering Committee will have a very active role evaluating the Certificate program, providing feedback on mentor and Scholar interactions and will serve as the central review during the evaluation of scholars, mentors, and the Certificate program. The Steering Committee will review each Scholar's progress on a yearly basis. At this annual meeting Scholars will provide a PowerPoint presentation outlining their research progress and advancement in the Certificate program according to the goals and established timeline. The Steering Committee will review the Scholar's evaluation of their

mentors and Certificate program and the mentor's evaluation of the Scholar's progress and the Certificate program. The mentoring committee issues an evaluation on a yearly basis or more frequently, if the mentoring committee report raises concerns. This process is longitudinal and continuous over the course of the training period. The goal is to assure that Scholars are developing the skills and confidence to design and manage clinical trials; to fine tune the didactic training to meet current and future needs; and successfully apply for independent funding.

5C3. Evaluation Process and Results

The continued evolution of the Certificate program keeps it current with mentor and Scholar expectations and needs. A core value of the CTORSP is that regular assessment of all elements of the program is essential to its continued evolution. The input of Steering Committee members and research mentors is sought as well as the evaluations of the Scholars themselves, so that programs may be tailored to the Scholars needs and interests.

5C4. Tracking

For tracking purposes, a variety of data regarding applicants and selected Scholars will be collected and reviewed yearly with the Steering Committee. These outcomes, tracked and recorded in a database, will include: 1) all scholars who applied for admission or positions within the department(s) participating in the Program; 2) scholars who were offered admission to or a position within the participating department(s); 3) scholars actually enrolled in the participating departments; 4) applicant characteristics (i.e., degree, gender, ethnicity, prior institution, topic of research); 5) information on the recruitment and retention of underrepresented minorities will be collected.

In addition, in order to monitor and evaluate the Certificate Program and Scholars' performance in the longer term, Scholars' perceptions of program quality and impact, as well as specific outcomes consistent with the goals of this program, will be measured annually from matriculation and up to 7 years following graduation. Specific longer term outcomes to be monitored annually will include publications; presentations at national and international scientific meetings; grant proposals submitted and funded, with special attention to multidisciplinary grants and program project and center-type grants; mentorship and pertinent outcomes of mentoring others; research-related leadership posts and awards at local through international levels; and any evidence of commercial translation of research (e.g., business spin-offs, patents, etc.). Routine data will be collected using an internet-accessible survey, using a modified version of the Case School of Medicine Annual Faculty Activity Summary Form. The Case CCC Training Program Manager, Ms. Margy Weinberg, MSW, will assemble these and report them to the Steering Committee. In addition, each previous Scholar will be contacted by telephone to discuss and describe their career accomplishments and reflect on elements of the Certificate program that were particularly useful to them in their current positions.

6. TUITION

The Clinical Translational Oncology Research Scholar's Program (CTORSP) does not provide support for the Scholar's tuition.

Scholars are encouraged to apply for institutional training programs that provide tuition support.

Many employers provide a tuition benefit. Please contact your administrator or the Human Resources Department (Benefits Office) for limits/details.

Should the Scholar receive a fail or no pass, the Scholar will be required to repeat the course or take an alternative course within the two years of the Certificate program.

Clinical Translational Oncology Research Scholars Program (CTORSP)		
Leadership		
Directors	Title	Affiliations
Stanton L. Gerson, MD	Professor of Medicine (Hematology/Oncology); Director, CWRU and UHCMC, Director, Comprehensive Cancer Center; Director, Director, Ireland Cancer Center	CWRU and UHCMC
Alvin H. Schmaier, MD	Professor and Division Chief of Medicine	CWRU and UHCMC

	(Hematology/Oncology)	
Steering Committee	Title	Affiliations
Randall D. Cebul, MD	Professor of Medicine, Director of the Center for Health Care Research and Policy	CWRU and MetroHealth
Kevin Cooper, MD	Professor and Chair of Dermatology	CWRU and UHCMC
Clark W. Distelhorst, MD	Professor of Medicine (Hematology/Oncology) and Pharmacology	CWRU and UHCMC
Julian A. Kim, MD	Professor of Surgical Oncology	CWRU and UHCMC
John Letterio, MD	Professor and Division Chief of Pediatrics (Hematology/Oncology)	CWRU and UHCMC
Sanford D. Markowitz, MD, PhD	Professor of Medicine (Hematology/Oncology)	CWRU and UHCMC
Kurt C. Stange, MD, PhD	Professor of Family Medicine; Director, Center for Research in Family Practice & Primary Care	CWRU
Jackson T. Wright, Jr., MD, PhD, FCAP	Professor of Medicine	CWRU, UHCMC and VAMC
Mentors	Title	Affiliations
Nathan A. Berger, MD	Professor of Medicine (Hematology/Oncology), Experimental Medicine, Director, Center for Science, Health and Society	CWRU and UHCMC
Kevin D. Bunting, PhD	Associate Professor of Medicine (Hematology/Oncology),	CWRU and UHCMC
Kenneth R. Cooke, MD	Professor of Pediatrics,	Rainbow Babies and Children's Hospital and CWRU
Gregory S. Cooper, MD	Professor of Medicine (Gastroenterology)	CWRU and UHCMC
Kevin Cooper, MD	Professor and Chair of Dermatology	CWRU and UHCMC
Afshin Dowlati, MD	Associate Professor of Medicine (Hematology/Oncology)	CWRU and UHCMC
Robert C. Elston, PhD	Professor and Interim Chair of Epidemiology & Biostatistics	CWRU
Susan A. Flocke, PhD	Associate Professor of Family Medicine	CWRU and UHCMC
Sanjay Gupta, PhD	Associate Professor of Urology	CWRU
Charles L. Hoppel, MD	Professor of Clinical Pharmacology	CWRU and VAMC
David Kaplan, MD, PhD	Professor of Pathology	CWRU
Jeffery A. Kern, MD	Professor and Chief of Pulmonary and Critical Care Division	CWRU and UHCMC
Eric A. Klein, MD	Professor of Urology, CWRU; Chair of Urology, Cleveland Clinic	CWRU and Cleveland Clinic
Eric D. Kodish, MD	Professor and Chair of Bioethics, Cleveland Clinic; Professor of Pediatrics and Bioethics, CWRU	CWRU and Cleveland Clinic
Mary J. Laughlin, MD	Associate Professor of Medicine (Hematology/Oncology)	CWRU and UHCMC
Hillard M. Lazarus, MD	Professor of Medicine (Hematology/Oncology)	CWRU and UHCMC
John Letterio, MD	Professor and Division Chief, Pediatrics (Hematology/Oncology)	CWRU and UHCMC
Sanford D. Markowitz, MD, PhD	Professor of Medicine (Hematology/Oncology)	CWRU and UHCMC
Keith R. McCrae, MD	Professor of Medicine (Hematology/Oncology)	CWRU and UHCMC
Robert H. Miller, PhD	Professor of Neurosciences and Neurological	CWRU

	Surgery	
Nancy L. Oleinick, PhD	Professor of Radiation Oncology	CWRU and UHCMC
Paula Silverman, MD	Associate Professor of Medicine (Hematology/Oncology) ,	CWRU and UHCMC
Andrew E. Sloan, MD, FACS	Associate Professor of Neurological Surgery	CWRU and UHCMC
Kurt C. Stange, MD, PhD	Professor of Family Medicine; Director, Center for Research in Family Practice & Primary Care	CWRU
Steven E. Waggoner, MD	Associate Professor of Reproductive Biology, Division Chief of Gynecological Oncology	CWRU and UHCMC
Georgia L. Wiesner, MD	Associate Professor of Genetics	CWRU and UHCMC
Yu-Chung Yang, PhD	Professor of Biochemistry	CWRU

Final Proposal
***ad hoc* Committee on University Level Faculty Committees**

CHARGE

Resolved, whereas the Faculty Senate currently has twelve standing committees, and has received a report from an ad hoc committee recommending the creation of a thirteenth; and

Whereas there are in addition two ad hoc senate committees; and

Whereas there exist other university level faculty committees, and committees with substantial faculty membership; and

Whereas faculty effort in university service should be utilized with the greatest possible efficiency and effectiveness;

Therefore, the Executive Committee of the Faculty Senate instructs the Chair to empanel and charge an ad hoc committee on University-Level Faculty Committees to examine the number, composition, charges, and methods of nomination and selection of members of such committees and make recommendations to improve the efficiency and effectiveness of university-level faculty governance while preserving and strengthening the commitment to democracy and transparency. The Committee will provide a report to the Executive Committee no later than March 1, 2009, and, working with the Committee on By-laws, prepare appropriate amendments to the Constitution of the University and to the By-Laws of the Faculty Senate in sufficient time to be considered at the Spring meeting of the University Faculty, subject to approval of the Faculty Senate.

COMMITTEE

Prof. Robin Dubin, Weatherhead School of Management, co-chair
Prof. Carol Musil, School of Nursing, co-chair

Prof. Ronald Fry, Weatherhead School of Management
Prof. Peter Gerhart, School of Law
Prof. James Kazura, School of Medicine
Prof. Edith Lerner, School of Medicine
Prof. J. Mann, Case School of Engineering
Prof. Sandra Russ, College of Arts and Sciences
Liz Woyczynski, secretary of the university faculty

INTERVIEWED

Kathryn Adams, former chair, faculty senate committee on women faculty
Jay Alexander, former chair, faculty senate
Bud Baeslack, provost's research council
Molly Berger, former chair, faculty senate nominating committee
John Blackwell, former chair, faculty senate information resources committee
Susan Case, current chair, faculty senate faculty compensation committee
John Clochesy, former chair, faculty senate graduate studies committee
Mark Coticchia, *ex officio* faculty senate research committee
Denise Douglas, chair, president's advisory committee on women
Robin Dubin, former chair, faculty senate nominating committee
Faye Gary, former chair, faculty senate committee on women faculty
Lev Gonick, *ex officio*, faculty senate research committee;
 chair, ITSPAC – Information Technology Services Planning and Advisory Committee
Bob Greene, chair, faculty senate personnel committee
Peter Haas, chair, faculty senate university libraries committee
Sharona Hoffman, former chair, faculty senate committee on women faculty
Cathy Kash, member, faculty senate research committee

Elizabeth Kaufman, chair, faculty senate committee on women faculty
Ken Laurita, former chair, faculty senate graduate studies committee
Ken Ledford, chair, faculty senate budget committee
Alan Levine, chair faculty senate graduate studies committee
Judy Lipton, former chair, faculty senate personnel committee
Sana Loue, chair, faculty senate committee on minority affairs
Liz Madigan, former chair, faculty senate information resources committee and member, PACOW
Dave Matthiesen, former chair, faculty senate
Ica Mana-Zloczower, former chair, graduate studies committee
Dorothy Miller, *ex officio*, faculty senate committee on women faculty
Marilyn Mobley, vice president of diversity, inclusion and equal opportunity
Carol Musil, former chair, faculty senate research committee
Ray Muzic, chair, faculty senate research committee
Spencer Neth, former chair, faculty senate committee on minority affairs
Bob Savinell, former chair, faculty senate research committee
Lynn Singer, provost's research council
Glenn Starkman, chair, faculty senate
Rhonda Williams, chair, PACM - President's Advisory Council on Minorities

QUESTIONS ASKED

(for senate committees)

- *What is the function of the committee?*
- *What are the issues the committee worked on? How were these issues identified?*
- *What information/support would you have liked as a new chair?*
- *(For some committees)The by-laws require these administrators to serve ex officio; are these productive liaisons?*

(for administrative committees)

- *How are the charges to the administrative committee and the faculty senate committee different?*
- *Is there unnecessary overlap and repetition, or do the committees work at cross purposes?*
- *How can these two committees communicate and work together?*

RETAIN ALL FACULTY SENATE STANDING COMMITTEES

- Current and/or former standing committee leadership cited examples of important issues and effective leadership for each of the current committee. Although committees' activity has waxed and waned over the years, the potential – and the importance of each committee's charge - was affirmed.
- Standing committees can be more effective with better support and communication. Suggestions follow throughout the report.
- Provost plans to disband the Research Council and use the Faculty Senate Committee on Research. Senate leadership and nominating committee are working to fill openings with active researchers and scholars.
- There is a vice-president for diversity, who has plans to form a new diversity leadership council. The topic of PACM, PACoW, FS Minority Affairs, and FS Women Faculty has received much discussion, and committee members agree there are too many committees working on diversity issues. One strongly considered possibility was merging the faculty senate committees on minorities and women, to enhance their combined strength, but also to allow the one committee to form separate subcommittees for women faculty and minority affairs as necessary for certain issues. But there was disagreement about how best to combine the 4 committees. We recommend a close working relationship between the two faculty senate committees with the Diversity Leadership Council, and PACOW and PACM, including overlap of membership to the extent that faculty senate committee members are members of the PACOW and PACM. Since this is a time of change with the new vice-president of diversity, inclusion and equal

opportunity, we suggest that the question of whether the FS Committees on Women Faculty and Minority Affairs be merged or remain separate be revisited spring 2010, and the question decided by the FS Executive Committee.

FACULTY MEMBERSHIP ON CENTRAL ADMINISTRATION COMMITTEES

- Administrators who have central administration standing committees with charges that overlap the charges of faculty senate committees should include members of the relevant faculty senate committees. If possible they should appoint a faculty co-chair who is a chair or member of a relevant faculty senate committee.
- Administrators who form central administration *ad hoc* committees that include faculty should consult faculty senate leadership and faculty senate nominating committee for suggested faculty membership.
- Before new faculty senate ad hoc committees are established, the Faculty Senate Executive Committee should consider if a standing committee could accomplish the work. We recommend that the charges of faculty senate *ad hoc* committees be reviewed annually to determine if committees should continue.

CHANGES TO EXECUTIVE COMMITTEE

OBJECTIVES:

- Improve connection to the schools, but retain support for broader objectives of faculty senate
- Improve connection to standing committees, and be proactive in development of standing committee agendas
- Reinforce the executive committee charge, as stated in the by-laws

PROPOSALS:

Membership

- Membership should be consistent with a federated model, which ensures representation of the faculty senate with a clear link with colleges/schools.
- Members should still be elected by the faculty senate.
- Elect one senator from each school. (*A change in the Constitution would be required to make this happen, by vote of the faculty senate, the university faculty, and the Board of Trustees.*)
- Nominees for the Executive Committee will be drawn from each college/school's senators who agree to run and who will be serving on the faculty senate next year; names will be placed on the slate for each school/college and one senator from each school/college will be selected by the entire senate through plurality vote.
- Each senator on the executive committee should participate as an *ex officio* member on the school's executive committee (or equal alternative at schools that don't have an executive committee.) They are responsible for communicating school issues to the executive committee and senate issues to their schools.

Charge

- Executive committee is responsible for nominating, soliciting interest, and voting to approve the standing committee chairs no later than the date of May commencement ceremonies.

Process

- One meeting of executive committee/year (December?) should be dedicated to members reports on issues from the schools.
- Two meetings of the executive committee/year/ should be dedicated to reports and discussion from standing committee chairs.
- Hold an orientation for chairs of the standing committees as described in the Appendix of this report.

CHANGES TO NOMINATING COMMITTEE

OBJECTIVES:

- Improve nominating committee knowledge of standing committee and executive committee activities so that nominating committee members can be better informed and more effective nominators and recruiters

PROPOSALS:

Membership

- In September, request one senator from each school to populate the nominating committee.

Process

- In October, chair of the faculty senate should appoint the chair of the nominating committee
- Nominating committee should meet at least once in fall semester
- Nominating committee should contact standing committee members whose terms are up, who are eligible to serve again, to see if they will serve again, before the faculty interest survey gets emailed and posted in *Case Daily*
- Faculty interest survey should be precise in identifying which committees have openings, and if new membership needs to come from certain schools
- Nominating committee should have committees' charges at hand and in mind when recruiting
- The nominating committee should meet at least once in the fall, so that it can be a support for filling occasional membership holes throughout the year, and advise the chair and help recruit membership for any *ad hoc* committees
- Nominating Committee selects the membership for faculty senate standing committees; committee chairs are appointed by the Executive Committee, per Faculty Handbook.

STRENGTHEN FACULTY SENATE COMMITTEE OF RESEARCH

OBJECTIVES:

- Focus all discussions and initiatives regarding research through the Faculty Senate Committee on Research

PROPOSALS:

- Provost Bud Baeslack plans to discontinue the former Provost's Research Council
- Faculty Senate should review the charge of the former Provost's Research Council and incorporate any relevant ,new elements into the charge for the Faculty Senate Research Committee
- Recruit active researchers, funded and non-funded, to Faculty Senate Research Committee to fill openings as members finish their terms
- Several administrators (VP for Research and Technology Management and the Dean of Graduate Studies) are presently *ex officio* members of the committee. Add one more *ex officio* member from the Office of the Provost.
- The committee includes three graduate students and one post-doctoral scholar/fellow. A split of two and two is reasonable. Our post-doctoral scholars/fellows should be better represented.
- Members of the Faculty Senate University Libraries and Information Resources Committees should serve as *ex officio* members of the Faculty Senate Research Committee.

IMPROVE SUPPORT FOR STANDING COMMITTEES

OBJECTIVES:

- Improve support and feedback for chairs and in determining their committee agendas
- Improve support for organizing committee activities

PROPOSALS:

Membership

- Each chair should appoint a vice-chair, in consultation with the chair of the faculty senate, to help with coordinating committee activities, to foster shared and continued committee leadership. The vice-chair could – but doesn't have to be – considered for future chair.
- Engage standing committees before appointing *ad hoc* committees. If an *ad hoc* committee is necessary, recruit membership from, or a liaison to, standing committees where relevant.
- **Every standing committee should have the rule that there will be no more than 2 faculty from the same school.**
- Standing committee chairs, in consultation with the faculty senate chair, should be able to replace inactive standing committee members, with faculty suggested, solicited, and appointed by the nominating committee. A mechanism should also be in place to replace non-functioning standing committee chairs.

Process

- Hold an annual orientation: to pass agenda from old to new committee leadership, discuss potential agenda items for the committees, and provide information about office/administrative support available for committee activities
- Increase support from office of secretary of university faculty for each standing committee: meetings scheduled, minutes taken, minutes posted to the web, shared online documents for committee members, etc.
- Template for year-end report required of current chairs, report to be shared with chair, chair-elect, and future standing committee chair
- Office of Secretary of University Faculty office facilitate posting standing committee meeting minutes on the web, creating mailings lists, and create secure websites for internal committee documents and communications

CHARGE FOR FACULTY SENATE PERSONNEL COMMITTEE

- The Faculty Senate Personnel Committee should annually request and review COACH, Climate and other relevant surveys.

SUPPORT FOR CHAIR OF FACULTY SENATE

- Provide teaching relief or other compensation for chair of faculty senate (2 classes/ each semester)
- Confirm levels of support for chair-elect, chair of budget committee, and chair of undergraduate committee (1 class? each semester?)
- Secretary of university faculty and university counsel's office to provide orientation to faculty senate chair about grievance process

RECOGNITION FOR SENATE MEMBERS

- Acknowledge efforts of Committee chairs and Executive committee members:
- Continue annual dinner for chairs and executive committee or luncheon at the Case Club
- Thank you reception for all senators (these could be relatively low cost)

MEDICAL SCHOOL SENATE ELECTIONS TIMED EARLIER, CONSISTENT WITH OTHER SCHOOLS

- Medical school currently elects senators in September; we recommend that their elections are consistent with the other college/schools' cycle (elections in spring for next academic year)

RECOMMENDATION TO CONVENE SIMILAR AD HOC COMMITTEE EVERY 5 YEARS

- A review, such as this one, should be repeated on a regular cycle.

ANNUAL FACULTY SENATE ORIENTATION

Third Week in August, just before classes start
At Gwin Estate or Squire Vallevue Farm

Objective

- Thank leadership for service
- Help standing committee chairs develop committee agendas
- Help standing committee chairs organize committee activities
- Make senate experience less intimidating, more understandable, more accessible
- Increase effectiveness and efficiency of faculty senate

Attendance

- past chair, chair, and chair-elect, secretary of university faculty
- president/provost
- 09-10 elected executive committee
- 08-09 standing committee chairs
- 09-10 standing committee chairs

Activities

- Remarks by past chair about the past year's activities
- Thanks and remarks by president/provost
- Reports by past committee chairs about past year's activities
- Review poll results by faculty senate – faculty - about potential issues
- Review the charges to each of the standing committees
- Meet in small groups to discuss potential issues
- Small groups report back
- Review of process – meeting dates, web postings, shared documents, etc.
- Remarks by current chair about the upcoming year's activities

Support, distribute

- Spiral bound copy of By-laws to new executive committee and committee chairs
- Spiral bound copy of Faculty Handbook to new executive committee and committee chairs
- New edition of *Robert's Rules of Order* to chair and chair-elect
- 09-10 committee rosters
- A nice lunch

Preparation

- Poll faculty senate in April to get feedback on potential issues for upcoming year
- Template for current chairs to report on last year's activities and recommendations for next year
- Approve 09-10 committee chairs at April executive committee meeting

Follow-up after Meeting

- Minutes from orientation emailed to all 09-10 elected senators and committee members

Year-End Report of the Faculty Senate Committee on Women Faculty, 2008-2009

During the academic year 2008-2009, the Faculty Senate Committee on Women Faculty continued to focus attention on the child care center initiative, which remains a Faculty Senate priority requiring a commitment of resources over several years. Jonatha Gott, who serves on the President's ad hoc committee dealing with this initiative, has kept our Committee updated on this issue.

Faculty Senate Committee on Women Faculty member Karen Farrell was selected to represent the Committee on the Diversity Leadership Council.

Respectfully submitted,

Elizabeth S. Kaufman, MD
Chair, Faculty Senate Committee on Women Faculty
April 14, 2009

Case Western Reserve University
Cleveland, OH 44106

**Final Report of the Faculty Senate Budget Committee
to the Faculty Senate
Academic Year 2008-09**

Monday, April 27, 2009, 3:30 p.m.

The Faculty Senate Budget Committee through the end of April has met fifteen times during Academic Year 2008-09, and it has four meetings scheduled through June, for a total of nineteen meetings. Eighteen have been regular meetings, one of which in December 2008 considered Fiscal Year 2009-10 budget priorities forwarded from Senate Committees. The extra meeting was a joint meeting in February with the Faculty Senate Committee on Information Resources.

Throughout the Academic Year, the FSBC has kept close watch on three particular issues. First, it has worked closely with Vice President of Institutional Planning and Research, Christine Ash, and first with Interim Provost Jerry Goldberg, and since October 1 Provost Bud Baeslack, to inform itself about the financial implications of the implementation phase of the University Strategic Plan. Second, it has worked very closely with Senior Vice President for Finance and CFO John Sideras, Associate Vice President for Budget and Financial Planning Ginny Leitch, and Treasurer Bob Brown to monitor and advise with respect to perturbations in the credit markets, systemic collapses of credit liquidity and cash flow freezes in September and October 2008, and the world-wide economic crisis of the past twelve months. Finally, the FSBC has focused on internal institutional monitoring, receiving reports from each constituent faculty on the functioning of its own Budget Committee, in an effort to ensure the effective participation of all faculty in the University in the shared governance responsibilities of the Faculty Senate and University Faculty.

Beyond these overarching themes, the FSBC has worked with the financial administration to fulfill its duty to participate both in budget monitoring for the FY 2008-09 budget and budget making for FY 2009-10. The FSBC received in October the good news of the early return, as of June 30, 2009, of the University's budget to balance and modest surplus, ahead of the schedule determined in the Financial Recovery Plan of October 2007. The FSBC avidly followed the reports of the First and Second Quarter Forecasts for the FY 2009 budget, both of which showed conservative and responsible management of expenditure, generally good news with respect to receipt of budgeted revenues, and responsible responses in units who experienced shortfalls in budgeted revenues. Third Quarter Forecast results will be reported in May, but preliminary indications are that they will be in line with earlier results. The FSBC thus, based on the information which it has seen to date, anticipates a reasonable FY 2009 year-end close at or near balance. The financial administration has reported to the FSBC its work to attempt to create realistic FY 2010 budgeted revenues in unprecedentedly murky financial times, when historical data may mislead. To adjust to the rapidly changing economic environment, scheduled due dates for the FY 2010 budget have been adjusted later, so that clearer and more

accurate data will be available. The FY 2010 budget thus will not be finalized until May, at which point a much clearer view of the important income stream of undergraduate tuition will be available. Several expense items, especially utility costs, will rise significantly because of market conditions, so the FY 2010 budget will be austere. The President has decided, advised by the Provost and CFO, to forego salary increases for very senior administrators and to hold most central administrative budgets flat for FY 2010. While Deans of the constituent faculties necessarily have budgetary discretion to vary policies to pursue strategic goals, austerity will also prevail in their final budgets. Yet the FY 2010 budget will not be one of crisis or one outside the control of the administration. The financial and budgetary discipline regained since 2006 by the hard work of administration, faculty, and staff position the University better than many of its peers to weather, thus far, the financial tumult that surrounds us.

Good budgetary news exists. The CFO and Treasurer have managed our debt and working capital well, so that rating agencies in fall 2008 removed a negative outlook and reclassified the University's financial outlook as "stable," a superlative in these parlous times. The Chief Investment Officer and the financial administration deserve credit for strong stewardship of the endowment, such that its losses, while significant, are far less in proportion to those of more famous institutions, and performance remains within the University's goal of rating in the top quartile of our peer endowments. Undergraduate tuition was strong in FY 2009, and anticipated increases in need-based financial aid costs, for which reserves were set aside, did not in fact materialize.

Challenges remain for the future. The review of allocation rules for revenues and expenses had to be postponed until summer or Academic Year 2009-10, because implementation of the Strategic Plan and opportunities presented by the federal stimulus plan absorbed the time of those professional staff who would guide those discussions. As the financial administration recognizes, the University has never had a really rational system of capital budget planning, which hinders strategic investment and leads to a Hobbesian competition among management centers, sometimes red in tooth and claw, for scarce capital investment dollars, and the CFO and CAO plan to work toward a regularized, transparent, accessible, and understandable capital budget system. Endowment losses in "funds held by others," endowed funds of which the University is beneficiary but whose investment guidance is managed by fiduciaries other than the University's endowment (roughly one-quarter of the endowment) have suffered significantly greater proportional losses than the University-managed funds, and shortfalls in income from these endowments now must be covered by operating funds. And faculty and staff salaries remain perilously low compared to peer institutions (except for senior administrators and officials), and the President's commitment to curing this inherited problem will necessarily be slowed by the advent of previously-unanticipated economic turmoil. Several other inherited problems and opportunities, from ill-advised leases to nearby development projects, remain unresolved. Major capital projects in the Medical Center Company, which provides steam and chilled water for the University, loom in the near future. Finally, the University's carrying capacity for debt remains limited, partly by the present straitened credit market, but also simply by the need to use current income for operations rather than for debt service for major construction projects. Realization of the Campus Master Plan and the University Strategic Plan

thus remains more dependent upon philanthropy and external funding than upon the University's capacity to self-finance through credit.

The work of the FSBC for Academic Year 2008-09 continued to be cooperative and pleasant because of the commitment of the administration to transparency, communication, and shared governance. Starting with President Barbara Snyder, but continuing through Interim Provost Jerry Goldberg and later Provost Bud Baeslack, Interim CFO and later CFO John Sideras, Vice Presidents Chris Ash and Ginny Leitch, and all of the Deans, Vice Presidents, and other administrators who worked with the Committee, cooperation was gracious, eager, and speedy. The commitment to shared governance has been typified by the President's inclusion of the Chair of the FSBC in the search process for a new CFO, in the CFO's inclusion of the Chair in the search process for a Vice President of Financial Planning, and the Vice President for Enrollment's inclusion of the Chair in the search process for a new Director of Financial Aid. All senior administrators welcomed invitation to present information to the FSBC, and as Chair, I wish to express my gratitude. Attached to this Final Report is a list of those reports shared with the FSBC.

The Chair also wishes to thank the members of the FSBC for 2008-09 for their patience, tenacity, and energy: elected by the Senate Profs. Julia Grant, Shirley Moore, and Marsha Pyle, and representative from the constituent faculties Profs. Laura Chisolm, Elizabeth Click, Victor Groza, Jim Lalumandier, Jerry Saidel, J. B. Silvers, Joe White, and Nick Ziats.

Finally, this report would be remiss if it did not express thanks to Chalana Gilliam, assistant to Vice President Ash, for her personal grace and professional skills in providing expert staff support to the Committee, her patience with its Chair, and her quiet and modest efficiency.

Respectfully submitted,
Kenneth F. Ledford
Associate Professor of History and Law
Chair, 2008-09 Faculty Senate Budget Committee

Reports to FSBC from Deans and Administrators
Academic Year 2008-09

October 20	Treasurer Brown and Controller Melville: Cash Flow and Debt Management
February 4	CFO Sideras and Senior Assoc. Dean for Finance and Budget, SOM, Chris Masotti: Implementation of PWC Report
February 20	Deans, Administrators, and Representatives from Constituent Faculties and Mandel Center for Nonprofit Organizations: Professional student tuition experience in FY 2009 and planning for FY 2010
March 4	Vice President Deike, Director Chenelle: Undergraduate Tuition and Financial Aid Vice President Loessin, Vice President Ridolfi, and Director Goodman: Development Results and Capital Campaign
March 24	Dean Rozek: Graduate tuition Vice President Bell and Vice President Edwards: Stimulus plan research opportunities
April 1	Chief Investment Officer Staley: Endowment results
April 21	Vice President Gregory: Fringe Benefits
June 3	CFO Sideras and CAO Wheeler: Capital budgeting

April 23, 2009
Faculty Senate Committee on By-Laws
Year-end report, 2008-2009

The Committee on By-Laws held nine meetings in 2008-2009. The Faculty Senate, at its September 24, 2008 meeting, ratified the amended by-laws of the Mandel School of Applied Social Sciences, which the committee had reviewed last spring. The committee reviewed the revised by-laws of the Weatherhead School of Management and made numerous recommendations thereon; the Faculty Senate voted to approve the amended by-laws at its February 26, 2009 meeting. The committee also reviewed the revised by-laws of the Frances Bolton School of Nursing and returned them to the school with recommendations.

A substantial change to the faculty constitution (Chapter 2 of the Faculty Handbook) was drafted by the Faculty Senate Ad Hoc Committee on Governance of Undergraduate Education and Life and considered by the Committee on By-Laws in February. The proposed amendment specified the charge of a new Faculty Senate committee, the Committee on Undergraduate Education (CUE), designed to fulfill the functions of the University Undergraduate Faculty. The proposed addition was ratified by the Faculty Senate at its March 25, 2009 meeting. Pending approval by the University Faculty and the Board of Trustees, the amendment will bring policies pertaining to undergraduate education under the aegis of the Faculty Senate.

The Committee on By-Laws presented a number of other proposed changes (to the Handbook) to the Faculty Senate at its March 25 meeting; they were approved by vote of the Faculty Senate. An overview of these changes was distributed with the meeting agenda (Overview of Key Faculty Handbook Changes). Also at its March 25 meeting, the Faculty Senate approved a request by the Frances Bolton School of Nursing for a permanent exemption to the Faculty Handbook's stipulation that the majority of voting faculty members within each school should be tenured or tenure-track faculty members; the request was made to accommodate the school's large number of non-tenure-track faculty engaged in clinical teaching, practice, and service.

The committee would like to thank Liz Woyczynski for her devoted and comprehensive administrative support.

Respectfully submitted,
Christine Cano, Chair

Case Western Reserve University

Faculty Senate Committee on Information Resources

Yearly Report 2008-2009

Kalle Lyytinen, FSCIR chair

Members:

KALLE LYYTINEN, **Chair**

JOHN BLACKWELL, CSE (2009)

CHRISTOPHER BURANT, SON (2010)

CATHERINE DEMKO, SODM (2010)

CHRISTINE HUDAK, SON (2011)

WYATT NEWMAN, CSE (2009)

CHARLES ROSENBLATT, CAS (2009)

VIRGINIA SAHA, SOM (2011)

JIAYNAG SUN, CAS (2009)

AUSTIN BENNETT

KARAN DARA

LEV GONICK (ex officio)

Meetings

The committee has run overall 7 meetings- one in each month during the academic year- save December and May.

Attendance. For all meetings at least c.a. 50-60% of the members were present.

Topics

The following topics have been addressed in the meetings

September : IT governance, Budget Priorities, ITS performance and annual review, need for external review, e-mail change and platform policies, security and password policies;

October : Alignment of University Strategic plan / ITS strategic plan, Priorities for ITS funding initiatives

November: Budget priorities, Faculty priorities for funding initiatives; ITS strategic plan and external review

January: Budget priorities and faculty senate feedback; ITS strategic plan for 2009-2010; ITS external review and benchmarking plan and exercise; Coordination of IT issues between FSCIR and schools

February: Joint meeting with Faculty Budget committee; Review and benchmarking of ITS capital investments, charging policies, and fund allocation; need for longer term and better capital budgeting process within university

March: Capital budgeting; external and internal review of the ITS; SIS implementation and expansion; membership issues

The main areas discussed were budgeting and funding priorities; capital allocation and charging policies and the review of governance and ITS strategic planning.

Year-End Report of the Faculty Personnel Committee

As outlined in the Faculty Handbook, one of the critical duties of the Faculty Personnel Committee is to offer informal and confidential advice, investigation, and conciliation to individual faculty members seeking advice regarding personnel issues, particularly when they are seeking such advice from sources outside their own faculty. In addition to these confidential advising responsibilities, the committee has representation on special reviews dealing with changes in advising, mediation and grievance procedures. As a group, the committee has discussed several issues over the course of the 2008-2009 academic year:

1. Along with many other structures, we reviewed drafts regarding conflict of interest policy and had preliminary discussions regarding conflicts of commitment.
2. We reviewed proposed changes in academic course-evaluation forms as they had implications for the administrative evaluation of, and compensation for, teaching faculty.
3. We reviewed changes in sexual harassment policy from the perspective of faculty personnel and made recommendations regarding the proposed draft that was presented to us.

Respectfully submitted,
Robert L. Greene
Chair, Personnel Committee
Department of Psychology, College of Arts & Sciences

Below is the final report for the Faculty Senate Committee on University Libraries.

The Committee on University Libraries focused its attention this year on three topics.

1. Exploring ways to restructure how the Library budget is allocated. The current system distributes tuition and other income to the various schools, and then taxes back a certain amount to fund various University "common goods" such as the library. The Committee is working with the library administration to develop proposals for a more transparent model. Talks have already been held with several of the relevant deans and further discussions are planned.
2. Helping the library develop strategies for dealing with its diminishing ability to acquire materials. The Committee has been particularly concerned with the impending budget crisis at OhioLink and how this will affect CWRU, which is overly-dependent on this consortium.
3. Monitoring the increasingly fast pace of changes in the area of "Scholarly Communication", including electronic publishing, open access, and copyright issues. The Committee here has been working with the library system to devise programs for increasing campus awareness of changes in these areas. The presentation by Profs. Bill Deal and Timothy Beal regarding their own copyright experience drew a particular large audience. We hope to build on that momentum next year.

Within the last month, the economic situation has forced the library to consider cancelling hard-copy subscriptions for select journals to which there is already access through OhioLink. This was a topic of discussion in our April meeting. The choices of which journal subscriptions to cancel will be made in consultation with the relevant departments. Because of the timing of subscription renewals, these choices will have to be made by the end of the summer.

Peter J. Haas
Abba Hillel Silver Professor of Jewish Studies Chair, Department of Religious Studies Director, The Samuel Rosenthal Center for Judaic Studies Case Western Reserve University Cleveland, OH 44106

Faculty Senate Nominating Committee Report

August 2009

Submitted by Prof. Gerald M. Saidel, Chair

With the assistance of Liz Woyczynski, Secretary of the University Faculty

Members:

Gerald Saidel, CSE
Molly Berger, CAS
Elizabeth Damato, SON
Asim Erdilek, WSOLM
Fady Faddoul, SODM
Patrick Kennedy, PHED
Kathryn Mercer, LAW
G. Regina Nixon, MSASS
Daniel Wolpaw, SOM

Staff: Elizabeth H. Woyczynski

The Faculty Senate (FS) Nominating Committee met four times in the Spring semester starting in February 2009. E-mail communication among the Nominating Committee members was sufficient to minimize the number of group meetings. Ms. Woyczynski prepared information about standing committee membership, members who need to be replaced (and who can serve again), and specifications in the Faculty Handbook regarding each committee's composition and charge. Also, she suggested a timeline for the process and suggestions from the former committee chair, Prof. Molly Berger. The members elected a chair and decided on a distribution of tasks to recruit members of the following committees. A survey was sent to all CWRU faculty to invite self-nominations for the FS Standing Committees: Budget, By-Laws, Faculty Compensation, Graduate Studies, Information Resources, University Libraries, Minority Affairs, Faculty Personnel, Research, Women Faculty. Communication with former FS Committee chairs provided additional input for the potential FS Committee chairs. Also, communication with FS Chair and Chair-Elect provided important input with respect to nominations for the FS Chair-Elect and FS Executive Board. Finally, nominations to for the Honorary Degree Committee were considered. For the next year, the FS Nominations Committee should begin functioning in January rather than February to meet the necessary deadlines.

2009-2010 Faculty Senate Committee Membership

Budget Committee

Term	Membership	Last Name	First Name	School
2009-2010	at-large member	Saidel	Jerry	CSE
2008-2011	at-large member, chair, 2009-2010	Grant	Julia E.S.	WSOM
2009-2012	at-large member, senator	Case	Susan	WSOM
	ex officio, chair of Faculty Compensation	Smith	Mark	SOM
	regular guest and participant	Sideras	John	UGEN
2008-	school representative (SON)	Click	Elizabeth	SON
2008-	school representative (CAS)	White	Joseph	CAS
2009-	school representative (CSE)	Kadambi	Jaikrishnan	CSE
2008-	school representative (LAW)	Chisolm	Laura	LAW
2008-	school representative (MSASS)	Groza	Victor	MSASS
2008-	school representative (SODM)	Lalumandi er	Jim	SDM
2009-	school representative (SOM)	Lerner	Edith	SOM
2008-	school representative (WSOM)	Silvers	JB	WSOM

Committee on By-Laws

Term	Membership	Last Name	First Name	School
2007-2010	chair, 2007-2010	Cano	Christine	CAS
	regular guest	Langell	Lois	UGEN
	regular guest	Treml	Colleen	UGEN
	regular guest	Woyczynski	Liz	UGEN
2005-2008, 2008-2011		Cort	Stan	WSOM
2007-2010		Courtney	Kathleen	SON
2007-2010		Dearborn	Dorr	SOM
2008-2011		Mahoney	Gerry	MSASS
2009-2012		Zheng	Qing Ying	SOM

Committee on Faculty Compensation

Term	Membership	Last Name	First Name	School
	CFO or designee	Sideras	John	UGEN
2009-2012	chair, 2009-2010	Smith	Mark	SOM
	provost or designee	Singer	Lynn	UGEN
2006-2009, 2009-2010		Case	Susan	WSOM
2008-2011		Dennis	James	SOM
2009-2012		Jamieson	Alex	CSE
2008-2011		Kennedy	Pat	PHED
2009-2012		Liedtke	Carole	SOM
2007-2010		Malemud	Charles	SOM
2009-2012		McDonnell	Sean	PHED
2007-2010		Scallen	Catherine	CAS

Committee on Faculty Personnel

Term	Membership	Last Name	First Name	School
2007-2010	chair, 2009-2010	Kazura	Jim	SOM
	ex officio	TBD		UGEN
	ex officio, member of Faculty Compensation	TBD		
	ex officio, president's designee	Singer	Lynn	UGEN
2008-2011		Farrell	Karen	UGEN
2009-2012		Gingerich	Wally	MSASS
2007-2010		Leitman	Marshall	CAS
2007-2010		Liberatore	Vincenzo	CSE
2009-2012		Loue	Sana	SOM
2008-2011		Shane	Scott	WSOM
2010-2011		Teich	Sorin	CSDM
2009-2012		Yang	Peter	CAS

Committee on Graduate Studies

Term	Membership	Last Name	First Name	School
2009-2012	chair, 2009-2010	Wnek	Gary	CSE
	ex-officio, Dean Graduate Studies	Rozek	Charles	UGEN
	ex-officio, graduate student	Harris	Jimmy	
	ex-officio, graduate student	Henry-Halldin	Cara	
	ex-officio, graduate student	Schartman	Samantha	
	ex-officio, professional student	TBD		
	ex-officio, VP Research	Cotticchia	Mark	UGEN
2006-2009, 2009-2012		Dubin	Robin	WSOM
2007-2010		Flint	Christopher	CAS
2008-2011		Landau	Ellen	CAS
2008-2011		Lerner	Edith	SOM
2007-2010		Mercer	Kathryn	LAW
2008-2011		Newman	Wyatt	CSE
2008-2011		Snider	Martin	SOM
2009-2010		Zauszniewski	Jaclene	SON

Committee on Information Resources

Term	Membership	Last Name	First Name	School
2008-2011	chair, 2008-2010	Lyytinen	Kalle	WSOM
	ex-officio, FSCUL, chair or designee	Haas	Peter	CAS
	ex-officio, provost or designee	Baeslack	Bud	UGEN
	ex-officio, University Librarian	Eustis	Joanne	UGEN
	ex-officio, VP ITS	Gonick	Lev	UGEN
	graduate student	Jamieson	Quentin	
	post doctoral fellow	TBD		
	undergraduate student	Napfel	Matthew	
2009-2010		Bauer	Bill	CAS
2009-2012		Buchner	Marc	CSE
2007-2010		Burant	Christopher	SON
2007-2010		Demko	Catherine	CSDM
2008-2011		Hudak	Christine	SON
2009-2012		Muzic	Ray	SOM
2008-2011		Saha	Ginger	SOM
2006-2009, 2009-2012		Sun	Jiaynag	CAS

Committee on Minority Affairs

Term	Membership	Last Name	First Name	School
2006-2009, 2009-2010	chair, 2008-2010	Gary	Faye	SON
	ex-officio, provost designee, diversity	Mobley	Marilyn	UGEN
	ex-officio, provost designee, diversity	TBD		UGEN
	graduate student	Laughlin	Feng	
	post-doctoral fellow	TBD		
	undergraduate student	Owusu- Dapaah	Harry	
2009-2012		Blade	Freeman	UGEN
2008-2011		Boseman	Linda	SON
2009-2012		Chen	Shu	SOM
2008-2011		Lasso	Marixa	CAS
2009-2010		McGucken	Emilia	CAS

Committee on Research

Term	Membership	Last Name	First Name	School
2009-2012	chair, 2009-2010	Chance	Mark	SOM
	ex-officio, Dean Graduate Studies	Rozek	Chuck	UGEN
	ex-officio, VP Research	Coticchia	Mark	UGEN
	graduate student		Franke	Tim
	graduate student		Brennan	Caitlin
	graduate student		Bulea	Thomas
	post-doctoral fellow			
2009-2012		Bhakta	Shyam	SOM
2008-2011		Han	Yiping	SDM
2007-2010		Jones	Katherine	SON
2008-2011		Kash	Kathy	CAS
2007-2010		Lynn	Leonard	WSOM
2008-2011		McGrath	Janet	CAS
2008-2011		Robertson	Cassandra	LAW
2007-2010		Townsend	Aloen	MSASS

Committee on Undergraduate Education

Term	Membership	Last Name	First Name	School
2009-2010?	at-large member	Fogarty	Tim	WSOM
2009-2011?	at-large member, chair?	Chottiner	Gary	CAS
2009-2012?	at-large member, vice-chair?	McGuffin-Cawley	Jim	CSE
	ex-officio, provost	Baeslack	Bud	UGEN
	provost designee, ug administrator	Deike	Randy	UGEN
	provost designee, ug administrator	Feke	Don	UGEN
	provost designee, ug administrator	Nicholls	Glenn	UGEN
	provost designee, ug administrator	Wolcowitz	Jeff	UGEN
	school representative (BIOC/NUTR)	Swain	James	SOM
	school representative (CAS)	Korbin	Jill	CAS
	school representative (CSE)	Mann	Jay	CSE
	school representative (PHED)	Reimer	Jennifer	PHED
	school representative (SON)	Lotas	Lynn	SON
	school representative (WSOM)	Parker	Larry	WSOM
	undergraduate student	Carter	David	
	undergraduate student	Cross	Lea	

Committee on University Libraries

Term	Membership	Last Name	First Name	School
2007-2010	chair, 2008-2010	Haas	Peter	CAS
	ex-officio, Health Sciences Library	Saha	Ginger	SOM
	ex-officio, FSCIR, chair or designee	Lyytinen	Kalle	WSOM
	ex-officio, Law Library	Carrick	Kathleen	LAW
	ex-officio, MSASS Library	Skutnik	Samantha	MSASS
	ex-officio, University Librarian	Eustis	Joanne	UGEN
	ex-officio, VP ITS	Gonick	Lev	UGEN
	graduate student	Laughlin	Patrick	
	post-doctoral fellow	TBD		
	undergraduate student	Patel	Parita	
2009-2012		Hirsch	Stanley	SODM
2006-2009, 2009-2012		Jensen	Erik	LAW
2009-2012		Kaelber	David	SOM
2008-2011		Merat	Frank	CSE
2009-2012		Munson	Michelle	MSASS
2006-2009, 2009-2012		Orlock	John	CAS
2008-2011		Petschek	Rolfe	CAS
2008-2011		Quinn Griffin	Mary	SON
2007-2010		Salipante	Paul	WSOM

Committee on Women Faculty

Term	Membership	Last Name	First Name	School
2008-2011	chair, 2008-2010	Kaufman	Betsy	SOM
	ex-officio, FSCMA, chair or designee	TBD		
	ex-officio, PACoW, chair or designee	Gott	Jonatha	SOM
	ex-officio, provost or designee	Singer	Lynn	UGEN
	ex-officio, Women Faculty SOM, chair or designee	Stager	Peggy	SOM
	ex-officio, Women's Center, chair or designee	Miller	Dorothy	UGEN
2007-2010		Andrews	Sarah	MSASS
2008-2011		Augustine	Sarah	SOM
2006-2009, 2009-2012		Farrell	Karen	UGEN
2007-2010		Huckelbridge	Art	CSE
2009-2012		Madigan	Liz	SON
2008-2011		Maloni	Judith	SON
2007-2010		Ritzmann	Roy	CAS
2008-2011		Williams	Kristin	SDM

Executive Committee

Term	Membership	Last Name	First Name	School
	chair	Musil	Carol	SON
	chair-elect	Levine	Alan	SOM
2008-2009, 2009-2010	Elected Senator	Wolpaw	Terry	SOM
2008-2009, 2009-2010	Elected Senator 2007-2010	Beall	Cynthia	CAS
2009-2010	Elected Senator 2007-2010	Ledford	Ken	CAS
2009-2010	Elected Senator 2007-2010	Loparo	Ken	CSE
2008-2009, 2009-2010	Elected Senator 2007-2010	Mercer	Katy	LAW
2009-2010	Elected Senator 2008-2011	Morris	Diana	SON
2009-2010	Elected Senator 2008-2011	Ritzmann	Roy	CAS
	ex-officio	Baeslack	Bud	UGEN
	ex-officio	Snyder	Barbara	UGEN
	ex-officio	Woyczynski	Liz	UGEN
	past-chair	Starkman	Glenn	CAS

Nominating Committee

Term	Membership	Last Name	First Name	School
2007-2009, 2009-2011	chair, 2009-2010	Mercer	Kathryn	LAW
	ex-officio	Woyczynski	Liz	UGEN
	ex-officio, chair-elect	Levine	Alan	SOM
2008-2010		Berger	Molly	CAS
		Crampton	David	MSASS
2008-2010		Erdilek	Asim	WSOM
2008-2010		Faddoul	Fady	CSDM
2008-2010		Kennedy	Patrick	UGEN
2008-2010		Saidel	Jerry	CSE
2009-2011		TBD		SON
2007-2009, 2009-2011		Wolpaw	Daniel	SOM