



**Faculty Senate
Executive Committee**
Thursday, December 6, 2012
8:30 a.m. – 10:30 a.m. – Adelbert Hall, Room M2

AGENDA

8:30 a.m.	Approval of Minutes from the November 8, 2012 Executive Committee Meeting, <i>attachment</i>	R. Dubin
8:35 a.m.	President's Announcements	B. Snyder
8:40 a.m.	Provost's Announcements	B. Baeslack
8:45 a.m.	CAS Department Merger- Mathematics and Statistics, <i>attachments</i>	D. Calvetti
8:50 a.m.	TOEFL Score Requirement	R. McCullough
9:05 a.m.	Honorary Degree Nominations, <i>attachment</i>	B. Baeslack
9:10 a.m.	SAGES Governance- UPF vote	R. Dubin
9:20 a.m.	Faculty Paid Parental Leave Policy, <i>attachment</i>	P. Higgins
9:30 a.m.	Modified Workload Policy for Caregiving Responsibilities, <i>attachment</i>	K. Farrell
9:40 a.m.	Proposed Amendment to COI policy, <i>attachment</i>	R. Dubin
9:45 a.m.	Distinguished University Professor	B. Baeslack
10:00 a.m.	Tuition Exchange Program	B. Baeslack N. Ziats S. McDonnell

10:20 a.m. Approval of December 19, 2012 Faculty
Senate Agenda, *attachment*

R. Dubin

**Faculty Senate Executive Committee
Minutes of the December 6, 2012 Meeting
Adelbert Hall, Room M2**

Committee Members in Attendance

Bud Baeslack	Patricia Higgins	David Singer
Gary Chottiner	Joseph Mansour	Barbara Snyder
David Crampton	William Merrick	Rebecca Zirm
Robin Dubin	Dale Nance	
Steve Garverick	Leena Palomo	

Committee Members Absent

Richard Buchanan

Others Present

Christine Cano
Daniela Calvetti
Robert McCullough
Sean McDonnell
Nicholas Ziats

Call to Order

Prof. Robin Dubin, chair, Faculty Senate, called the meeting to order at 8:34 a.m.

Approval of Minutes

The minutes of the November 8, 2012 meeting of the Faculty Senate Executive Committee were reviewed and approved.

President's Announcements

The President did not make any announcements.

Provost's Announcements

The Provost did not make any announcements.

CAS Department Merger- Mathematics and Statistics

Prof. Daniela Calvetti, CAS, presented a proposal to merge the Departments of Mathematics and Statistics. The new department will be known as the Department of Mathematics, Applied Mathematics and Statistics. The department merger was unanimously approved by the voting faculty of the two departments, the executive committee and the full faculty of the College. The Executive Committee voted to place the proposal on the December Faculty Senate meeting agenda. *Attachments.*

TOEFL Score Requirement

Mr. Bob McCullough, Director of Undergraduate Admissions, presented the FSCUE Admission and Aid Subcommittee's recommendation on minimum TOEFL scores for international students. He reminded the committee that in February of 2011, the Faculty Senate had approved a resolution that would increase the TOEFL score requirement to 100 for the fall of 2013. The new recommendation is to maintain the score requirement of 90 for the fall of 2013. This proposal was approved by FSCUE at its November 27th, 2012 meeting. Mr. McCullough stated that while it is important that we continue to raise the English language proficiency of entering

international students, requiring a minimum of 100 for all international students could reduce the representation of international students in the entering class and could negatively impact tuition revenue for the University. Mr. McCullough presented data collected by Dean Jeffrey Wolcowitz on the TOEFL profiles of international applicants and admitted students, as well as information on the GPA's of current students within different TOEFL score ranges. The Executive Committee requested that the Office of Admissions provide more extensive data on the academic success of international students with TOEFL scores under 100 (particularly those in the 95-100 score range), including break-down by school, and whether the language skills of international students improve once they are fully immersed in their classes. The committee did not specifically endorse this proposal, but voted to include the TOEFL presentation on the Faculty Senate meeting agenda subject to receiving this additional data.

Honorary Degree Nominations

The committee voted to approve the awarding of honorary degrees to Mohammed Ibn Chambas, Geoffrey M. Duyk and Elon Musk. *Attachments.*

SAGES Governance-UPF Vote

Prof. Dubin reported that the SAGES governance proposal was approved by a vote of the Undergraduate Program Faculty (229 votes for, 18 against). The proposal requires Faculty Senate endorsement. The Executive Committee voted to include this item on the Faculty Senate meeting agenda.

Faculty Paid Parental Leave Policy

Prof. Patricia Higgins, chair, Faculty Senate Committee on Faculty Personnel, presented the Faculty Paid Parental Leave Policy. This policy would replace the current interim policy. The Faculty Senate By-Laws Committee had approved the language of the policy as well as its placement in the Faculty Handbook. The Executive Committee voted to include this item on the Faculty Senate meeting agenda. *Attachment.*

Modified Workload Policy for Caregiving Responsibilities

Prof. Karen Farrell, chair, Faculty Senate Committee on Women Faculty, presented the Modified Workload Policy for Caregiving Responsibilities. The policy had been presented to the Executive Committee at its November 8, 2012 meeting and was subsequently sent to the Faculty Senate By-Laws Committee for review. The policy was modified by the By-Laws Committee. Provost Baeslack stated that the policy provides protections for the department in that it requires the agreement of the faculty member, the department chair and the Dean before the modified workload can be approved. It also provides for a reduction in salary commensurate with the workload modification. The Executive Committee voted to include this item on the Faculty Senate meeting agenda. *Attachment.*

Proposed Amendment to Conflict of Interest Policy

Prof. Dubin reported that Suzanne Rivera, Associate Vice President for Research, had proposed an amendment to the Individual Conflict of Interest Policy in the Faculty Handbook. The amendment proposes to remove the financial disclosure requirement for special faculty who are not engaged in research. The committee decided that because of the noncontroversial nature of the change, it would not require Faculty Senate approval. A motion was made to approve the amendment and for the chair of the senate to announce the change during the next faculty senate meeting. The motion was seconded and the amendment was approved. *Attachment.*

Distinguished University Professors

Provost Baeslack said that the guidelines (housed on the Provost's website) for selection of Distinguished University Professors (DUPs) limit the number of DUPs to 3% of tenured faculty. We currently have 18 DUPs and have reached the 3% limit. Provost Baeslack proposed increasing the cap to 5%. The Executive Committee voted to approve the increase and this will be announced at the Faculty Senate meeting.

Tuition Exchange Program

Provost Baeslack announced that the university is planning to participate in the Tuition Exchange Program (TEP) for the fall of 2013 as long as it is administratively feasible. The program will start as a 4-year pilot project. During this trial period, the university will agree to admit 5-7 students to CWRU per year, and the TEP scholarships will be made available to those CWRU employees who meet eligibility requirements (details to be worked out) in time for current high school seniors to participate. The program will be monitored, and adjustments will be made beyond the pilot period to ensure revenue neutrality. The Office of General Counsel is currently reviewing the contract with the TEP, and Provost Baeslack will be discussing the program with the Deans at a Dean's Council meeting. The Executive Committee authorized the university to enter into a contract with the TEP and the decision will be announced at the Faculty Senate meeting.

Approval of the December 19, 2012 Faculty Senate Meeting Agenda

The Executive Committee voted to approve the agenda for the December 19, 2012 Faculty Senate meeting with the following exceptions: the TOEFL score requirement proposal will be dependent upon receiving additional information from the Office of Admissions; and Prof. Dubin will contact Alan Levine, chair of the Ad Hoc Committee on Appointments Outside the Constituent Faculties, to determine whether he will provide a report on the committee's progress.

The meeting was adjourned at 10:18 a.m.

Approved by the Faculty Senate Executive Committee



Rebecca Zirm
Secretary of the University Faculty



Cyrus C. Taylor, Ph.D.
Dean and Albert A. Michelson Professor in Physics

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MEMORANDUM

TO: Rebecca Zirm
Secretary to the University Faculty

FROM: Cyrus C. Taylor, Dean

DATE: December 4, 2012

SUBJECT: Endorsement of Proposal to Merge A&S
Departments of Mathematics and Statistics

Please consider this memo my enthusiastic endorsement to merge the college's Department of Mathematics and Department of Statistics to become the new Department of Mathematics, Applied Mathematics, and Statistics. This proposal has been endorsed by the voting faculty in each department, by the college's Executive Committee (following review and endorsement from the standing committees of the college), and by the Faculty of the College.

I believe the proposal is now ready for review/approval at the university level by the Faculty Senate, the Provost and President, and finally the Board of Trustees. Please let me know if you have any questions or need anything else on this matter. I would appreciate it very much if you would keep me informed of the proposal's progress through the university reviews (with a copy to Cynthia Stilwell, as well).



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MEMORANDUM

TO: Robin Dubin, Chair, Faculty Senate
Rebecca Zirm
Hollie McGivern
Lois Langell

FROM: Cyrus C. Taylor

SUBJECT: Motion to Amend the By-laws of the College of Arts and Sciences

DATE: November 20, 2012

In accordance with the provisions to amend the By-laws of the Faculty of the College of Arts and Sciences, the following motion has been approved in a faculty-wide vote. We now await Senate action in anticipation of approval by the University Board of Trustees effective July 1, 2013.

MOTION: To 1) approve the requested merger of the Department of Mathematics and the Department of Statistics into a new Department of Mathematics, Applied Mathematics, and Statistics; and 2) to amend the By-Laws of the Faculty of the College of Arts and Sciences, Article X. Section 32—Departments by deleting Mathematics and Statistics and adding Mathematics, Applied Mathematics, and Statistics as noted below.

ARTICLE X. DEPARTMENTS

Section 32. Departments

The primary unit of the faculty is the College of Arts and Sciences. For the purpose of organizing the research and teaching functions of the faculty, the College of Arts and Sciences is divided into departments. The departments of the faculty shall be: Anthropology; Art History and Art; Astronomy; Biology; Chemistry; Classics; Cognitive Science; Dance; Earth, Environmental and Planetary Sciences; English; History; ~~Mathematics;~~ Mathematics, Applied Mathematics, and Statistics; Modern Languages and Literatures; Music; Philosophy; Physics; Political Science; Psychological Sciences; Religious Studies; Sociology; ~~Statistics;~~ and Theater. All faculty members must have an appointment within a department. Programs of study or centers for research which may be established within or between these departments shall not be deemed departments.

This motion passed by a vote of 158 in favor, 7 against, and 0 abstentions. A total of 165 ballots were cast. A track-changes copy of the college by-laws is attached to this message.

**BY-LAWS OF THE FACULTY
OF THE
COLLEGE OF ARTS AND SCIENCES**

(~~November 1, 2011~~New date will be date of final approval)

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ARTICLE I. PURPOSE

Section 1. Purpose

The purpose of these by-laws is to provide regulations to govern the faculty of the College of Arts and Sciences in discharging its responsibilities as provided for in the Constitution of the University Faculty.

ARTICLE II. MEMBERSHIP

Section 2. Members

Members of the faculty shall be all persons holding tenured or tenure-track appointments (assistant professor, associate professor, and professor), non-tenure track appointments (instructor and senior instructor), or special faculty appointments (see Article XIII, Section 42), as defined in Article I, Sections A, B, and C of the Faculty Handbook, in the departments listed in Section 32.

Section 3. Members *Ex Officio*

The following persons shall be members of the faculty *ex officio*: the President, the Provost, the Dean of the College, the Dean of Undergraduate Studies, the Director of the University Libraries, and the Dean of Graduate Studies.

Section 4. Voting Privileges

All members holding tenured, tenure-track, or non-tenure track appointments and all members *ex officio* shall have the right to vote. The official list of members of the faculty is that list submitted each year by the Dean of the College to the Secretary of the University Faculty, as provided in the Constitution of the University Faculty, Section I.F.

Section 5. Non-voting Members

Persons holding emeritus or special faculty appointments shall be invited to attend faculty meetings and participate in discussion but shall not vote.

ARTICLE III. RESPONSIBILITIES

Section 6. Responsibilities of the Faculty

The Faculty of the College of Arts and Sciences is responsible for all academic affairs of the college. As provided in the Constitution of the University Faculty, Article VII, Section A., Par. 1.d, the faculty recommends awarding of degrees in course. Other specific responsibilities include but are not limited to the following: a) making recommendations to the Faculty Senate regarding requirements and standards for degrees, standards of admission for students, approval of new degrees, and discontinuance of existing degrees; b) review and approval of curricula and content of degree programs; and c) setting standards for and making recommendations regarding facilities for teaching, research, and scholarship.

ARTICLE IV. MEETINGS

Section 7. Regular Meetings

The faculty shall hold regular meetings at least once each semester in October and March on dates to be determined by the Executive Committee in consultation with the Dean of the College. The faculty at any regular meeting may, by majority vote, fix the date of the next regular meeting. The October meeting shall be designated the annual meeting and shall include reports by the chair of the Executive Committee and the Dean of the College on activities of the preceding and current academic years.

Section 8. Special Meetings

The faculty shall hold special meetings when called by the President, the Dean of the College, the majority of the Executive Committee, or on petition to the Dean of the College signed by no fewer than 10 percent of the voting members of the faculty. The purpose of such a special meeting shall be stated by the person or group requesting the meeting. The business of the special meeting shall be limited to the matter or matters for which the meeting was called.

Section 9. Notification

The Dean of the College shall notify each member in writing at least seven days before each regular meeting and at least three days before each special meeting, specifying the time, place, and agenda of the meeting. The Dean of the College shall provide for recording minutes of all meetings of the faculty and of the Executive Committee and for distributing them to all members of the faculty.

Section 10. Chair, Quorum, and Order of Business

The President, or in the absence of the President, the chair of the Executive Committee or an Executive Committee member designated by the chair, shall preside at both regular and special meetings of the faculty. Each meeting shall be conducted in accordance with the latest edition of *Robert's Rules of Order*. Twenty percent of the voting membership shall constitute a quorum. Decision shall be made by majority vote of the members in attendance.

The order of business at all regular meetings shall be as follows:

- a. Presentation and adoption of minutes
- b. Resolutions in memoriam
- c. Introduction of new faculty members
- d. Announcements
- e. Report of the Executive Committee
- f. Report of standing and special committees
- g. Report of the Faculty Senate's Representative to the Executive Committee
- h. Consideration of unfinished business
- i. Consideration of new business

ARTICLE V. COMMITTEES

Section 11. Standing Committees

The standing committees of the faculty shall be the Executive Committee, the Committee on Appointments, the Committee on Educational Programs, and the Graduate Committee.

Section 12. Selection and Terms of Office

Members of the standing committees shall be selected during the spring semester for the following year, by procedures specified in sections 14, 15, 24, 28, and 30. Terms of office shall begin on the day following commencement. The Dean of the College shall distribute to all members of the faculty a list of members to all standing and special committees at the beginning of each fall semester.

Section 13. Special Committees

The faculty may at any time provide for special committees to study and recommend on any matter or matters within its jurisdiction which it may deem appropriate.

ARTICLE VI. EXECUTIVE COMMITTEE

Section 14. Membership

There shall be 12 members of the Executive Committee, 10 with a vote and two without. The voting members shall consist of nine persons elected from the tenured, tenure track, and non-tenure track members of the faculty and the Dean of the College *ex officio*. Non-voting members shall consist of one person selected annually by the Executive Committee from the elected faculty senators of the college who shall serve as a liaison between the Executive Committee and the Faculty Senate, and one member selected annually by the Chair Council from among its members who shall serve as a liaison between the Executive Committee and the Chair Council (defined in Section 36).

Section 15. Election and Terms

Elected members of the Executive Committee shall serve overlapping three-year terms and shall not be eligible for immediate reelection.

Election shall be by a two-ballot process. The Dean of the College shall prepare and distribute a first, or nominating, ballot listing all persons eligible to serve according to the following rules: department chairpersons are not eligible for election. All tenured, tenure track, and non-tenure track faculty members are eligible except those from departments already represented among continuing elected members of the Executive Committee.

The Dean of the College shall then prepare and distribute a second, or election, ballot according to the following rules: The election ballot shall list twice the number of nominees to be elected but also listing no more than one person from each eligible department. Subject to this rule, those persons receiving the greatest numbers of votes from the nominating ballot shall appear on the second ballot. The Executive Committee shall resolve any tie votes.

Vacancies shall be filled by reference to the results of the most recent election and in order of preference according to the votes cast. Vacancies must be filled according to the

eligibility rules outlined above. Persons selected to fill such vacancies shall be eligible for election when their terms expire.

Section 16. Executive Committee Chair

The chair of the Executive Committee shall be a tenured faculty member and shall be elected annually by the committee from among its elected members. The election of the new chair shall be conducted at the first meeting of the incoming committee which shall be called by the Dean of the College.

Section 17. Regular Meetings

The Executive Committee shall hold meetings monthly during the academic year beginning in September on dates to be selected by the chair. However, the Executive Committee may at any regular meeting, by majority vote, fix the date of the next regular meeting.

Section 18. Special Meetings

The Executive Committee shall hold special meetings when called by the President, the Dean of the College, or the chair. The chair shall call a special meeting when requested by three members of the Executive Committee or when requested by 10 members of the faculty by a petition stating the purposes of the proposed meeting.

Section 19. Notification of Meetings

The chair shall notify each member of the Executive Committee in writing at least seven days before each regular meeting and at least three days before each special meeting specifying the time, place, and agenda of the meeting.

Section 20. Agenda

The agenda for Executive Committee meetings normally shall be as follows:

- a. Approval of minutes for the previous meeting
- b. Announcements by the chair of the committee
- c. Dean's report
- d. Committee reports
- e. Chair Council and Faculty Senate reports
- f. Consideration of Unfinished Business
- g. Consideration of New Business

Any faculty member in the college may request that an issue be placed on the agenda. Items of new business may be placed on the agenda by any elected member of the Executive Committee or the dean.

Section 21. Chairing Meetings

The chair or, in the chair's absence, a member selected by the Executive Committee shall preside at both regular and special meetings of the Executive Committee.

Section 22. Responsibilities

The Executive Committee shall consider all matters of policy, procedure, and any other matter within the jurisdiction of the faculty which the committee may deem appropriate. Such

matters include but are not limited to appointments, reappointments, promotions, separations, tenure, academic freedom, curricula, professional and academic conduct, teaching load, student admission, terms and times of attendance, examinations, degree programs, and faculty organization.

A concern of the Executive Committee shall be fiscal planning and budget, and a subcommittee for that purpose may be established. Discussion of the college budget shall take place at least twice annually to consider budget matters at an early stage for the coming year and to review the budget after approval by the trustees.

The Executive Committee shall set the agenda for all regular meetings of the faculty, resolve tie votes in elections, and fill vacancies in committees.

The Executive Committee shall be advisory to the Dean of the College concerning the selection of department chairpersons, the appointment of special committees, and other matters that the Dean of the College may deem appropriate. It shall be advisory to the president in selection of the Dean of the College and shall nominate members of the search advisory committee in accordance with the Guidelines for Selecting Deans, Chapter 3, Part II, Section VIII. of Policies and Procedures for Members of the Faculty of Case Western Reserve University (hereinafter Policies and Procedures).

There shall be a review of the dean's performance every five years. The Executive Committee shall appoint a Dean Review Committee of six faculty members at the end of the fourth year of a dean's tenure which shall report to the Executive Committee by the end of the first semester of the fifth year. The review shall consider the dean's performance in the areas listed in Section 38: academic, fiscal, and administrative. The review shall be discussed with the dean prior to transmission to the Executive Committee. A summary of the findings shall be sent to the president for information and action.

The Executive Committee shall appoint the members of the Committee on Appointments and the Graduate Committee and prepare a slate of nominees for the Committee on Educational Programs in conformance with the criteria stipulated in Sections 24, 28, and 30.

The Executive Committee shall consider, on recommendation of the appropriate department chairperson, requests for sabbatical leaves of absence and shall forward them to the Dean of the College, together with the committee's recommendation on the merits of the study proposed and the applicant's qualifications to undertake it.

The Executive Committee, in conjunction with the Dean of the College, shall conduct elections in the spring semester for faculty senators representing the Faculty of the College of Arts and Sciences, according to the procedures specified in Section 39.

Section 23. Quorum and Voting

Six of the elected faculty members of the Executive Committee shall constitute a quorum and all decisions shall be by majority vote of those voting.

ARTICLE VII. COMMITTEE ON APPOINTMENTS

Section 24. Composition, Terms, Meetings, and Presiding Officer

The Committee on Appointments shall be composed of nine faculty members holding the rank of professor with tenure appointed by the Executive Committee, no two of whom shall be

from the same department. The membership shall be selected so as to be broadly representative of the spectrum of disciplinary, scholarly, and research activities in the College of Arts and Sciences. Members shall serve a term of one year, but may be reappointed to a maximum of three consecutive years. The Dean of the College shall set a time and notify members of the first meeting each academic year. Vacancies for unexpired terms shall be filled by the Executive Committee. For meetings at which promotions, awards of tenure, or new appointments are acted upon, all members of the committee shall be present to constitute a quorum. At meetings dealing only with other matters, seven members shall constitute a quorum.

When an initial appointment must be considered and acted on at a time during which classes are not in session and, therefore, when some members may be unavailable to meet, the dean may appoint one or more temporary replacement members from among those who served on the committee in the previous academic year. Should this fail to constitute a nine-member group, the dean has the authority to make temporary special appointments in accordance with the composition guidelines outlined above in order to constitute a quorum of nine members.

The chair of the Committee on Appointments shall be elected annually by the committee at its first meeting of the academic year from among its own members. The Committee on Appointments shall hold meetings on dates to be determined by the chair, who shall notify each member at least three days before each meeting, specifying the time, place, and agenda for the meeting.

Section 25. Responsibilities

The Committee on Appointments shall consider all matters of tenure; promotions to the ranks of associate professor, professor, and research professor; initial appointments to the ranks of associate professor, professor, research associate professor, and research professor; appointments to chaired professorships; and third-year review of tenure-track faculty. The committee shall be advisory to the dean concerning appointments to chaired professorships. It shall also consider and make recommendations pertaining to the dismissal of tenured faculty members.

The committee is responsible for insuring the equitable applications of standards for assessing the credentials of all candidates considered by the Committee on Appointments in accordance with Policies and Procedures, particularly Part One, Section I, Subsections E, F, G, H, I, and J in the Faculty Handbook. Assessment of tenured and tenure-track faculty shall be based on contributions to teaching, scholarly activity, research, creative performance, professional service, and service to the university and community, taking into account the different mixes and styles of contributions that are appropriate in different disciplinary areas. Assessment of research faculty who are non-tenure track faculty shall be based on contributions to scholarly activity and research. Each faculty member whose appointment leads to tenure consideration shall be considered for tenure no later than six years after the date of initial appointment to the tenure track.

Section 26. Procedures

At the beginning of each fall semester, the Dean of the College shall draw up a list of those faculty members who must be considered for tenure during that academic year and shall notify the appropriate department chairpersons. Each department shall consider the merits of each of its own candidates in accordance with Policies and Procedures, particularly Section I,

Subsections F and I, and shall transmit its recommendations to the Committee on Appointments. A department may, on its own initiative or at the request of one of its faculty, propose a candidate for tenure and/or promotion following the prescribed procedures.

For each candidate considered by the Committee on Appointments, the committee shall review the recommendation of the originating department and may invite the department chairperson or the chairperson's designee to appear before the committee to respond to questions from the committee. If there is a member of the committee from the same department, that member shall not participate in the discussion or voting.

The committee shall prepare a report containing its own recommendation, which shall represent a separate and independent assessment of the candidate as well as a review of the department's recommendation. The committee shall approve, disapprove, or refer recommendations back to the originating department for additional documentation. In the case where recommendations are referred back to departments, the departmental response shall normally be returned to the Committee on Appointments within two weeks. The chair of the Committee on Appointments is responsible for preparing each report and for insuring that the report accurately reflects the views of each member of the committee. In the event that the Committee on Appointments does not concur with the recommendation of the originating department, the committee shall transmit its report to the department chairperson for comment and submission of additional evidence in time for possible reconsideration by the committee before its recommendations are forwarded to the Dean of the College. All recommendations, positive and negative, shall be forwarded.

After receiving recommendations from the Committee on Appointments, the dean may convene a meeting with that committee in order to clarify matters related to the recommendations.

Section 27. Changes in Procedure

The Committee on Appointments shall recommend to the Executive Committee for its approval such rules governing the procedure of the Committee on Appointments and such criteria for the recommendation of appointments, promotions, and tenure as it deems appropriate.

ARTICLE VIII. GRADUATE COMMITTEE

Section 28. Membership

The Graduate Committee shall consist of six tenured, tenure-track, or non-tenure track faculty members, no two of whom are from the same department, and the Dean of the College *ex officio*. The Executive Committee shall appoint the faculty members and shall assure broad representation of academic disciplines. Faculty members shall serve three-year overlapping terms. The committee shall select its own chair from among its faculty members, and the chair shall serve a one-year renewable term.

Section 29. Responsibilities

The Graduate Committee shall advise the Executive Committee concerning the needs of, and opportunities for, enhancing the environment for scholarly research, creative performance, and other creative activities involving graduate students, particularly with regard to fostering high

quality and productive graduate research and creative endeavors. It shall advise on all other matters related to graduate programs in the college including, but not limited to, financing graduate education, academic integrity, and opportunities for new graduate programs. It shall serve as a vehicle for consideration of faculty concerns about graduate matters.

Faculty members of the college may request that the committee chair convene a meeting of the committee to consider an issue. In such cases, the committee chair determines whether to convene the full committee. If the chair declines to convene the committee, the faculty member requesting the meeting may petition the entire committee to request a meeting. If a majority of the committee members agree, the committee chair will convene the committee to address the stated issue. If there is a tie vote, the dean's representative to the committee will break the tie. The Executive Committee must be informed of all such requests sent to the committee chair and kept apprised of the committee's deliberations.

ARTICLE IX. COMMITTEE ON EDUCATIONAL PROGRAMS

Section 30. Membership

The Committee on Educational Programs shall consist of 16 members as follows: nine tenured, tenure-track, or non-tenure track faculty members, no two of whom are from the same department; two undergraduate students appointed by the Undergraduate Student Government; two graduate students chosen by the Graduate Student Senate, the Dean of Undergraduate Studies *ex officio*, the Dean of Graduate Studies *ex officio*, and the Dean of the College *ex officio*. Faculty members to replace members of the Committee on Educational Programs whose terms have expired shall be elected at the regularly scheduled spring faculty meeting. Prior to this meeting, the Executive Committee shall prepare a slate of candidates for this election and additional nominations may be made from the floor. The nominees shall be representative of the broad spectrum of disciplines within the college. Any nomination from the floor shall have the nominee's prior consent. Faculty members shall serve three-year overlapping terms. The committee shall select its own chair from among its faculty members, and the chair shall serve a one-year, renewable term.

Section 31. Responsibilities

The Committee on Educational Programs shall address academic issues relevant to all educational programs in the college—undergraduate, graduate, and continuing—and shall undertake periodic reviews of these programs. It shall be the committee of first instance for all curricular matters, including degree requirements, terms and times of attendance, examinations, and new courses; it may have further jurisdiction as delegated to it by the Executive Committee. The committee shall report annually to the Executive Committee prior to the end of the academic year. In addition to a review of its activities during the year, the committee shall make recommendations for handling longer term educational issues which it has identified or which have been brought to its attention.

ARTICLE X. DEPARTMENTS

Section 32. Departments

The primary unit of the faculty is the College of Arts and Sciences. For the purpose of organizing the research and teaching functions of the faculty, the College of Arts and Sciences is divided into departments. The departments of the faculty shall be: Anthropology; Art History and Art; Astronomy; Biology; Chemistry; Classics; Cognitive Science; Dance; Earth, Environmental and Planetary Sciences; English; History; ~~Mathematics~~ Mathematics, Applied Mathematics, and Statistics; Modern Languages and Literatures; Music; Philosophy; Physics; Political Science; Psychological Sciences; Religious Studies; Sociology; ~~Statistics~~; and Theater. All faculty members must have an appointment within a department. Programs of study or centers for research which may be established within or between these departments shall not be deemed departments.

Section 33. Department By-Laws

A department may be governed in accordance with by-laws adopted by its membership, ratified by the faculty through the Executive Committee, and filed in the Office of the Dean of the College, provided that the by-laws are consonant with the Constitution of the University Faculty, Policies and Procedures, and with these by-laws.

Section 34. Appointment of Chairpersons and Term of Office

Each department shall have a chairperson who shall report to the Dean of the College. A chairperson shall be appointed by the president upon recommendation of the Dean of the College and after the latter has consulted individually with each member of the faculty of the department and with the Executive Committee. The recommendation to the president shall contain a summary of the consultations with the faculty members of the department. The selection process shall follow the "Guidelines for Selecting of Department Chairpersons" as described in the Faculty Handbook. The aim of the appointment process is to identify a candidate for department chairperson who is acceptable to the president, the Dean of the College, and the department faculty.

Section 35. Responsibilities of Department Chairpersons

The chairperson shall be the executive officer of the department and shall exercise leadership in matters of department policy, including appointments, promotions, research, instruction, and department administration, in accordance with Policies and Procedures. The chairperson shall represent the interests of the department and of individual members of the department to other departments and to officers of the administration, keeping the department faculty informed of administrative actions and the administration informed of department action. Within the limitations imposed by confidentiality of individual faculty members, the chairperson shall keep the faculty of the department informed on issues of concern to the department.

The chairperson shall prepare the department's budget, subject to the approval of the Dean of the College. The chairperson shall monitor the expenditures of the department budget and shall report at least once each year to the faculty of the department on the state of the department budget.

The chairperson shall transmit recommendations for faculty appointments, reappointments, promotion, and tenure, together with his or her independent recommendation, and shall be the hiring officer for all other personnel assigned to the department. The chairperson shall consult with faculty of the department on appointment of non-tenure track persons whose responsibilities include instruction.

The chairperson of each department shall transmit an annual report to the Dean of the College.

Unless the responsibilities are otherwise assigned in the department's own by-laws, the chairperson shall, as necessary, convene and preside at all department meetings, appoint committees, delegate duties, prepare teaching schedules, maintain records, and conduct correspondence.

Section 36. Chair Council

The chairpersons of all the departments shall meet jointly in a Chair Council. The council also shall have a member selected by the Executive Committee from among its members. The Chair Council shall meet regularly, and shall be chaired by the Dean of the College. It shall address the common issues which arise from the responsibilities of department administration and shall function to share information and exchange views of matters of mutual concern to the departments.

Departments may choose to form separate groups of chairpersons from departments with common concerns. These separate groups may convene their own meetings or may be convened by the Dean of the College. They also may bring their concerns directly to the Chair Council or the Dean of the College.

ARTICLE XI. THE DEAN OF THE COLLEGE

Section 37. Appointment

The chief executive officer of the faculty shall be the Dean of the College of Arts and Sciences. The Dean of the College shall be appointed in accordance with Article VII.A of the Constitution of the University Faculty and with the Guidelines for Selection of Deans, Part II., Section VIII., of Policies and Procedures.

Section 38. Responsibilities

The Dean of the College has academic, fiscal, and administrative responsibilities.

a. Academic

The Dean of the College shall have the responsibility to build and maintain a faculty whose commitments and quality are consonant with the mission of the college; to provide leadership in undergraduate and graduate student recruitment and selection for the college; to achieve and maintain faculty balance and student balance in the college consonant with the concept of a comprehensive College of Arts and Sciences; to undertake regular and systematic department reviews with the goal of improving the quality of programs and research activities; to develop and sustain both graduate and undergraduate programs of the highest quality; and to represent the academic needs, ambitions, and plans of the college both to the

university administration, to other constituent faculties, and to outside constituencies.

b. Fiscal

The Dean of the College shall be responsible for administering the budget of the college to meet the objectives stated in Subsection a. above, and shall communicate the fiscal needs of the college to the university and other groups. The dean shall aggressively pursue all sources of income—including endowments, grants, tuition income, and gifts—in order to support the objectives of the college. Unless otherwise directed by the president, the dean shall serve as vice chair of the Case Advisory Board and present appropriate funding proposals from departments and programs in the college. The dean shall review the budget periodically with the Executive Committee and shall make an annual report of the budget and fiscal status of the college at a regular faculty meeting of the college.

c. Administrative

The Dean of the College shall communicate directly with each department chairperson regarding fiscal and academic issues within the departments. The dean shall also identify and recommend appointments of department chairpersons to the president.

ARTICLE XII. REPRESENTATION IN UNIVERSITY GOVERNANCE

Section 39. Faculty Senate

The faculty shall provide representatives to the Faculty Senate in accordance with the by-laws of the body. All representatives at large shall be elected by a two-ballot process, the ballots to be prepared and distributed by the Dean of the College and the election to be conducted by the Executive Committee in conjunction with the Dean of the College. The first, or nominating, ballot shall list all faculty members eligible to serve. Those with the greatest numbers of votes shall appear on the second, or election, ballot. The number of nominees on the second ballot shall be twice the number of senators to be elected. The Executive Committee shall resolve any tie votes.

To help faculty make informed choices, the first ballot shall also list the current senators from the faculty with their departmental affiliations.

Section 40. Other Bodies

In other cases when the faculty is asked to select representatives to university bodies and when the mode of selection is not specified, the Executive Committee shall either appoint such representatives or designate an appropriate method of selection.

ARTICLE XIII. POLICIES ON APPOINTMENT, REAPPOINTMENT, PROMOTION AND TENURE OF FACULTY

Section 41. Faculty Titles and Definitions for Special Faculty Members

a. Lecturer

Lecturers may be either part-time or full-time. The appointment is used for individuals whose primary responsibility is to teach one or more courses. Appointments are for one year. In some cases appointments are made with the possibility of limited renewal.

- b. Adjunct Faculty--(Instructor through rank of Professor)
Part-time service for individuals who hold primary staff or administrative positions within the university, or for individuals whose primary appointment is held outside the university in business, industry, or other institution. Adjunct faculty normally are not compensated. Continuing appointments are renewed annually with a \$0-salary contract after the dean's office has received notification from the department in the spring semester.
- c. Visiting Faculty--(Instructor through rank of Professor)
Full-time service (for the short- or long-term) for individuals from other academic institutions within the United States who are visiting for a period of up to three years, for individuals from foreign academic institutions who will visit for a period of one year or less, or for independent scholars without home institutions. Compensation may or may not be involved.
- d. Secondary Appointment--(Instructor through rank of Professor)
Part-time service for individuals who hold primary faculty appointments within the university. No faculty member may hold a secondary faculty appointment at a rank higher than the rank held in his or her primary department or school. Compensation may or may not be involved. If compensation is to be made, a transfer of funds between departments or schools may be arranged. Usually there is no compensation paid directly to the individual. Continuing appointments are renewed annually by notification to the department during the spring semester.
- e. Clinical Faculty--(Instructor through rank of Professor)
Part-time service for individuals who will engage in clinical training and/or supervision of students. Clinical faculty normally are not compensated.
- f. Research Faculty (Research Associate Professor and Research Professor)
Appointment of research faculty shall follow the procedures described in the "Policies and Procedures for Research Faculty Appointments" approved by CAS and the Faculty Senate in 2000.

Section 42. Qualifications and Standards for Appointment, Reappointment, Promotion, and Tenure

The college evaluates candidates for appointment, reappointment, promotion, and tenure based on evidence of:

- a. expert knowledge of field and a demonstrated commitment to continuing development of that competence,
- b. dedication to and evidence of effective teaching,
- c. commitment to a demonstrated continuing program of research or advanced creative activity and evidence of achievement in this work, and
- d. willingness to perform university service.

Each department in the college must have written criteria for promotion and tenure and should make these available to faculty at least yearly.

Appointments and reappointments for non-tenure track faculty and for special faculty shall be made in accordance with the guidelines in Chapter 3, Part One, Section I.F of the University Faculty Handbook.

Section 43. Rights and Obligations of Faculty

The College of Arts and Sciences provides tenure-track faculty with a base academic year salary and office space. Non-tenure-track and special faculty receive resources as agreed in their contracts. The College of Arts and Sciences is committed to faculty development as described in the Faculty Development Policy adopted by the faculty on March 27, 1997.

Section 44. Procedures for Review of Tenure-track Faculty

The canonical pretenure period in the College of Arts and Sciences is six years. Tenure-track faculty shall receive an annual written evaluation of their professional progress relative to the qualifications for tenure described in the Faculty Handbook (3.1.F.). The department chair is expected to meet with the tenure-track faculty member annually to discuss his or her review. During the faculty member's third year, a formal review of progress toward tenure will be conducted by the eligible department faculty members. Absent sufficient eligible departmental faculty members (minimum of four), the dean will appoint a special committee for this purpose. The department or special committee's report will be reviewed by the Committee on Appointments.

Tenured faculty receive a written review annually. Tenured associate professors should meet with their chair regularly to review their progress toward promotion. Each department has a written mentoring policy outlining department procedures for mentoring faculty through the process of tenure and of promotion. These policies are reviewed and approved by the Executive Committee.

Section 45. Terminations in the Case of Financial Exigent Circumstances

In accordance with Chapter 3, Part One, I, E., 3. of the University Faculty Handbook, these by-laws set forth the following guidelines for termination of faculty in the event of financial exigencies facing the college. If all other remedies are exhausted, tenured faculty shall be terminated in reverse order of seniority of rank. Within a rank faculty shall be terminated in reverse order of length of service within that rank.

ARTICLE XIV. AMENDMENTS

Section 46. Proposal

Amendments to these by-laws may be proposed at any time by the Executive Committee or by any tenured, tenure-track, or non-tenure track member of the faculty to the Executive Committee for review and recommendation. Proposed amendments shall be distributed by the Executive Committee in written form to each voting member of the faculty no later than 14 days before either the next scheduled faculty meeting, which shall include discussion of the proposed amendments in its agenda, or a special meeting called for the purpose of hearing discussion on

the proposed amendment(s). Following the meeting, the Dean of the College shall distribute the proposed amendments along with a secret mail ballot to all voting members of the faculty.

Section 47. Approval

Approval of amendments shall require a two-thirds majority of the ballots cast, provided however that at least 50 percent of the ballots (excepting those from faculty on leave) have been returned.

ARTICLE XV. RATIFICATION

Section 48. Ratification

These by-laws shall be approved by a two-thirds majority of the total votes recorded. Upon approval, the by-laws shall be submitted to the Faculty Senate for its approval, according to the established procedures of that body.

**December 4, 1992—Ratified by the Faculty of Mathematics and Natural Sciences
and the Faculty of Humanities, Arts, and Social Sciences**

December, 1993—Amended by the Faculty of the College of Arts and Sciences

April 21, 1994—Approved by the Faculty Senate

October 18, 1994—Amended by the Faculty of the College of Arts and Sciences

March 25, 1999—Amended by the Faculty of the College of Arts and Sciences

February 10, 2000—Approved by the Faculty Senate

November 30, 2001—Amended by the Faculty of the College of Arts and Sciences

March 26, 2002—Approved by the Faculty Senate

April 15, 2003—Amended by the Faculty of the College of Arts and Sciences

October 22, 2003—Approved by the Faculty Senate

May 9, 2003—Amended by the Faculty of the College of Arts and Sciences

October 22, 2003—Approved by the Faculty Senate

November 30, 2003—Amended by the Faculty of the College of Arts and Sciences

April 29, 2003—Approved by the Faculty Senate

October 11, 2005—Revision Approved by the A&S Executive Committee

December 9, 2005—Revision Approved by the Faculty of the College of Arts and Sciences

March 23, 2006—Approved by the Faculty Senate

October 17, 2007—Section 32 updated to show Religious Studies (formerly Religion)

April 28, 2010—Revisions (5) Approved by the A&S Faculty of the College of Arts and Sciences

September 23, 2010—Motions Approved Re: Dept of THTR Split and Combination of Depts of COSI and PSCL

November 16, 2010—Approved by the Board of Trustees

March 15, 2011—Revision to Rename Department of Geological Sciences Approved by the A&S Executive Committee

April 18, 2011—Approved by the Faculty of the College of Arts and Sciences

September 28, 2011—Approved by the Faculty Senate

October 15, 2011—Approved by the Board of Trustees

March 9, 2012—Revisions (8) Approved by the A&S Executive Committee

April 20, 2012—Approved by the Faculty of the College of Arts and Sciences

_____ --Approved by the Faculty Senate

_____ --Approved by the Board of Trustees

October 11, 2012—Revision Approved by the A&S Executive Committee

November 16, 2012—Approved by the Faculty of the College of Arts and Sciences

_____ --Approved by the Faculty Senate

_____ --Approved by the Board of Trustees

PROPOSAL FOR A MERGER OF THE DEPARTMENTS OF MATHEMATICS AND STATISTICS

We propose that the faculty members currently belonging to the Department of Mathematics and to the Department of Statistics be housed in a new merged department to be called the Department of Mathematics, Applied Mathematics, and Statistics.

This document addresses the following four questions from the College of Arts and Sciences' (2008) *Guidelines: Creating, Merging, or Splitting a Department*.

- 1) Why should this proposal be approved?
- 2) What resources will be needed and/or expected?
- 3) What impact will approval of this proposal have on the department(s), the college, and the university?
- 4) How should the proposed process and results be evaluated?

1) Why should this proposal be approved?

This merger would create multiple opportunities not currently possible. Like other departments within the College, the departments of Mathematics and Statistics are smaller than corresponding departments in comparable institutions. This is a challenge to both departments. The Mathematics department needs to support growing undergraduate and graduate programs in mathematics and applied mathematics. Part of the service burden of the department has been handled by having introductory courses taught in large lecture format. Similarly, in Statistics, the small department size has presented challenges in course offerings, which have recently been met, in part, by the use of temporary faculty and graduate students. Due to the suspension of the statistics graduate program, there will be no more PhD students left who can teach by fall 2012. We believe that merging the two departments will allow the statistics graduate program to reopen, will facilitate cooperation and collaboration among members of the two departments, with respect to both education and research, will increase national visibility, and will create the best chance at the CWRU for national distinctiveness and educational and research opportunities in mathematics and statistics.

Disciplinary Rationale for Merging the Departments: The question of whether mathematics and statistics are different enough to necessitate the existence of two different departments, or have enough common points that can thrive in a single, inclusive department is not new, either nationally or at our own institution. At

CWRU, the departments of Mathematics and Statistics were once in one department. Nationally, some universities have separate departments in mathematics and statistics, respectively, some have combined departments. Whether they are merged or separate depends on what is the best for each university. An argument in support of joining forces and expertise beyond a university structure can be found by the way the National Science Foundation has addressed the issue, accounting for the two disciplines as belonging to the larger mathematical sciences division (DMS) and at the same time acknowledging the differences. An example of the potential for cooperation of the disciplines can be found at SAMSI (Statistical and Applied Mathematical Sciences Institute: see www.samsi.info), a part of the Mathematical Sciences Institutes program of DMS.

In the last decade there has been a shift in the mathematical community toward inclusion of interdisciplinary areas of research that had previously been the province of other departments. Among them one which particularly stands out is modeling, organizing and interpreting data, traditionally a forte of statistics and also of applied mathematics. In recent years synergies between statistical, numerical, and mathematical modeling within the sciences has steadily increased. Modern information technology has radically changed the landscape of exact sciences, the traditional application area of mathematics. Nowadays the massive data streams in almost all experimental fields call for expertise in statistical methods, a challenge that no serious institute of higher mathematical research and education can overlook. Indeed, the frontiers of sciences and national security desperately need expertise in mathematics and statistics. See, for example, “Mathematical and Statistical Challenges for Sustainability,” published by NSF (http://dimacs.rutgers.edu/SustainabilityReport/SustainabilityReport_Final08-02.pdf). The Department of Mathematics at our institution has been part of this national trend: with the steep growth of applied mathematics at all levels, undergraduate, graduate and faculty, the use of probabilistic and statistical methods has become more and more commonplace, bringing the department de facto closer to the Department of Statistics. In fact, the training of graduate students in applied mathematics routinely includes anywhere from two to five graduate courses in statistics, and more than half of the most recent MS and PhD theses have contained significant elements of probability and statistics.

The present configuration of the mathematics department includes about half applied and half pure tenured or tenure track professors, with probability or stochastic processes being part of the research of several of them. Thus, in terms of research interests the two departments already have several points of contact,

which after a merger, could be the basis for new cooperative projects. The size of the Department of Mathematics, which currently has 18 tenured or tenure track faculty and one instructor, is small when compared to mathematics departments at peer institutions. This puts the department at a disadvantage when it comes to securing external funds, in particular for department-based programs as opposed to individual projects. The Department of Statistics is very small by any standard. It currently consists of two full professors and one instructor. It is expected that with a merger and new resources, it will be easier to meet the requests for statistics courses not only to the major and in the College, but also in the Weatherhead School, the Case School of Engineering and other schools in the university.

Strategic Planning Rationale for Merging the Departments: A compelling argument for merging the departments at this point in time arises from recent strategic planning and a realistic assessment of the scope of investments that the College can currently make. This has been discussed by the relevant CAS committees, most notably during the strategic planning process, and it has been determined that the level of investment needed to bring both departments to nationally competitive size is not possible under current conditions, nor is it anticipated that this would be possible in the near future. However, a preliminary internal assessment suggests that the addition of six (6) tenure or tenure-track faculty in the first three to four years after the merger would stabilize and solidify the new department, enhancing its chances to reach high national ranking. The six hires should include several to rebuild the statistics program. This does not account for the replacement of faculty who might retire or move.

There are reasons to expect that uniting the two departments will positively impact both research and educational programs. A number of faculty members in the Department of Mathematics have an interest in statistics and probability, either at a theoretical level or from an applied and computational perspective. This is an excellent premise for joint research activities with the faculty members in the Department of Statistics, whose knowledge of the subject matters is from a different perspective, but whose research makes extensive use of mathematical and computational tools. Research projects sustained by multidisciplinary, complementary expertise have a much higher chance to be externally funded.

Because of its relatively small size, the Applied Mathematics program has wisely relied on specialization in order to be competitive in the field in which larger schools gain visibility simply by the volume and with that their program can offer. For a small program with limited resources, careful planning of the program and maximizing the synergy is essential. Our program offers a rather unique

combination of scientific computing, modeling and probabilistic methods, including computational statistics. A merger with the Department of Statistics would be beneficial for Applied Mathematics and, in turn, by increasing the mathematical expertise, for Statistics also.

The current trend towards inclusion rather than fragmentation has motivated the ongoing effort towards removing barriers and artificial divisions between pure and applied mathematics, encouraging students to explore areas of mathematics related, albeit not central, to their topic of research. While the details of the organizational plan will have to be worked out jointly by the faculty members of the new department, it can be envisioned that a new educational structure will bring in new areas of concentrations focused on statistics which take advantage of the existing pertinent mathematical courses. The department will have three programs: mathematics, applied mathematics, and statistics for the BS, MS, and Ph.D. degrees, and majors each of the three area for the BA degree.

The disciplinary differences among mathematics, applied mathematics and statistics will be addressed in the guidelines for promotion and tenure of the new department, which should be formulated by the end of the first academic year following the formation of the new department.

Curricular issues also will be addressed in a preliminary manner prior to the completion of the merger, and finalized by the end of the first academic year following the formation of the new department. We will use existing courses and programs, reduce redundancies, and create new educational opportunities. We anticipate that educational programs will fall under the new department's umbrella, at the undergraduate, MS, and Ph.D. levels, with concentrations in the three programs (mathematics, applied mathematics, and statistics) available to students.

In sum, then, there are both disciplinary and practical reasons for merging these two departments. A merger of these two departments would allow for a synergy in fields that have a relationship to one another, but more importantly in which the fields could complement and enhance one another's capacities. There is every indication that this merger will benefit the department faculty and students, and thereby the College and University.

2) What resources will be needed and/or expected?

As the Departments of Mathematics and Statistics become the Department of Mathematics, Applied Mathematics, and Statistics, it will be requested that the

College budget will not decrease the expenditures for the departments from their state as of 2006; the purpose of merger is to make both disciplines become more competitive. This would include faculty and graduate student funding (prior to the suspension in Statistics), support staff, adequate support for the computer lab for department programs, computer resources, and miscellaneous funding for department activities. It will be requested that the College consider increasing the faculty size commensurate with the responsibilities and needs of each component of the new department. More specifically, it is anticipated that at least six new tenure or tenure-track faculty will be hired in the new department. Due to the small number of PhD degrees awarded in Mathematics and Applied Mathematics over the last two decades, the Department of Mathematics is currently not NRC ranked. The Department of Statistics has had a successful statistics graduate program and is NRC ranked, although the program was recently suspended. This is another reason in support of a larger department which can be more prominently present in the educational landscape. It will be important for the College to provide support for a graduate program large enough to have national and international visibility. The new department will request the addition of 10 graduate assistantships that would move the new department closer to this goal. The supported graduate students also will play an important role in helping with the teaching obligations of the new unit.

3) What impact will approval of this proposal have on the department(s), the college, and the university?

As discussed in response to Question 1, this proposal will:

- Enhance the capacity of the faculty in both departments for collaborative research.
- Improve the education of our students, both undergraduate and graduate, by consolidating the related expertise of the faculty, by increasing course offerings, and by creating new programs more in line with progress in the field. In connection with the merger, the guidelines of the applied mathematics curriculum will be revised, in particular in regard to what can constitute a professional core.
- Allow the reinstatement of a graduate program in Statistics.
- Enhance the reputation of the College and University by increasing research efforts and publications, and as reflected in national rankings.

4) How should the proposed process and results be evaluated?

This proposed merger will require an evaluation of both process and outcome.

Process will be monitored by means of:

- Yearly (semiannual in the first year) report by the chair to the dean
- Yearly (semiannual in the first year) faculty meeting with the dean

The outcome will be evaluated starting from the third year after the merger by (as compared with baseline data collected the year prior to the merger):

- Number of research proposals submitted and amount of research dollars secured from agencies and foundations;
- Number of undergraduate majors and minors proportional to majors and minors in the College
- Number of MS and PhD awarded and placement of graduates
- Inclusion in NRC ranking of graduate programs
- National and international visibility of the department educational and research activities as measured by publications, presentations media and professional society publications, mentioning the program and number of citations of publications
- Size of the regular faculty in comparison to 2006 level

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November 12, 2012

Martin Snider, Ph.D.
Chair, Graduate Studies Committee
CWRU Faculty Senate
10900 Euclid Avenue
Cleveland, Ohio 44106

Dear Dr. Snider:

Please find the completed change request and the approved plan from the Mandel School for the modification of the Master of Nonprofit Organizations (MNO) degree curriculum. The MNO degree has been offered by Case Western Reserve University since 1989 through a joint sponsorship by the Mandel School and the Weatherhead School. Currently, the MNO degree program has suspended admissions. Going forward, this change request and plan describes sole sponsorship of the degree by the Mandel School, and the degree program modification proposed to resume the degree program in June 2013.

The Mandel School of Applied Social Sciences (MSASS) faculty voted to continue the revised MNO degree program at their MSASS Curriculum Committee in April 2012, the MSASS Steering Committee meeting on May 2, 2012, and the MSASS Constituent Faculty meeting on May 7, 2012 with 18 votes in favor, 4 votes opposed, and 4 abstentions.

If approved by the Faculty Senate, Robert Fischer will be formally appointed to direct the revised MNO degree program. Dr. Fisher has been integral to the MNO degree curriculum for many years. Once the MNO degree is approved by the Faculty Senate and the Ohio Board of Regents, we at the Mandel School are committed to recruit students and implement the degree program. Many individuals have already contacted the School about when the program might resume. Dr. Fisher will work with the MSASS Associate Dean for Academic Affairs, Sharon Milligan, to resume this degree program under the Mandel School's administrative and student support structure.

As Dean, I affirm full support in moving this initiative forward.

Sincerely yours,



Grover C. Gilmore, Ph.D.
Dean and Professor

/attachments



MANDEL SCHOOL OF
APPLIED SOCIAL SCIENCES

CASE WESTERN RESERVE
UNIVERSITY

Recommendations from the International Undergraduate Student Recruitment, Retention and Campus Life Working Group

From Preliminary Report of January, 2011

English Proficiency

For all international applicants, including transfer students, increase minimum TOEFL requirement to 90 for Fall 2012. Plan to increase to 100 for Fall 2013 provided we are confident that we will be able to maintain our international enrollment at the current level. Adjust other means of meeting proficiency requirements appropriately.

Rationale: Our English proficiency requirements are the lowest of the 25 institutions we benchmarked. Increased English proficiency will increase the likelihood of academic success and students' ability to engage in the broader university environment. A TOEFL of 100 is the common threshold for universities of our quality.

SAT Requirement

Require the SAT or ACT for all international applicants, including transfer students, beginning with the class entering in fall of 2012.

Rationale: Of the 25 institutions we benchmarked, we are the only institution that did not require the SAT or ACT. Students who come to the US to study have taken the SAT. Including the SAT will improve our evaluation of international students.

ELS Relationship/Conditional Admission

Discontinue conditional admission with the class that enters in Fall 2012. We would continue to welcome students from ELS, but they would need to come through normal application channels and meet the admission standards in place at the time of application.

None of the 25 institutions that we benchmarked offer conditional admission. As we raise the English proficiency requirement, ELS 112 (a current English proficiency standard) would not meet the higher standard and ELS students would have to show proficiency in another way. We also know from experience that the conditionally admitted students are the students with the most limited English skills.

Background Information and Approach

To inform our conversations we gathered extensive data on 25 universities. The universities were selected because they belonged to one of three groups: the “middle group” (a group of schools CWRU often uses for benchmarking purposes), schools that students most often turn down CWRU to attend and private universities closest to CWRU in the *US News* rankings. Information was gathered from publicly available resources on the following universities:

- Boston College
- Boston University
- Brandeis University
- Brown University
- Cornell University
- George Washington University
- Lehigh University
- Massachusetts Institute of Technology
- New York University
- Princeton University
- Rice University
- Stanford University
- Tulane University
- University of Chicago
- University of Notre Dame
- University of Pennsylvania
- University of Pittsburgh
- Vanderbilt University
- Washington University St. Louis

In depth interviews were conducted with six other universities to learn of their practices relative to international student recruitment, retention and student life. These universities were chosen for in depth interviews because we felt that they were most similar to CWRU and represented a mix of true “peer” universities and “aspirant” universities. Additionally, we attempted to conduct in depth interviews with Boston University and Washington University. Scheduling conflicts prevented the interview with Boston University and Washington University refused the interview request. Interviews were completed with the following universities:

- University of Rochester
- Carnegie Mellon University
- Johns Hopkins
- Rensselaer Polytechnic Institute
- Northwestern University
- Emory University

Because the interviews were conducted on condition that their responses remain confidential, the information gathered from these interviews are not included in the publicly available copy of this report.



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CONFIDENTIAL

To: Robin Dubin
Chair, Faculty Senate
Executive Committee

From: W.A. "Bud" Baeslack III
Provost and Executive Vice President
Chair, Honorary Degree Committee

Date: October 8, 2012

The honorary degree committee met on October 4 to review recommendations for honorary degrees submitted by the university community this year. After careful consideration, the committee voted to recommend the following individuals for honorary degrees: Mahammed Ibn Chambas, professor, politician, and diplomat who was appointed in 2009 secretary-general of the 79-country African, Caribbean, and Pacific Group of States (ACP); Geoffrey Duyk, a pioneering genetics researcher and industry-shaping biomedical fund manager, and Elon Musk, engineer and entrepreneur who builds and operates companies to solve environmental, social and economic challenges. Chambas and Duyk are Case Western Reserve University alumni. Nominating letters and biographical information on these accomplished individuals are attached.

I hereby submit these recommendations for review by the Faculty Senate executive committee. If your committee approves these recommendations on behalf of the University Faculty, they will be conveyed to the president for submission to the Board of Trustees.

C: Rebecca Zirm, Secretary, Faculty Senate
Honorary Degree Committee

Gerald Matisoff

John Lewandowski

Leena Palomo

Michael Scharf

David Clingsmith

Nathan Berger

Diana Morris

Sharon Milligan

Patrick Kennedy

Robin Dubin – ex-officio

Lynn Singer – ex officio

Nominee: Mohamed Ibn Chambas

Nominator: Michael Scharf, Professor of Law and Member, Honorary Degree committee

I would like to take this opportunity to nominate someone I think would be ideal for an honorary degree. His name is Mohamed Ibn Chambas, a 1984 graduate of Case Western Reserve University School of Law, who has gone on to be a professor, politician, and diplomat. In 2007, he became the first President of the Economic Community of West African States (ECOWAS), and in 2009 he was appointed Secretary-General of the African, Caribbean, and Pacific Group of States (ACP), a security and economic cooperation organization of 79 countries. He was the international mediator that helped resolve the Liberian Civil war of the 1990s and the Ivory Coast Civil war in the early 2000s. I believe his selection would be a fantastic way to showcase the significant international contributions of our alumni and university, and I think it is highly likely that he would return to Cleveland for the commencement ceremony.

Nomination of Mohammed Ibn Chambas

Nominated by Associate Dean Michael Scharf, School of Law

Case Western Reserve University School of Law alumni Mohamed Ibn Chambas (born 7 December 1950) is a lawyer, diplomat, politician and academic from Ghana, who I think would be ideal for an honorary degree from his alma mater. In 2002 Chambas became the Executive Secretary of the Economic Community of West African States (ECOWAS). In 2007, he was appointed the group's first President by the governments of its member states, serving a four year term. Chambas came to international importance as mediator between the parties of the First Liberian Civil War of the 1990s, and later the Ivorian Civil War in the early 2000s. Chambas was appointed Secretary General of the African, Caribbean, and Pacific Group of States on 16 November 2009.

Education

Chambas attended Mfantshipim School, Cape Coast and Government Secondary School, now Tamale Secondary School Tamale. He holds degrees in Political Science from University of Ghana, Legon, (B.A. 1973) and Cornell University Ithaca, New York (M.A. 1977, PhD (1980). **He has a law degree from Case Western Reserve University, Cleveland, Ohio (class of 1984).** He was admitted to practice law in Ghana and the State of Ohio.

Career

His working in the United States includes teaching at Oberlin College, Ohio and practising law with the Legal Aid Society of Cleveland and the Cleveland, Ohio, Law Office of Forbes, Forbes and Teamor. He returned to Ghana, where he became a school administrator.

Deputy Foreign Secretary

Chambas first entered government in 1987 as Deputy Foreign Secretary of Ghana. He was a member of the Head of State's summit delegations to a number of countries, including the US, China, UK, France, Malaysia, Nigeria, and Zimbabwe. He led Ghana's delegation to the UN General Assembly, ministerial meetings of the OAU and the Economic Community of West African States (ECOWAS), the Non-Aligned Movement, and the Commonwealth.

MP 1993–1996

He served as MP for Bimbilla from 1993 to 1996 on the ticket of the National Democratic Congress. He was First Deputy Speaker of the Ghanaian Parliament (1993–1994), and thereafter was appointed Deputy Foreign Minister. As First Deputy Speaker, he was Chairman of the Appointments and Privileges Committees of Parliament. In 1993–94, he chaired the Foreign Affairs Committee of Parliament with oversight responsibility for the Ministry of Foreign Affairs.

Civil War mediator

Chambas came to international importance as mediator between the parties of the First Liberian Civil War of the 1990s, and later the Ivorian Civil War in the early 2000s. Centrally involved in the ECOWAS mediation efforts in Liberia, he directly participated in negotiations leading to the agreements ending the Liberian civil war. In the interim, Chambas lost his Parliamentary seat in 1996, and the then government of President Jerry Rawlings removed him from the foreign ministry and put him in charge of Ghana's primary education system.

Deputy Minister of Education

Between April 1997 and December 2000, Chambas was appointed the Deputy Minister of Education in charge of tertiary education. In that capacity, he had direct responsibility for the country's five universities, 10 polytechnics and agencies/institutions charged with formulation of policies on higher education, accreditation and maintenance of standards in tertiary institutions. Dr Chambas was involved in reform of tertiary education which included diversification of

funding, cost sharing, the introduction of the Ghana Education Trust Fund, aimed to improve the quality and financial standing of tertiary institutions. He also led negotiations and conflict resolution processes during student protests and industrial disputes involving university and polytechnic teachers and other staff members. Chambas was at the time suggested in the Ghanaian press as a candidate for the New Patriotic Party (NPP).

Return to parliament

Regaining his seat in 2000, He was also a member of the Commonwealth Ministerial Action Group, which worked to facilitate a transition to constitutional democratic governance in Nigeria, Sierra Leone and The Gambia.

Reelected on 7 December 2000 on the ticket of the National Democratic Congress. Shortly thereafter, he was nominated to head ECOWAS by Ghanaian President John Kufuor.^[1] In 2002, he was the Ranking Member on the Parliamentary Select Committee on Foreign Affairs of the Minority National Democratic Congress. He was also a member of the Select Committee on Education and the Committee on Subsidiary legislation.

ECOWAS

In 2001, Chambas was elected as the Executive Secretary of the Economic Community of West African States (ECOWAS),^[2] and acceded to the office on 1 February 2002. As Executive Secretary of ECOWAS, he was chief executive of the 15 person Executive Secretariat or the international organisation from 2002–2006. In 2007, he was appointed the group's first President by the governments of its member states, serving a four year term.

ACN

Chambas is currently the Secretary-General of the African, Caribbean, and Pacific Group of States, a security and economic cooperation organization of 79 countries created by the Georgetown Agreement of 1975.

Pamela B. Davis, M.D., Ph.D.
Dean
Vice President for Medical Affairs
Office of the Dean

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September 14, 2012

Dear Provost Baeslack and Honorary Degree Committee members:

Please consider my nomination of School of Medicine alumnus Geoffrey M. Duyk, MD, PhD, for a Case Western Reserve honorary degree. Dr. Duyk is both a pioneering genetics researcher and an industry-shaping biomedical fund manager.

He earned a PhD and MD through our Medical Scientist Training Program, graduating in 1986. While completing his medical and fellowship training at UCSF, he was awarded a post-doctoral fellowship from the Howard Hughes Medical Institute. We're proud of the springboard our university helped provide to Dr. Duyk's impressive career.

He went on to an Assistant Professor position at Harvard Medical School, where he served as a Co-Principal Investigator in the NIH funded Cooperative Human Linkage Center. Dr. Duyk has and continues to serve on NIH panels and oversight committees focused on the planning and execution of the Human Genome Project, and he was elected to the board of directors of the American Society of Human Genetics. He shifted from academia to industry, taking post as Vice President of Genomics at Millennium Pharmaceuticals, Inc., where he was responsible for building and leading the informatics, automation, DNA sequencing and genotyping groups as well as the mouse and human genetics group.

He then led a team of 550 people dedicated to the discovery and development of small molecule therapeutics as President of R&D at Exelixis Inc. In these capacities, he played a fundamental role in the rapid evolution of the genetics field.

We're all fortunate that Dr. Duyk then took a leap to the investment side of biomedicine with TPG Biotechnology. He has a rare blend of intelligence and broad experience that poised him to take one of the world's most influential biomedicine investment posts as partner and managing director of a billion dollar-plus fund. Since 2002, the firm has invested over half a billion dollars in over forty compelling life science businesses, spanning drug discovery, personalized diagnostic solutions, pharmaceutical services, medical devices, and industrial biotechnology.

Taking the leap from lab to life is often an unsettlingly serendipitous experience. We need more individuals like Dr. Duyk who can help guide this process and bridge the scientific and financial worlds of biotechnology. Geoff is an enthusiastic volunteer member of this new group and is dedicated to ushering promising science into patient care settings as expeditiously as possible.



For his unique talents, great influence on the founding of today's genetic science community, and investment acumen across the biotech arena, I wholeheartedly nominate Dr. Duyk for an honorary degree.

Thank you,

A handwritten signature in black ink, appearing to read "Pamela B. Davis". The signature is fluid and cursive, with the first name being the most prominent.

Pamela B. Davis, MD, PhD

Geoffrey M. Duyk M.D., Ph.D.

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SUMMARY

A Physician, Scientist and entrepreneur with a 20+ year history of diverse global work experiences in both the public and private sectors linked together by a fundamental interest in innovation and translational research.

PROFESSIONAL EXPERIENCE

TPG (aka Texas Pacific Group), San Francisco, California

Managing Director (TPG Biotechnology) and TPG Partner 2004- Present

- Co-Lead partner/managing partner for TPG Biotechnology LLC, a venture capital/growth equity firm within the TPG family of funds. Our group has raised three separate Biotechnology funds and has assets under management >\$1bn. The fund invests in drug discovery and development, medical devices, diagnostics, allied pharmaceutical services and industrial biotechnology (e.g. Clean Technologies involving Biomass conversion, Agriculture, Food Safety etc.). The fund invests %25 of its capital outside of the US with active direct and indirect investments in China, Japan, Indonesia, Brazil, Mexico, Canada and the EU. The fund makes both traditional equity investments as well more structured investments (e.g. project financing).
- Member, TPG Global Healthcare Team responsible for integrating all healthcare related investments across the firm.
- Lead Partner and founder of the TPG Global Clean Tech and Alternative Energy Team.

- Co-Lead Partner and founder of the TPG Brazil Initiative.
- Member, TPG Private Equity Executive Committee

Exelixis, Inc., South San Francisco California

President of Research and Development, Chief Scientific Officer and member of the Board of Directors 1997-2003

- At the time of my retirement, lead a 550+ FTE fully integrated Research and Development organization focused on small molecule drug discovery and development for the treatment of cancer and inflammatory diseases. The R&D budget was >\$150 MM per annum with research sites in Portland, Oregon, South San Francisco and Cologne, Germany.
- Transformed a sub-scale model system genetics concept company into a state of the art functional genomics platform that included significant efforts in mammalian, plant and invertebrate genetics/genomics. Further evolved the platform to include a state of the art drug discovery, clinical development and regulatory effort resulting in multiple IND filings and significant R&D partnerships with a number of major companies (e.g. Pharmacia, GSK, Merck, Bayer, Aventis, Schering Plough, Elan etc.)
- Helped lead significant corporate development and licensing efforts as well as two rounds of private financing, IPO and follow on offerings. Shared responsibility for investor relationships (“Wall Street”).

Millennium Pharmaceuticals, Inc., Cambridge, Massachusetts

Vice President, Genomics 1994-1994

- As a member of the founding scientific staff, established a state of the art genomics group that included large-scale sequencing and genotyping, bioinformatics, biostatistics, automation, genomics technologies and human/mouse genetics. Technology/Software assessment, integration and development were key focus areas
- Key focus areas for human genomics included a number of large scale, global, prospective population based studies focused on complex diseases including diabetes, obesity, asthma, auto-immune disorders and neuro-psychiatric disorders. These studies often involved collaborations with select academic groups (e.g. Harvard Medical School, MIT/Whitehead Institute etc.) and pharmaceutical companies (e.g. Roche, Lilly, Astra, Wyeth etc.).
- Key focus areas for mouse genetics included single gene and complex genetic models of common human disease. Efforts included mutagenesis, advanced phenotyping, genetic mapping and gene identification.
- Helped to lead significant corporate development and licensing efforts with major pharmaceutical companies and academic institutions.

Department of Genetics, Harvard Medical School and Howard Hughes Medical Institute (HHMI), Boston, Massachusetts

Assistant Professor, Harvard Medical School and Assistant Investigator, HHMI

1991-1994

- Laboratory primarily focused on genetic approaches for the study of auditory and vestibular systems. Work included efforts focused on human genetics, mouse genetics and drosophila genetics. Additional efforts included genomics technologies development.
- Co-Principal Investigator, Cooperative Human Linkage Center, an NIH sponsored genome center focused on building human genetics maps based on micro-satellite markers.

Departments of Surgery, Neurosurgery and Medical Genetics, University of California, San Francisco, California

Internship (Surgery- 1 yr), Residency (Neurosurgery-1 yr), Fellowship (Medical Genetics, Biochemistry- 3 yrs) 1986-1991

- Post-doctoral advisors: Dr. David Cox and Dr. Richard Myers
- Fellowships: Howard Hughes Medical Institute and Lucille P. Markey Foundation

OTHER ACTIVITIES NOT AFFILIATED WITH TPG (Abridged)

- National Institutes of Health
 - SAP (Sequencing Advisory Panel)
 - TCGA (The Cancer Genome Anatomy Project Advisory Panel)
 - Ad Hoc Working Group on the NCI Cancer Biomedical Informatics Grid
 - Past Member, Council- NHGRI
- Scientific Advisory Boards
 - Spinal Muscular Atrophy Foundation
 - Rett's Disease Foundation
- Ad Hoc Reviewer
 - DOE (ARPA-E)
 - Gates Foundation for Global Health
 - Juvenile Diabetes Research Foundation
- Board of Trustees, Wesleyan University (Ct.)
 - Finance Committee
 - Audit Committee

- Visiting Committee, Case Western University School of Medicine
- Visiting Committee, Harvard Medical School, Department of Systems Biology and Wyss Institute for Bioengineering.
- Board of Directors, American Society of Human Genetics (Executive Committee, Treasurer)

EDUCATION

Case Western Reserve University School of Medicine Medical Scientist Training Program, Cleveland, Ohio 1980-1986

- Ph.D. Biochemistry (1985)
- M.D. (1986)- awarded Neurology Prize and Martin Wahl Prize (outstanding M.D., Ph.D. student).

Wesleyan University, Middletown, Connecticut 1976-1980

- B.A. Biology *magna cum laude* (1980)
- Elected, Phi Beta Kappa (1980)
- Early Admission, post high school junior year

The Pingry School (New Jersey) 1973-1977

- *Cum Laude Society* (elected 1976)
- *SAR American History Award (State of New Jersey) (1976)*

PERSONAL

Spouse: Ulrike (Tina) Wolter, Ph.D (Clinical Psychology)

Children: Charles Duyk (Senior, Department of Computer Science, School of Engineering, Johns Hopkins University). Software Engineer, Apple, Inc- start August,2012

REFERENCES

1. Dr. Eric Lander, Director of Broad Institute, Cambridge MA (W) 617 258 0900, (M) 617 218-7400, (M) 617 308 8292
2. Dr. Gerald Rubin, and Director, Janelia Farm Research Campus (HHMI) (W) 571.209.4000
3. Dr. Val Sheffield, Professor, Department of Pediatrics/Medical Genetics University of Iowa School of Medicine and HHMI – (W) 319-335-6937 or 319-335-6898
4. Dr. Richard Myers, Director, Hudson Alpha Institute of Biotechnology (W) 256 327 0431
5. Dr. David Epstein, Chairman, Department of Ophthalmology, Duke University School of Medicine, (W) 919 684 5846



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September 14, 2012

Dear Committee Members:

I enthusiastically submit my recommendation of Geoffrey Duyk, MD, PhD, for an honorary degree from Case Western Reserve University.

Geoff brings the unique combination of scientific investigation prowess and industry translation expertise necessary to identify the most promising findings and marry scientists with opportunities to translate discoveries to marketable medical treatments and tools.

In the first phase of his career, Geoff was a contributor to planning and execution of the historic Human Genome Project, a multinational collaborative research endeavor to map every human gene, which together comprise the human genome. The successful completion of the project is already starting to have a significant impact on the course of research and clinical practice. Detailed genome maps have helped researchers identify genes associated with dozens of life-altering conditions, including myotonic dystrophy, fragile X syndrome, neurofibromatosis types 1 and 2, colon cancer, Alzheimer's disease and breast cancer. This in turn, provides opportunities for better diagnosis and prevention for at-risk families, and opens opportunities for targeted drug therapies, gene therapies and personalized medicine.

From academic roles and then biomedical industry positions, Geoff applied his genetic and genomic insight to developing new analysis systems, growing the body of scientific understanding. Geoff's career evolved, and industry relationship and experience developed through various partnerships led to his role as Co-Lead partner/managing partner for TPG Biotechnology LLC, a venture capital/growth equity firm within the TPG family of funds. His group manages more than \$1 billion in fund assets. The fund invests in drug discovery and development, medical devices, diagnostics, allied pharmaceutical services and industrial biotechnology.

In this role, he applies his powerful scientific knowledge toward decisions regarding significant investments in biomedical research. His responsibly and thoughtfully applied investments will alter the future of healthcare for the better.

We are fortunate at Case Western Reserve that Geoff recently agreed to serve on our newly formed Council for the Advancement of Human Health. Along with other renowned biomedical industry leaders, Geoff is applying his industry knowledge to advise our scientists on next steps and best practices to advance their discoveries to market.

As a fellow genomic scientist, I can say that his work has contributed significantly to the field of genomic medicine, and his investment acumen to medicine overall. And, the ripple effects of his work will be realized by many future generations.

Thank you for your consideration of Dr. Duyk for an honorary degree.

Sincerely,

A handwritten signature in cursive script, appearing to read "Mark Chance".

Mark Chance, Ph.D.

Vice Dean for Research

Director, Case Center for Proteomics and Bioinformatics

Director, Case Center for Synchrotron Biosciences

Nomination for Award of an Honorary Degree

Date: September 11, 2012

Nominee: Elon Musk

CEO of SpaceX and CEO of Tesla Motors

Submitted by:

Name: Gerald Matisoff

Address: Dept. Geological Sciences, 110 A.W. Smith Bldg.

Phone: 216-368-3677

E-mail: gerald.matisoff@case.edu

Status: Faculty, Professor and Chair, Dept. of Earth, Environmental and Planetary Sciences

Dear Provost Baeslack:

I am pleased to submit this nomination of Elon Musk for an honorary degree. Elon Musk (born 28 June 1971) is a South Africa-born American engineer and entrepreneur who builds and operates companies to solve environmental, social and economic challenges. He co-founded PayPal (initially known as X.com) and currently he is the CEO and Chief Designer of Space Exploration Technologies (SpaceX) and the CEO and Product Architect of Tesla Motors, two companies he created, and oversees a third company, SolarCity, which he co-founded. While at those companies, Musk created the world's largest Internet payment system, PayPal, the first viable electric car of the modern era, the Tesla Roadster, and a private rocket and spaceship successor to the Space Shuttle known as Falcon 9/Dragon. This year he led SpaceX's efforts to be the first private company to successfully launch and dock a spacecraft with the international space station. Forbes magazine recently added Elon Musk to their list of the world's billionaires following a 25% stock value gain in Tesla, his publicly traded electric car company. Forbes reports that he is prepping SolarCity and SpaceX for IPOs. SolarCity will likely debut later this year, underwritten by Goldman Sachs, and is expected to achieve a valuation of \$1.5 billion and SpaceX could be listed in 2013. Musk is working with fellow billionaire Paul Allen on a project that will launch unmanned rockets from what will be the world's biggest plane.

Background:

Musk was born and raised in Pretoria, South Africa, the son of a Canadian mother, Maye (née Haldeman), and a South African father, Errol Musk. His mother's heritage include Pennsylvania Dutch; his maternal grandfather was from Minnesota, and had moved to Saskatchewan, where Musk's mother was born. His father is an engineer and his mother is an author, nutritionist and model, appearing on the cover of New York Magazine in 2011 and Time Magazine in 2010.

Musk bought his first computer at age 10 and taught himself how to program; by the age of 12 he sold his first commercial software for about \$500, a space game called Blaster.

After matriculating at Pretoria Boys High School he left home in 1988 at the age of 17, without his parents' support and in part because of the prospect of compulsory service in the South African military: "I don't have an issue with serving in the military per se, but serving in the

South African army suppressing black people just didn't seem like a really good way to spend time". He wanted to move to the US, saying: "It is where great things are possible".

In 1992, after spending two years at Queen's University, Kingston, Canada, Musk left Canada, pursuing business and physics at the University of Pennsylvania on a full scholarship. From the Wharton School of the University of Pennsylvania, he received an undergraduate degree in Economics, and stayed on another year to finish a second bachelor's degree in Physics. His undergraduate degrees behind him, and drawing inspiration from innovators such as Thomas Edison and Nikola Tesla, Musk then considered three areas he wanted to get into that were "important problems that would most affect the future of humanity", as he said later, "One was the Internet, one was clean energy, and one was space".

Musk went on to a graduate program in applied physics and materials science at Stanford in 1995. He stayed two days before dropping out to start Zip2, which provided online content publishing software for news organizations, with his brother Kimbal Musk. In 1999, Compaq's AltaVista division acquired Zip2 for US\$307 million in cash and US\$34 million in stock options.

Paypal:

In March 1999, Musk co-founded X.com, which pioneered online point-of-sale functionality for purchases and quickly became one of the Web's leading financial institutions. One year later, in a 50/50 merger, X.com acquired Confinity, which operated an auction payment system similar in size to X.com. Musk was a principal architect behind the purchase, which hinged on his belief in the emerging online-transfer, or "P2P" technology. Musk believed that the Confinity sub-brand would become the necessary vehicle to incorporate and develop a person-to-person payment platform within X.com. The combined company at first adopted X.com as the corporate name, but in February 2001, X.com changed its legal name to PayPal Inc. Musk served as PayPal's chairman and chief product officer and was its largest shareholder with 11.7% of PayPal's shares until October 2002 when PayPal was acquired by eBay for US\$1.5 billion in stock.

Tesla Motors:

Musk is also co-founder and has been head of product design at Tesla Motors from the beginning, where he led development of the Tesla Roadster, the first production electric car of the modern era. Musk's interest in electric vehicles extends long before the creation of Tesla. He originally went to Silicon Valley to do a PhD in Applied Physics and Materials Science at Stanford, where his goal was to create ultracapacitors with enough energy to power electric cars.

Musk began by hiring Martin Eberhard as CEO and a management team and provided almost all of the capital for Tesla's first two funding rounds, giving him a controlling interest from the start. As a result of the financial crisis in 2008 and a forced layoff at Tesla, Musk was forced to assume the additional responsibility of CEO.

Tesla Motors first built an electric sports car, the Tesla Roadster, which has shipped over 2,300 vehicles to 31 countries. Tesla began delivery of its four-door Model S sedan on 22 June 2012

and unveiled its third product the Model X, aimed at the SUV/minivan market, on 9 February 2012. Model X is scheduled to begin production in 2014.

In addition to its own cars, Tesla sells electric powertrain systems to Daimler for the Smart EV and Mercedes A Class, and to Toyota for the upcoming electric RAV4. Musk was also able to bring in both companies as long term investors in Tesla.

Musk is principally responsible for an overarching business strategy that aims to deliver affordable electric vehicles to mass-market consumers. His vision was to create the Tesla Roadster as a means to that end—a car aimed specifically at affluent early adopters, whose purchase of the sports car would subsidize the research and development costs of lower priced models of electric vehicles. From the start of Tesla, Musk has been a champion of the Model S, a four-door family sedan with an anticipated base price of half that of the Roadster. Musk has also favored building a sub-\$30,000 subcompact and building and selling electric vehicle powertrain components so that other automakers can produce electric vehicles at affordable prices without having to develop the products in house. Several mainstream publications have compared him with Henry Ford for his revolutionary work on advanced vehicle powertrains.

He is reported to have a 32% stake in Tesla, which is currently valued above \$1 billion, as of March 2012.

SpaceX:

Musk views space exploration as an important step in expanding—if not preserving—the consciousness of human life. Musk has said that multiplanetary life may serve as a hedge against threats to the survival of the human species. "An asteroid or a super volcano could destroy us, and we face risks the dinosaurs never saw: An engineered virus, inadvertent creation of a micro black hole, catastrophic global warming or some as-yet-unknown technology could spell the end of us. Humankind evolved over millions of years, but in the last sixty years atomic weaponry created the potential to extinguish ourselves. Sooner or later, we must expand life beyond this green and blue ball—or go extinct." Musk's goal is to reduce the cost of human spaceflight by a factor of 100.

Musk founded his third company, Space Exploration Technologies (SpaceX), with \$100 million of his early fortune in June 2002 of which he is currently the CEO and CTO. SpaceX develops and manufactures space launch vehicles with a focus on advancing the state of rocket technology with the ultimate goal of extending human life to other planets. The company's first two launch vehicles are the Falcon 1 and Falcon 9 rockets and its first spacecraft is Dragon. In 2008, NASA awarded SpaceX a contract for 12 cargo flights to and from the International Space Station, effectively replacing the Space Shuttle after it retired in 2011. This contract, which has a minimum value of \$1.6 billion and a maximum value of \$3.1 billion, has become a cornerstone of the Space Station's continued access to cargo delivery and return. In September 2009, SpaceX's Falcon 1 rocket became the first privately funded liquid-fueled vehicle to put a satellite into Earth orbit. In 2010, SpaceX became the first commercial company to successfully recover a spacecraft from Earth orbit with its Dragon spacecraft. SpaceX made history on 25 May 2012, when the SpaceX Dragon vehicle docked with the ISS, making history as the first commercial

company to launch and dock a vehicle to the International Space Station. In 2011, the company started work preparing the spacecraft to carry astronauts under a NASA award. SpaceX has designed Falcon 9/Dragon with astronaut transport in mind and the Augustine commission has recommended that astronaut transport be handled by commercial companies like SpaceX. Musk has stated his personal goal of eventually enabling human exploration and settlement of Mars. In a 2011 interview, he said he hopes to send humans to Mars' surface within 10–20 years. The first manned flights are expected in 2015.

SolarCity:

Musk provided the initial concept for SolarCity, where he remains the largest shareholder and is the non-executive chairman of the board where he provides strategic direction for the company. SolarCity is the largest provider of solar power systems in the United States. His cousin Lyndon Rive is the CEO and co-founder. The underlying motivation for funding both SolarCity and Tesla is to help combat global warming. In 2012, Musk announced that SolarCity and Tesla Motors are collaborating to use electric vehicle batteries to smooth the impact of rooftop solar on the power grid.

Awards and Recognition:

Listed as one of Time Magazine's 100 people who most affected the world in 2010. Jon Favreau, director of the Iron Man movies, describes in his article how Musk was the inspiration for Favreau's film depiction of genius billionaire Tony Stark.

The world governing body for aerospace records, Fédération Aéronautique Internationale, presented Musk in 2010 with the highest award in air & space, the FAI Gold Space Medal, for designing the first privately developed rocket to reach orbit. Prior awardees include Neil Armstrong, Burt Rutan of Scaled Composites and John Glenn.

Named as one of the 75 most influential people of the 21st century by *Esquire* magazine.

In June 2011, Musk was awarded the \$500,000 Heinlein Prize for Advances in Space Commercialization

In February 2011, Forbes listed Musk as one of "America's 20 Most Powerful CEOs 40 And Under".

Recognized as a *Living Legend in Aviation* in 2010 by the Kitty Hawk Foundation for creating the successor to the Space Shuttle (Falcon 9 rocket and Dragon spacecraft). Other awardees include Buzz Aldrin and Richard Branson.

American Institute of Aeronautics and Astronautics George Low award for the most outstanding contribution in the field of space transportation in 2007/2008. Musk was recognized for his design of the Falcon 1, the first privately developed liquid fuel rocket to reach orbit.

National Space Society's Von Braun Trophy in 2008/2009, given for leadership of the most significant achievement in space. Prior recipients include Burt Rutan and Steve Squyres.

National Wildlife Federation 2008 National Conservation Achievement award for Tesla Motors and SolarCity. Other 2008 awardees include journalist Thomas Friedman, U.S. Senator Patrick Leahy and Florida Governor Charlie Crist.

The Aviation Week 2008 Laureate for the most significant achievement worldwide in the space industry.

R&D Magazine Innovator of the Year for 2007 for SpaceX, Tesla and SolarCity.

Automotive Executive of the Year (worldwide) in 2010 for demonstrating technology leadership and innovation via Tesla Motors. Prior awardees include Bill Ford Jr, Bob Lutz, Dieter Zetsche and Lee Iacocca. Musk is the youngest ever recipient of this award.

Inc Magazine Entrepreneur of the Year award for 2007 for his work on Tesla and SpaceX.

2007 Index Design award for his design of the Tesla Roadster.

Global Green 2006 product design award for his design of the Tesla Roadster, presented by Mikhail Gorbachev.

Musk is a Director of the Planetary Society, a Trustee of The X-Prize Foundation and a member of the Stanford University Engineering Advisory Board. He has previously served as a member of the United States National Academy of Sciences Aeronautics and Space Engineering Board.

In a 2010 Space Foundation survey, Musk was ranked as the #10 (tied with rocketry pioneer and scientist Wernher von Braun) most popular space hero.

In 2010, Musk was elected to the board of trustees of the California Institute of Technology.

In 2011, Musk was honored as a Legendary Leader at the Churchill Club Awards.

Honorary doctorate in design from the Art Center College of Design

Honorary Doctorate (DUniv) in aerospace engineering from the University of Surrey

Philanthropy:

Musk created and is chairman of the Musk Foundation, which focuses on aerospace, clean energy, science education and pediatric health. The Foundation has donated solar power projects to Soma, Japan – a city devastated by both earthquake and tsunami – and to a hurricane response center in coastal Alabama operated by victims of Hurricane Katrina and the Gulf Oil Spill. To make it clear that this was not serving Musk's commercial interests, SolarCity noted that it had

no present or planned business activity in Alabama. Facilitated by SolarCity, these projects bring much-needed low-cost, clean power to both regions as recovery efforts continue.

Musk is a trustee of the X Prize Foundation, which promotes renewable energy technologies, and sits on the boards of The Space Foundation, The National Academies Aeronautics and Space Engineering Board and The Planetary Society. He is also a member of the Stanford University Engineering Advisory Council and is a member of the board of trustees of the California Institute of Technology (Caltech).

Musk joined The Giving Pledge in April 2012, offering a moral commitment to donate the majority of his fortune to philanthropy. Musk became a member of the campaign first popularized by Warren Buffett and Bill Gates with a class of 12 of America's wealthiest families and individuals, which included Arthur Blank and Michael Moritz.

Car blog Jalopnik reported on August 16, 2012 that Musk was supporting an effort by Matthew Inman of The Oatmeal to preserve the site of Nikola Tesla's lab and turn it into a museum.

Tidbits:

Musk lives in Bel-Air, California. Musk met his first wife, the Canadian-born author Justine Musk, while they were both students at Queen's University. They were married in 2000 and together had five sons. They announced their separation in September 2008. Musk announced in January 2012 that he had recently ended a four-year relationship with his second wife, British actress Talulah Riley.

Tosca Musk, Elon's sister, is the founder of Musk Entertainment and has produced various movies. Elon himself was the executive producer of her first movie, called *Puzzled*.^[74] His brother Kimbal is the CEO of a social search company OneRiot and owner of The Kitchen restaurant in Boulder, Colorado.

Musk has described himself as a workaholic who routinely invests 100 hours per week in running Tesla Motors and SpaceX, often flying in a fuel-efficient corporate jet.

The SpaceX factory was used as a shooting location for *Iron Man 2* and Musk has a cameo in the movie. In addition, Jon Favreau, director of the Iron Man movies, describes in his article how Musk was the inspiration for Favreau's film depiction of genius billionaire Tony Stark.

Musk previously owned and later sold a McLaren F1 sports car and a Czech made jet trainer aircraft Aero L-39. The 1994 model Dassault Falcon 900 aircraft used in the film *Thank You for Smoking* is registered to Musk (N900SX) and Musk had a cameo as the pilot of his plane, opening the door for Robert Duvall and escorting Aaron Eckhart aboard.

Musk is an attendee of the Burning Man festival, and claims that he first thought up the idea for SolarCity at the 2004 festival. Recently, he proposed a solar-powered jet tunnel system that would enable individuals to make trips from San Francisco to Los Angeles in less than 30 minutes.

Faculty Paid Parental Leave Policy

I. Eligibility

- A. All Tenured, Tenure Track, Non-Tenure Track and/or Special Faculty Members, as defined in Chapter 2, who are 1) full-time (at least 50% effort) and are benefits eligible, and 2) eligible for Family Medical Leave Act (“FMLA”) leave are eligible for Faculty Paid Parental Leave. FMLA requires that a faculty member be employed by the University for at least 12 months prior to the commencement of the leave and have worked at least 1,250 hours during the 12-month period prior to the leave.
- B. Any Tenured, Tenure Track, Non-Tenure Track and/or Special Faculty Members, who are full-time (at least 50% effort) and are benefits eligible, as defined in Chapter 2, and who are not eligible for FMLA leave may apply for an exception from the Provost’s office to be eligible for Faculty Paid Parental Leave. For these employees, CWRU will seek to make appropriate leave accommodations through a process administered by the Provost.
- C. Both a mother and a father, as well as domestic partners, who are faculty members may take this leave if they are eligible.

II. Amount of Leave Provided.

- A. Up to sixteen (16) weeks of paid parental leave during the academic year for 1) faculty primary caregivers to care for and bond with a newborn, or 2) faculty primary caregivers to care for and bond with a newly adopted child or newly placed foster child under the age of six (6). For purposes of this policy, “primary caregiver” means an eligible faculty member who has primary responsibility for care-giving of a child within 12 months of the birth of that child, or of the adoption or foster placement of a child under the age of six (6).
- B. Up to 3 weeks of paid parental leave for the secondary caregiver to care for and bond with 1) a newborn, or 2) a newly adopted child or newly placed foster child under the age of six (6). For purposes of this policy, “secondary caregiver” means an eligible faculty member who has secondary responsibility for the care-giving of a child within 12 months of the birth of that child, or of the adoption or foster placement of a child under the age of six (6).
- C. The eligible faculty member(s) shall designate which parent is the primary caregiver and which one is the secondary caregiver for the birth or placement for adoption of that child.

- D. The faculty member will be relieved of their normal duties and responsibilities during the period of leave including research, scholarship, teaching, and service responsibilities.
- E. The leave period is expected to be continuous, unless other arrangements are agreed to by the parent/faculty member and the Dean of the respective School.
- F. The exact amount of paid parental leave available to be taken is determined by the amount of FMLA leave available to the parent/faculty member and any additional amount of paid parental leave available under this Policy and/or available under other University leave policies.
- G. FMLA leave shall first be exhausted prior to any additional time that is permitted under this policy or as permitted under any other University leave policy.
- H. If both parents/domestic partners are faculty members, the maximum paid parental leave for both faculty members together is nineteen (19) weeks (sixteen (16) weeks for the primary caregiver and three (3) weeks for the secondary caregiver). The actual amount of paid parental leave that may be provided in such circumstances will be determined by the amount of FMLA leave available to each parent/faculty member, per the FMLA Leave Policy. In the case of the birth of a child, if the primary caregiver is not the birth mother, the maximum total paid parental leave that may be provided to the two parents/faculty members related to the birth of the child will be nineteen (19) weeks; the amount of paid parental leave provided to the primary caregiver may be reduced by the amount of FMLA leave taken by the birth mother.
- I. If the faculty member becomes eligible for FMLA leave while on Faculty Paid Parental Leave, the FMLA leave shall be taken in accordance with the FMLA Leave policies.
- J. The Faculty Paid Parental Leave Policy can be used in combination with existing University non-FMLA Leave polices after FMLA leave has been exhausted. For example, a faculty member could request additional leave in the event of medical complications for the mother or child or during the birth or adoption.
- K. For purposes of the 16 consecutive weeks provided during an academic year, for a faculty on a nine-month contract, the academic year is defined as the first day of classes in August to graduation in May; for faculty on a twelve-month contract the academic year extends from July 1 to June 30; and for faculty who start mid-year, the academic year is defined as the faculty's start date until graduation in May for nine-month contracts or until June 30 for twelve-month contracts.

III. Salary and Benefit Provided During the Leave

- A. The primary caregiver shall be entitled to up to a maximum of 16 weeks paid leave at 100% of his or her salary and benefits during the leave.

- B. The secondary caregiver is eligible for up to a maximum of 3 weeks of paid leave at 100% of his or her salary and benefits.

IV. Requirements Applicable to Faculty Paid Parental Leave

- A. The Faculty Paid Parental Leave must commence within 12 months of the live birth or of the adoption or placement of a foster child under the age of six (6) by the eligible faculty member.
- B. At the option of the faculty member, and with approval from the Dean, the parental leave provided by the Policy may be taken during the semester in which a child is born, adopted, or is placed as 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, allowing for the relief of up to sixteen weeks (equivalent to a semester). Faculty members who are eligible for paid parental leave for a birth or adoption that occurs during a semester should consult with their Dean and Employee Relations to schedule the paid parental leave so as to attempt to meet the leave period request of the faculty member and the needs of the School or department, whenever possible.
- C. Being on leave shall not adversely impact any faculty evaluation.
- D. The faculty member may seek a pre-tenure extension during the leave period, as provided for in the Faculty Handbook provisions on pre-tenure extensions (Chapter 3, Part One, Article I, G.5,6 and 7).
- E. Faculty Paid Parental Leave is separate from sick days taken under the University's Sick Days policy.
- F. The Faculty Paid Parental Leave Policy runs concurrently with the FMLA leave specified in the HR Policy Manual and the benefits afforded under this Policy must meet or exceed the rights afforded under the FMLA. The benefits afforded under this Policy are not in addition to those offered by the FMLA.

V. Procedures

The procedures below, as well as those outlined in the Human Resources Family and Medical Leave Policy and Other Leaves Policy, as specified in the Human Resources Policy Manual, apply to paid parental leave under this policy.

- A. Any eligible faculty member who wishes to use leave in accordance with this Policy should notify their supervisor or Dean's Office, and Human Resources Employee Relations ("Employee Relations") of the need for leave under this Policy. The supervisor or Dean's Office and/or eligible faculty member must

request from Employee Relations the appropriate form requesting leave. The completed leave form must be forwarded to Employee Relations for approval and processing at least thirty (30) days in advance of the requested leave, when practicable.

- B. The supervisor/Dean's Office and the Employee Relations Office will work with the eligible faculty member in determining whether the request falls under this Policy.
- C. Employee Relations will communicate with the faculty member regarding eligibility for paid parental leave and rights and responsibilities under the FMLA, as provided in the FMLA Policy in the Human Resources Manual.
- D. Proof of the birth or placement of the child is required. Additional documentation of proof of eligibility may be requested by the Employee Relations Office.
- E. An eligible faculty member is entitled to have their benefits maintained during a leave under this Policy. During the leave, the faculty member's contributions towards their benefits will be deducted from their paychecks.
- F. The faculty member is to communicate any changes in the leave terms to Employee Relations and/or the supervisor/Dean's Office immediately upon learning of them. The supervisor/Dean's Office will notify the Employee Relations Office of these changes.
- G. Employee Relations and/or the supervisor/Dean's Office will confirm the return to work date. Upon the faculty member's return to work, the supervisor/Dean's Office is to complete the appropriate portion of the leave form (Return to Work section) to be turned in to the Employee Relations Office.
- H. If the faculty member fails to return to work on the agreed upon date, the supervisor/Dean's Office is to notify the Employee Relations Office.
- I. The supervisor/Dean's Office is responsible for holding the position, or an equivalent position, of an eligible faculty member on approved leave. The paid parental leave under this policy shall be subject to the FMLA's provisions on return to work, specifically the right (a) to be restored by the employer to the position of employment held by the employee when the leave commenced; or (b) to be restored to an equivalent position with equivalent employment benefits, pay, and other terms and conditions of employment.
- J. Questions about Faculty Paid Parental Leave should be referred to Employee Relations.

Chapter Three, Part One, Article II, Leaves of Absence

F. Modified Workload Policy

1. Request for Modified Workload

A full-time faculty member who is tenured, in the tenure track, or in the non-tenure track may request, in writing, a temporary modification in his or her workload with a corresponding reduction in compensation in order to balance work with extenuating circumstances of serving as the primary caregiver 1) for a child who requires care beyond basic parenting or 2) for another family member or other person whose care requires a significant time commitment. Under this Modified Workload Policy, the usual workload as described in the faculty member's appointment would be reduced to 50% or 75% for a period ranging from one semester to two years. Benefits that are not proportional to salary, such as health insurance, will be continued as if the faculty member were full-time. This Modified Workload Policy runs concurrently with any Family and Medical Leave Act (FMLA) leave (including reduced leave or intermittent FMLA leave) as specified in the University's Human Resources Policies and Procedures, when the faculty member is eligible for such FMLA leave for the caregiving duties.

- a. The faculty member requesting a modified workload under this policy may be asked to submit supporting documentation to support the request for a Modified Workload Agreement. To the extent that medical information is provided, such information will be maintained by University Human Resources.
- b. The Faculty Member's request for a modified workload must include requirements and expectations for teaching, advising, research/scholarship and service.
- c. A Modified Workload under this policy shall be subject to the FMLA's provisions on return to work, specifically the right (a) to be restored by the employer to the position of employment held by the employee when the leave commenced; or (b) to be restored to an equivalent position with equivalent employment benefits, pay, and other terms and conditions of employment.
- d. Pre-tenure faculty may request an extension of the pre-tenure period. The cumulative total of all pre-tenure extensions may not exceed three years, except for pre-tenure extensions based on the birth or adoption of each child, under provisions stated in Section I, G. 4 of the Faculty Handbook.

2. Modified Workload Agreement

If the department chair and dean agree that a Modified Workload Request is appropriate and not burdensome to the University, school and department, the department chair and dean may, in their discretion, approve the Modified Workload Request. If the request is approved, it shall be documented in writing as a Modified Workload Agreement. Any Modified Workload Agreement must be unanimously agreed upon by the faculty member, the department chair, the dean, and the provost. The Modified Workload Agreement must specify:

- (a) The duration of the Modified Workload Agreement may be for a period ranging from one semester to two years. The Modified Workload Agreement must state the date the faculty member is expected to return to their normal workload;
- (b) The parties' agreement as to the faculty member's teaching, research/scholarship, and service obligations during the period of the Modified Workload Agreement. If an extension of a pre-tenure period is included in the Modified Workload Agreement, the period and terms of that extension must also be stated in writing.

In limited circumstances, a Modified Workload Agreement may be renegotiated or extended beyond its original end date with the unanimous agreement of the department chair, the dean, and the provost.

**Proposed Amendment to the Faculty Handbook Case Western Reserve University
Chapter 4, Article VII, Policies on Individual Conflicts of Interest and Institutional
Conflicts of Interest**

I. Individual Conflict of Interest Policy

C. Disclosure

1. Who must disclose?

The following individuals must disclose under this policy: the members of the Board of Trustees; all University officers and senior officials, as defined in section I(A) of this policy; all University faculty (whether or not engaged in research), except special faculty members ~~who are not paid by the University~~, unless engaged in University research; emeritus faculty members who have an ongoing relationship with the University, e.g., who are applying for or engaged in University research; and Senior/key personnel and other individuals who contribute to the scientific development or execution of a research project in a substantive way, and any other employees at the request of their supervisor. Individuals who have no disclosable interests must still submit an annual disclosure form to be in compliance with this policy.

Students and post-doctoral fellows and scholars do not have to disclose unless they contribute to the scientific development or execution of a research project in a substantive way.