

MINUTES
OF MEETINGS

UNIVERSITY FACULTY
AND
FACULTY COUNCIL OF REPRESENTATIVES

October 14, 1981 - May 19, 1982

October 13, 1982 - May 18, 1983

September 14, 1983 - May 16, 1984

1981-82

Kenneth Greisen, Dean of Faculty
Joseph B. Bugliari, Secretary of the Faculty
Russell D. Martin, Speaker

1982-83

Kenneth Greisen, Dean of the Faculty
Harlan Brumsted, Secretary of the Faculty
Russell D. Martin, Speaker

1983-84

Joseph B. Bugliari, Dean of the Faculty
Francine A. Herman, Secretary of the Faculty
Russell D. Martin, Speaker

October 14, 1981

110 Ives Hall

The incumbent Speaker, Russell D. Martin, called the meeting to order at 4:35 p.m., 59 members and a number of visitors were in attendance. He called on Professor Donald F. Holcomb, Physics, for an announcement.

1. ANNOUNCEMENT RE COMMITTEE TO STUDY COMPOSITION
 AND PROCEDURES OF THE BOARD OF TRUSTEES

Professor Holcomb said that last spring the Board of Trustees authorized its chairman to appoint a committee to study the composition and procedures of the Board of Trustees. That committee is chaired by Austin Kiplinger with the other members being retired Trustees, and including Professor Holcomb as a retired Faculty Trustee. This committee will be meeting on campus on October 28 and 29. On October 28 at 2:30 - 4:00 p.m. hearings will be held to receive comments from the faculty. Employees and students will also have an opportunity at other specific times to speak to the committee about the operation of the Board of Trustees and its membership.

Professor Holcomb gave some background for the committee's existence and began by reading the charge: "It will be the committee's mandate to review and evaluate and make recommendations for improving the effectiveness of the Board of Trustees in all respects. It is anticipated that the committee's studies will include but not be limited to the following: Board membership - to review all aspects of the size, composition, method of

selection for the Board's membership including their dedication to the interests of the University as a whole, diversity as to experience and expertise, diversity as to age, sex, race and cultural background, geographical diversity and the status of the Emeritus or honorary members, and to review the Board's organizational structure and rules of procedure as reflected in the University Bylaws and applicable general law."

Professor Holcomb said the present composition of the Board of Trustees is 62 members, not because of a decision that its composition should be a certain number, but given the accretion in response to various political and campus needs at various times through history. Faculty members should be interested because there are five Faculty members on the Board of Trustees and whether they fulfill an important function or not is something which Faculty can make some judgment about. He urged Faculty who have any opinions or points of view to put forward before that committee on October 28, to get in touch with him and he would arrange that they be heard.

The Speaker said the one item of business that did not get on the agenda that was distributed and hence would require unanimous consent of the body to add it to the agenda is the election of a Speaker, which is an annual event at the first meeting as an agenda item. It was so ordered, and the Chair turned the meeting over to Dean of the Faculty, Kenneth Greisen.

2. ELECTION OF A SPEAKER

Dean Greisen said that the Speaker serves for one year and can be re-elected, and that the floor was open for nominations.

Professor John P. Windmuller, I&LR, nominated Russell Martin for another term as Speaker, adding that he has served this body well. There being no further nominations, Dean Greisen declared Russell Martin elected as Speaker unanimously.

The Speaker thanked the body, adding that the competition has not increased since a year ago.

Speaker Martin called on Provost W. Keith Kennedy for a report concerning the budget and indicated that any other questions which the body would like to ask, the Provost would also be glad to answer.

3. REMARKS CONCERNING THE 1982-83 BUDGET

Provost Kennedy began: "It is a pleasure to meet with you occasionally, although talking about the budget is not the most existing thing that happens on the campus. Before I start, I want to recognize the very able and continuing hard work and leadership that Jim Spencer provides as Vice Provost. He has primary responsibility for the development of the budget, along with the individuals in the Budget Office, and much of what I will be reporting represents his work along with the FCR Budget Committee, and we hope within the near future the active participation of the Assembly Committee on Budget Policies. We also should acknowledge the credit due to all of the deans, especially several of the endowed deans as we worked on developing a budget for 1982-83.

"Let me back up a moment and start with 1981-82 because budget information in these days is a continuing process constantly undergoing revision and you can't just abruptly start at the beginning of one year on the assumption that every-

thing is past. The 1981-82 budget as presented to the Trustees in May of this year had a number of deficiencies including a less than the desired allocation of funds for salary improvement for faculty and staff and, of course, a higher tuition than many of the students felt reasonable. In addition to these deficiencies, it only had an 11% increase for acquisitions for the library at a time when inflation rates for library materials is closer to 20 or 22 percent. It also had very little funds for much needed building renovations, replacement for worn out or outmoded equipment, and a less than adequate contingency of \$700,000. To you and me that's a lot of money, but when it represents less than one percent of the budget and when we have cast as a shadow upon us a potential demand of at least \$800,000 of additional financial aid for students for this year, that \$700,000 contingency could conceivably have been a negative one before we even started the year. Nevertheless, even though we were very fearful that we would find it difficult to operate within the expected levels of income, we presented the budget to the Trustees with sort of a firm conviction and a rather loud voice that it was balanced.

"Fortunately, several happenings during the past four months have improved the outlook for 1981-82. The return on the short-term investments has been higher than we anticipated - interest rates have stayed up and this has had a positive influence as far as our income is concerned for the short-term. Increases in the New York State Tuition Assistance Program were provided which helped to offset for 81-82 the loss in federal student aid. Our expenditures for utilities during 1980-81 were also somewhat

less than anticipated, especially for electricity and heat. This is a result of a number of factors. First is the cooperation and dedication many faculty and students and other employees have shown in trying to conserve energy in a variety of ways. We also have made energy conservation improvements. Our people claimed those would yield such and such a savings, but perhaps because we've heard before the check is in the mail, we were a little hesitant about projecting too many savings. We did have another very unexpected occurrence in the oil glut, which again we all recognize as being temporary, in that we were able to fill our tanks with slightly more than 50 cent per gallon oil when we were projecting expenditures of close to a \$1.00 a gallon. We also have about 75 more students on campus than we had predicted. While that brings in additional income in the form of tuition, it also increases expenses for financial aid, additional class sections and additional student services.

"On the negative side during the past few months, we have 'discovered', I guess that's a better way of saying we've been made painfully aware, that the cost of providing health benefits is increasing at a very rapid rate. We had made projections based upon past increases, but we had to allocate approximately \$400,000 of additional funds from last year's budget and we're faced with a \$700,000 increase for the current year over expected costs. This increase in health insurance has made a deep inroad in our margin of safety. The prudent action would probably have been to hold tight and not make any more commitments. We felt, however, that since our library system

had been suffering a great deal already and faced further deterioration in terms of not being able to keep up with acquisitions, it was prudent to allocate \$200,000 additional to the library budget thereby moving it from an 11% increase to approximately a 22% increase. I must admit that a very small amount, perhaps \$10-15,000 of the \$200,000 might be utilized to increase the library hours, although we hope to accomplish most or all of those increased hours from other funds.

"If I might summarize then, the University did end with a balanced budget for 80-81, but we continue to have many unmet needs during the current year. These include inadequate provision for renovating classrooms and outmoded laboratories, for replacing equipment and the list goes on and on. We also recognize that we still do not have the salary program for faculty and staff that you deserve and that we would like to have.

"This brings us to the development of the 82-83 budget. As Dean Greisen pointed out in the call to the meeting, it is in a very preliminary state at this point in time, but we are attempting to discuss with members of the community in greater detail than we have in the past some of the assumptions we will use in establishing it. The primary assumption is projecting inflation and that I'm sure is a no win situation. We have estimated inflation to be 10%, 9% and 8% - for the next three years. I should emphasize that we are now working on a three-year budget plan to a much greater extent than we have in the past. So we start with that inflation figure and from that we make our other assumptions. For example, for the maintenance of facilities

and repairs we are projecting two points above the inflation rate - 12%, 11% and 10%. Energy costs, we are assuming to be a 12% increase on a flat basis, on the premise that while energy costs probably will continue to move up, we will be receiving a benefit from the investment we have made to convert to coal, to install storm windows, to do more insulation, and other energy conservation practices. Library costs, we kept at a flat annual increase of 15%. Again, we recognize at the present time, that this is not adequate, but at least it is reasonable in relation to other institutions. Moreover, looking at all of the demands, we feel that it is a realistic allocation - ever aware that we need to have an aggressive fund-raising program for the library and also be ready to take advantage of any opportunities we have such as this year to make additional allocations to the libraries.

"We have set our target compensation for faculty and staff at two points above inflation or 12%, 11% and 10% for the next three years. It's our assessment that we're about 6% behind the 75th percentile of salaries for our peer institutions. Now this varies enormously from field to field, but looking across the University, that is a rough estimate, based upon comparative salary studies. Assuming for a moment, and I recognize that it's a dangerous assumption, that other universities might adjust their compensation levels more nearly to the rate of inflation, then two percent above inflation would give us a chance to gain. I could argue quite persuasively, with myself at least, that since university salaries have in general lagged behind inflation throughout the United States, that other institutions also will

be trying to do better than inflation if they possibly can, and therefore there may not be any gain in relation to our peer institutions. At least if we can make a gain on inflation that would be somewhat better than we have done in the past.

"Finally we have set undergraduate financial aid, and I'm going to come back to that later because it's extremely important and also an expensive item, at an increase seven percentage points above inflation - or 17%, 16% and 15% for the next three years, and graduate aid at 12%, 11% and 10%.

"When we look on the income side we are assuming that annual giving and other income related to giving will continue to increase at the rate of inflation, 10%, 9% and 8% and that the return on the long-term investments will increase 5% per year. Let me emphasize that is not the rate of return we expect on the long-term investments but rather that our income from our endowment without adding to the endowment will increase by 5% per year. Our increase in return on the short-term investment is projected as zero for each of the years. If interest rates come down, our return on our short-term investment could in fact decrease. Again these are not the rates but how much more money we expect from short-term investment next year than this year.

"For Bundy money, State support to private institutions of higher education, which has become increasingly important for the endowed colleges, we expect zero increase the first year because there was an adjustment a couple of years ago. We are, however, projecting a 12% increase in 1983-84, which is about the amount of past increases at periodic intervals.

"I've left for last tuition and tuition-related income because of its great importance as far as the total income is concerned. Ideally we would like to keep the increase in tuition at a rate no greater than inflation, which would be the 10%, 9% and 8%. This does not appear to be possible because using the assumptions I've outlined on different costs and different incomes, we would have a deficiency of approximately three million dollars in 82-83, nearly five million in 83-84 and slightly more than eight million in 84-85. Even though we're predicting a downward trend in inflation, costs are such that to hold tuition equivalent to inflation will not be possible. One of the reasons, of course, is that the return on investments has not been keeping up with inflation and probably will not. We've also been hardpressed to maintain annual giving equal to the rate of inflation.

"During the past several months, we've reviewed each of our assumptions for inflation, investment income, utility costs, and others, and we've decided, for the moment, that we will stay with 10, 9, 8% for inflation, but that we can see increasing the income from investments by a modest amount for 82-83 and that we can reduce utility costs below the projected 12% increase, especially for 82-83. By making these adjustments we would still have an unbalanced budget but it is at least a little more manageable. We are looking at still other ways of bringing the budget into a balance. One way is to reduce the compensation pool from the projected two points above inflation to one point above inflation with the hope and expectation that schools and

the colleges would be able to make internal adjustments and reallocations to yield an additional one percent, so that overall there would still be the 12% increase available for compensation.

"Another way is to explore alternative health insurance programs that would give us protection against major expenses but still provide a more favorable premium rate or, perhaps, alter the benefits so that the individual might carry a little higher deduction before expenses are covered, but still preserve a fine program in regard to handling major health expenditures.

"I've already mentioned that we feel that we can still further reduce the projected allocation for utilities in 82-83 and the years beyond when the full effects of our conversion to coal take hold and the hydro-electric power station is in place.

"Another factor or item that we've been wanting to dispose of but feel that we cannot is the two percent mandatory savings for academic units and the three percent savings for non-academic units. Theoretically such savings are not painful but having been a dean I can assure you that they are. In theory, at least, when you predict the expenditures you're going to have to encounter, with much of them tied to personal service, you realize that during the course of the year there will be resignations, unexpected retirements, leaves without salary and other forms of savings you could not predict ahead of time, therefore a savings accrual. At the same time, there isn't a unit that couldn't use the savings to buy a piece of equipment or to employ another lecturer or some other worthwhile thing. Of course, when the budget was formed it was not planned on and so yielding up a two percent saving should not be at the expense of

any planned program. However, it still denies flexibility. Moreover, as the budget becomes tighter and tighter, people budget closer and closer and sometimes these expected savings do not, in fact, materialize.

"The final adjustment that seems to be mandatory is to plan on increasing tuition by several percentage points above the rate of inflation. There is no way we can bring the budget in balance without tuition increases several percentage points above the projected inflation.

"In making these adjustments, I'd like you to note that several things held firm. The 15% increase per year for the library, the 17, 16, 15 percent increases for student aid, and maintenance of buildings at 12, 11 and 10 percent all remain as originally proposed. It was our feeling that all of these had to be funded or were currently underfunded and any reduction would be extremely difficult and would be damaging to the program.

"Making the modifications I've mentioned in income and expenditure projections bring us within shouting distance, at least, of a balanced budget. Unfortunately, a very sizeable problem we still must face is the demand which will occur on financial aid funds for the University. Federal funds will be cut to a degree that is greater than even the rather sizeable percentage increase we are planning. In fact the estimated gap for 1982-83 in our financial aid budget will be about two million dollars. There has been a great deal of talk about losing diversity at the University as a result of not having an adequate financial aid program. Let me emphasize that we intend to

continue to be aid-blind in arriving at admissions decisions. Putting it another way, we intend to base our admissions on the qualifications of the individual in terms of academic, special characteristics, and diversity in terms of geographical location, race, other socio-economic classes and so forth without regard for the ability to pay. We intend to have within our admissions pool, the same level of diversity that we have had in the past. But what then are we going to do about what appears to be a two million dollar short-fall of financial aid funds in 82-83? We haven't solved that problem. Ideally what we need is about \$20 million of additional endowment. Raising such a sum will not be an easy task but a potential donor has expressed an interest in a major gift for student aid. So perhaps, with more optimism than is deserved, we are not extremely depressed about the two million dollar gap in financial aid. Come next April I might feel differently, but right now, I feel that we can make it. Moreover, even assuming that a major gift is not forthcoming, there are still ways of meeting much of the needs of the students through developing financial aid packages to meet the particular characteristics of the individual student in terms of ability to pay and to handle loans and other services. Our financial aid packages have always been flexible so this is not new. Unfortunately, they may have to be more flexible than in the past. There are ways of achieving this, and I want to emphasize that we will continue to admit students without regard for aid and that we will attempt to continue the present practices in developing our financial aid packages. If this proves to

be impossible, we will adjust the aid packages in a modest way and with very much at the forefront the goal of maintaining the diversity in our student body that we now have.

"In summary, the financial needs of the University continue to exceed available income. The deans and the directors of support units are submitting detailed program plans for the next three to five years. We will be looking for ways of increasing inter-college cooperation with a goal of maintaining or improving programs at a lower cost. We are also asking the deans and the budget committees to review plans of the support units with the objective of finding ways of reducing expenditures in these units. There is no question that support costs have increased at a higher rate than costs in the academic units as far as general purpose funds are concerned. Part, in fact a very significant part, of the explanation for this is related to your tremendous success in obtaining outside grants and contracts which while increasing your budgets, have at the same time placed additional demands upon the various business and support units of the University. Nevertheless, we do not like to see the support costs going up without having them critically reviewed by the academic units to be sure that we are indeed as lean and as tight in these areas as we should be.

"We also recognize that the academic units are not being provided an adequate amount of general purpose funds. Fortunately many of the units are able to supplement University allocations with funds from outside sources in the form of grants, contracts, and gifts, and we certainly are most grateful for the contributions

of the faculty, of the department chairpersons, of the deans and many others in securing these outside funds. We only wish that all were equally successful or more successful in bringing in the additional resources we need. 82 and beyond will be difficult years with the federal cutbacks in research and aid to higher education. Private industry is becoming increasingly aware of the financial crunch Cornell and other private universities are facing. We undoubtedly will receive help from private industry, but the ground rules will be different. We are optimistic that appropriate ground rules can be established for greater industry-university cooperation. Also, we have a group of loyal and dedicated alumni who will continue their practice of annual and major giving. We have an excellent student body with a large number of able students seeking admission. And finally, certainly our greatest strength is the outstanding and dedicated faculty who make Cornell a stimulating and highly productive university in terms of research, scholarship, teaching and public services. With these important resources, the necessary dollars will be forthcoming, perhaps not easily, but they will be forthcoming. I try to say that with conviction. I'm available for questions."

Professor George A. Hay, Law and Economics, asked what percentage of the financial aid is purely scholarship as opposed to loan and whether consideration is being given to trying to retrieve scholarships by making students pay them back sometime after they graduate?

The Provost replied: "Assuming a total cost in the endowed units of \$11,000, for the average students needing aid

we expect a parental contribution including summer work of \$4,000. Of the remaining \$7,000 we expect \$3,000 of self-help, \$1,350 of work study money with one-half of the wages coming from the employing department and \$1,650 in the form of a loan from various sources outside the University. The final \$4,000 shortfall is made up from contributions of PELL funds, TAP funds and University funds depending on whether or not the student is a New York State resident. This would be all scholarship in the form of federal, State or Cornell University funds. As to what thought we have given to making this in the form of loans rather than direct scholarship, we are thinking about various possibilities. At the present time we're putting a \$1,650 per year loan burden on the student. Maybe that's not too much but next year with the best of situations, the self help will go up by probably at least 10% - the inflation rate. This means a \$50 or so increase in work study and that the loan component will go up to \$1,900-\$2,000, instead of \$1,650. Nationwide, experience has been that when the repayment burden exceeds 20% of the individual's discretionary income, there's a rapid increase in defaults. We've had a very good repayment rate at Cornell, but we do keep that general guideline in mind as we're talking about loan burden. There's also the feeling, and we're trying presently to assemble some information because it is merely perception rather than being based on any good data, that if we have to crowd more loan upon the individual to the point where the individual was committed to carry a loan burden approaching 20% of discretionary income for ten years, each time they wrote a check they would become

more and more hostile towards the University. Would they, therefore, be as receptive to annual giving as if we are able to keep the loan burden at a more modest level through a greater scholarship program?"

Professor Holcomb was curious about the rationale for increasing graduate aid at a substantially lower rate than undergraduate aid, in fact, at a rate that might well end up lower than the tuition rise. Also, are there any overall assumptions about levels of faculty and non-academic staff?

Provost Kennedy replied: "First, as to financial aid for graduate students, we recognize that there's a very serious need and that the projected amounts are probably not adequate. I want to reemphasize neither are the projected amounts for undergraduates, and we feel we have a few more opportunities to provide general support for graduate students outside of the direct scholarship program. This may be erroneous. We certainly would like to do better for the graduate students and indeed may find we will have to. Turning to levels of faculty and staff, we have been nearly constant, actually a slight reduction in faculty numbers University-wide. Some units have come down a modest amount, others have gone up. In several cases where reduction in faculty members has occurred, there has been an increase in the number of lecturers - part-time or full time. Very frankly, our count of faculty and staff at any given time leaves much to be desired. Peggy Ulrich-Nims, Director of Institutional Planning and Analysis, is working on this problem at the present time and has come forward with what appears to be, for the first time, rather accurate and reliable information. In

the past when we would tell a college you've gone up five faculty members or you've increased your lecturers by 10 or whatever, there was a knee-jerk reaction that our information was wrong. This time Peggy is going to each academic and support unit and saying here are the data we have - are they right or not, if not tell us what's wrong. Then we'll double check to see whether or not we agree. We have clearly grown in the number of people in support services. When you bring in \$100 million of research grants compared to \$50 million only a short time ago, even correcting for inflation, there are more people. There is a larger payroll in the academic units and it thus takes more individuals in payroll and in the controller's office. The question is whether we permitted growth in support units at a faster rate than we should. I don't know. I still consider myself on the academic side, so the first thing to do is to challenge that growth, and we intend to do that, but we also must be objective when we review it."

Professor Charles S. Levy, English, asked: "Am I correct in the impression that the salary program just outlined represents a drawing back from the 6% gap stopping program of which you spoke in May?" He also had another question relating to the statement by the Academic Affairs Committee of the Board of Trustees made in March from which he read the following: "Together with those institutions (that is sister institutions of the University) we hope that the University (Cornell) will move toward bringing faculty salaries to a level that restores them to the relative position at which they were fifteen years ago." And

from the rationale given: "We would deplore a return to the pre-World War II situation when a significant percentage of academicians necessarily had independent means. A means test for recruitment to the professoriate shortchanges the Academy and those who study in it." Professor Levy asked the Chair if there is a mechanism for including a full transcript of such a statement by an official body of the Board of Trustees in the minutes of this meeting for the circulation that that would provide?

The Chair deferred that question to the Dean of the Faculty.

Dean Greisen said there is no precedent for this. He noted that involved was a one page statement and it thus seemed in view of its brevity, it might be permitted to be entered into the record and be printed with the minutes. The Dean hoped he wasn't setting a bad precedent. If someone wanted to enter a lengthy document in the future to be included with the minutes, we may have to take up the procedural question in the body and vote on it. (The statement is included as Appendix A.)

Provost Kennedy replied: "Certainly we appreciate, encourage, and support the real and deep concern of the Trustees about faculty salaries. We're not at odds with that. To come back to your first point, are we pulling away from the 6% or 2% per year program mentioned in May? The answer is no. It is true that we estimated inflation to be 13% a year ago, but inflation rates were then somewhat higher than now. And I did emphasize today that we are hopeful that our peer institutions which currently have a more favorable salary level than we do will adjust their salary increases more in keeping with the rate of

inflation so that we will still have a 2% gain. I've already admitted that I'm not so naive as to assume that this will happen. We, therefore, may have to reconsider whether or not we can live with the 12%, 11%, 10% goals that we have for compensation over the next three years if our primary aim is to improve our competitive position. And it is. The second part of our plan is to emphasize to deans, department chairpersons, and through them to the faculty, that the University does not have the resources to do it all by itself. The easiest thing to do is to go ahead and hire people and let the University worry about the salaries. We feel that there has to be some effort on the part of the deans to make this adjustment and in fact that is exactly what is occurring in several of our schools and colleges and has been occurring for some time. We are saying that those who draw upon general purpose funds will have to carry a little heavier load in finding salary funds. Now let me quickly emphasize that I know how tight their budgets are, and therefore, that it's not going to be easy for them to find the 1% increase. It all comes down to that gap of a significant number of dollars and how to find them. I didn't see, as I mentioned last spring, too many helpful letters or other comments made about increasing tuition at still higher rates. I did have one or two letters suggesting that, but we feel that increasing tuition by more than a modest number of percentage points above inflation is not a tenable position in 1982."

Professor Levy said: "In the minutes of the December FCR meeting I made a statement on behalf of the Executive Committee of the AAUP which constituted a strong endorsement of a policy

of increasing tuition. That remains the position of the Executive Committee of the AAUP."

Professor John A. Nation, Electrical Engineering, noted that the Provost had suggested a figure of \$1,650 for student self-help. Professor Nation asked the Provost to discuss the impact of the reduction of federal and state loans in the light of projecting an increase in the requirement on students for obtaining loans.

Provost Kennedy replied: "The increase to \$3,000 self-help represented a 33% increase this year. It was \$2,250 and went to \$3,000. It is, except for M.I.T., the highest of the major private universities - Columbia joins us at \$3,000. To close that two million dollar gap we would have to jump from \$3,000 to \$3,850, \$3,900 or even \$4,000 of self-help. That is an enormous jump. As I indicated we are projecting an increase on the order of 10% to 14% as representing a possibility. That increase would be divided between work study money and loans. It would not necessarily be all loans. You probably are aware that the guaranteed student loan program has been under attack and that our people had to work essentially around the clock during the month of September so as to have all loans processed by the deadline of October 1. At present the guidelines are so generous that I am not sure any cutback will be felt by the most needy. There surely will be a tightening. Loans are a problem."

Professor Nation then asked the Provost if he saw any problem in the future with obtaining student loans of that magnitude.

Provost Kennedy said there is already a problem, but feels the problem will be increased only modestly.

Adjunct Associate Professor Peter M. Cohen, Architecture, asked if ways were being considered to reduce the stated two million dollar budget gap on financial aid without sacrificing the admirable objectives regarding diversity? Professor Cohen said he was thinking of a few years ago when the system accepted financial aid students first, and sometimes had lesser students accepted than some who were capable of paying the full tuition.

Provost Kennedy replied: "One of the alternatives we still have for not considering ability to pay is to say to some students you're admitted to Cornell, but if you need financial aid, we're sorry we don't have any. That's termed the admit/deny category. That is one of the options that we have talked about, but we are not giving serious consideration to it and I personally believe we can avoid it. I just can't categorically say we will not have admit/deny, although I'll come as close to saying it as I can. We are committed to maintaining the racial and economic diversity of our student body and any plan will have as one of the goals, maintaining that diversity."

Associate Professor Robert G. Bland, Operations Research and Industrial Engineering, said the remark was made that the decrease in the increase in the compensation pool to 12% from the previously announced 13% was a reflection of a lower estimate of inflation. Should that inflation estimate continue to decrease substantially, can we anticipate further adjustments of this kind?

Provost Kennedy said that that was a very valid question, and then elaborated: "Theoretically, if our other costs came

down we'd be in a position to do more on compensation. So I'd like to think that we could have as our goal to do better than the inflation rate. I want to re-emphasize that these are assumptions we are working with at the present time to see the dimensions of the problem. Those dimensions are considerable. We're struggling with how to come up with a balanced budget and to best meet all of the needs. To provide adequate financial aid and adequate compensation for faculty and staff are the two most important goals. But there is also the maintenance of the library, and a whole host of other needs that have very high priorities. So it's trying to make the necessary adjustments with available resources to best meet these various needs. Our primary objective is to be competitive with peer institutions, and if they do not adjust their salaries downward in relation to inflation, then we obviously can't make a gain if we adjust ours. I wouldn't rely too heavily on the 10%, 9% and 8% as being the inflation rates for the future. If Volker weakens, and so far he hasn't, and eases interest rates, a sudden spurt in inflation may occur. But I'm not an economist."

Professor Benjamin Nichols, Electrical Engineering, said he didn't know what the Provost meant when he said the health insurance costs went up by \$700,000, more than was expected or allowed for.

Provost Kennedy replied that in the year ending in 78, the cost for health insurance premiums was \$643,000, in 80, it was \$1,041,000, this last year, it was \$1,934,000 and in 82 it is expected to be \$3,080,000. The good news comes in 83 when it

is only projected to go up to \$3,696,000. The enormous increase in health insurance costs is staggering.

Professor Nichols asked if these increases had something to do with the particular record at Cornell.

The Provost replied that it did not. Rather it was due to a general rise in the costs of hospital and other medical fees. The Committee on the Professional and Economic Status of the Faculty will be looking at the possibility of finding a new carrier giving the same coverage at a lower cost.

Associate Professor Alan K. McAdams, B&PA, asked if the Provost would comment on the implications of the current collective bargaining for current and future estimated budget deficits.

The Provost replied he could not. Negotiations are underway, and it is very encouraging that an appropriate agreement will be reached. There will be a news release and other information at the appropriate time.

Assistant Professor Isabel V. Hull, History, asked how much money Cornell is going to allocate in the next budget to proceed with the case against the Cornell 11. The Provost replied he could not. Legal fees have been expensive, but it is not anticipated they will be as heavy in the coming year as they have been in the past.

Professor Hull asked the Provost if he could reveal what the figures were in the past.

Provost Kennedy said these fees have not been included as a separate budget item and he didn't have the requested information.

Professor Hull asked if it represented a large amount of legal expenses?

Provost Kennedy said that since he doesn't have the figures, he couldn't comment, but asked that Professor Hull give him a day or two and then call, and he would be glad to give her some information.

There being no further questions for the Provost and no further business, the meeting was adjourned at 5:42 p.m.

Respectfully submitted,

Joseph B. Bugliari, Secretary

COMMENTS ON THE CORNELL ADMINISTRATION'S POLICY ON FACULTY
AND STAFF SALARY INCREASES

The Academic Affairs Committee of the Board of Trustees wishes to endorse the policy for faculty and staff salary increases contained in the proposed 1981-82 budget and to commend the Administration for developing it. We feel that it is most important to set the level of increases, as has been done, high enough to continue to close the gap between faculty salary levels in the endowed colleges at Cornell and those Ivy institutions with higher faculty salaries. We also note and support the administration's goal of movement in narrowing the gaps between salaries in the statutory and endowed colleges at Cornell and between salaries in Cornell statutory - colleges and salaries at the SUNY campuses with which we compare ourselves. Finally, we support the goal of striving to maintain equitable and comparable salaries for staff as well as faculty.

We encourage the Administration to pursue an additional long-range goal concerning faculty salaries which goes beyond closing the gap that separates Cornell from some of its sister institutions. Together with those institutions we hope that the University will move toward bringing faculty salaries to a level that restores them to the relative position at which they were fifteen years ago. While academic salaries have never been comparable to those in the other professions, their position (in term of purchasing power) relative to salaries in other professions has eroded gradually in the past decade and a half.

This relative erosion exists even when allowance is made for the effect of inflation on professional salaries in general. We recognize that this goal cannot be achieved in the short term, it is a long-run target.

Our major reason for espousing this goal is the fear that the decline in the purchasing power of faculty salaries will accelerate the tendency for the best young minds to enter other professions than college-level teaching and research or to go into business and industry. We are concerned about losing bright young non-minority scholars from that group of students who are first-generation college attenders. The higher salaries of other professions, business, and industry are particularly attractive to this group of potential faculty. We would deplore a return to the pre-World War II situation when a significant percentage of academicians necessarily had independent means. A means test for recruitment to the professoriate shortchanges the Academy and those who study in it.

For the same reason, the trend to enter other professions is also found among minority undergraduates in very large degree and thus, by cutting the number of minority graduate students in the pipeline, it reduces the probability of even maintaining the present percentage of minority faculty, let alone increasing it.

For these philosophical reasons, we urge the long-run goal of restoring the purchasing power of faculty salaries.

We are aware of the financial implications of achieving the long range goals we endorse. Therefore, we encourage the

Administration to articulate a plan for developing the necessary new funding and reallocation of funds to support these long term goals.

March 26, 1981

December 9, 1981

110 Ives Hall

The Speaker, Russell D. Martin, called the meeting to order at 4:35 p.m. He noted that a quorum was lacking and thus he could only proceed to get some of the agenda items on the floor for discussion. He announced that Professor P.C.T. deBoer, Mechanical and Aerospace Engineering, has consented to serve again as Parliamentarian of this body.

The Chair then called on Professor John Windmuller, ILR, and Chairman of the Executive Committee, for resolutions concerning use of tape recorders and the taking of photographs during meetings.

1. RESOLUTIONS ON PHOTOGRAPHS AND TAPE RECORDINGS

On behalf of the Executive Committee, Professor Windmuller introduced the following resolutions:

RESOLVED, That photographing the proceedings during meetings of the University Faculty and Faculty Council of Representatives shall be prohibited.

RESOLVED, That tape recording of the proceedings shall be prohibited except for the records made under the auspices of the Dean and/or Secretary of the Faculty for archival purposes and to assist in composing the minutes.

The Chair opened the floor for questions and called upon Kenneth Greisen, Dean of the Faculty, for background information.

Dean Greisen said the early meetings of the FCR were all closed meetings, but that following a referendum on the subject

in 1975, the meetings have been held as open meetings. At the first such meeting on April 10, 1975, a *Cornell Daily Sun* photographer was asked to refrain from taking pictures and a WVBR reporter was told not to use a tape recorder at the meeting. This was done at the time on the authority of the then Speaker, Wolfgang Fuchs. Since this determination was not challenged, tacit approval could be construed to have been given to that ruling. A reaffirmation of that policy occurred in the following year, 1976, when then Dean Byron Saunders expressed some displeasure because of actions of media representatives at the discussions of the Ky incident. Again, the body raised no objection. Dean Greisen said he noticed at recent meetings that there was some activity again of taking pictures and using tape recorders. After consulting the Executive Committee, it was felt the issue should be brought to this body, not with any strong plea, but to establish a policy for future occurrences.

The Speaker indicated at this point that a quorum was now in attendance.

Professor John W. DeWire, Physics, stated that he wished to add the following sentence to the second resolution: "Access to the official taped record of the meeting will be granted by the Dean for purposes of legitimate inquiry subsequent to the meeting for as long as the taped record is preserved." He indicated that if this statement which was contained in the material circulated with the resolutions in the call to the meeting is part of the commitment, it would be best to include it as part of the resolution.

Professor deBoer wanted to know what was meant by "legitimate inquiry". Would that mean inquiry by reporters or the media?

Dean Greisen said that would have to be determined at the time. He could not imagine circumstances where anyone would be denied access to the record. What lies behind the limitation is the feeling that it might somewhat dampen freedom of speech in a meeting if people realized that anything they said might be heard the next morning coming over WHCU, for instance, without any editing at all and out of context.

Professor Benjamin Nichols, Electrical Engineering, asked if this is present policy, and Dean Greisen replied that it is a policy under which he has been operating but without direct authorization by the FCR.

Associate Professor Robert G. Bland, Operations Research and Industrial Engineering, gathered from Dean Greisen's comment that access would have to be restricted in that one could not record from the recorder. The Dean said that was correct.

There being no further discussion, the Speaker called for a vote on the amendment which carried unanimously.

The Speaker asked for any objections to treating both resolutions as one and received none. On a vote call, the resolutions were adopted as follows:

RESOLVED, That photographing the proceedings during meetings of the University Faculty and Faculty Council of Representatives shall be prohibited.

RESOLVED, That tape recording of the proceedings shall be prohibited except for the records made under the auspices of the Dean and/or Secretary of the Faculty for archival purposes and to assist in composing the minutes. Access to the official taped record of the meeting will be granted by the Dean for purposes of legitimate inquiry subsequent to the meeting for as long as the taped record is preserved.

The Chair now asked for approval of the minutes of the October 14 meeting. Receiving no corrections or additions, the minutes were declared approved as distributed.

The next item of business was a resolution on an amendment of the charge of the Committee on Academic Freedom and Responsibility, and the Speaker called upon Associate Professor Russell Osgood, Law, a member of the Committee.

2. RESOLUTION RE AMENDMENT OF CHARGE OF THE COMMITTEE
ON ACADEMIC FREEDOM AND RESPONSIBILITY

Professor Osgood said there are two major changes proposed. He stated: "The first change is that the old charge had the Committee towering mysteriously somewhere behind the Executive Committee of the FCR. A report would be prepared by the Committee, but be issued from the Executive Committee. The new charge makes it clear that it is in fact the Academic Freedom and Responsibility Committee's report. The second change is the provision for issuing a preliminary report, asking for comments and then preparing a final report embodying the comments received.

This, the Committee already does. A third minor change makes it clearer as to when and how the contents of the report may be made public, namely that the subject of a report can release the report once it becomes final if he or she so wishes and that the Committee or the Executive Committee can only release it under circumstances which would clear a person's name or if adverse publicity was received and the Committee wished to effect a clarification."

It was asked if a subject of a report revealed only part of it, would the Committee then be relieved of its requirement not to release it?

Professor Osgood indicated that the Committee would have to meet and decide if the part released constituted incorrect publicity that would have to be corrected by release of the whole text of the report.

Dean Greisen added that it would have to be agreed both by that Committee and the Executive Committee that release of the report is desirable.

There being no further discussion, the Chair called for a vote and the amendment carried unanimously as follows:

After reviewing a written complaint, the Committee shall prepare a written, draft report of its findings and any recommendations for action. Copies of this draft report shall be sent to the complainant, the other principals in the case (typically a department chairman and dean), the Executive Committee of the FCR and the Dean of the Faculty. All recipients shall be enjoined

to keep the draft report confidential and to return it promptly with comments or criticisms to the Committee. After reviewing these replies, the Committee shall prepare a final report which it shall send to the same people as the draft report and, when appropriate, to the President and Provost of the University. The grievant shall not be enjoined to keep this report confidential but other recipients shall be requested to do so. If, in the judgment of both the Committee and the Executive Committee, public release of a report, in whole or in part, would either clear an individual of charges damaging to his or her reputation or serve to clarify incorrect publicity, this may be done. A complainant shall be advised when initiating a complaint that such a public release is a possibility.

Dean Greisen was called upon by the Speaker for further amendment of the charge to this Committee.

The Dean stated: "In 1971, this body voted on the charge of the Committee on Academic Freedom and Responsibility and passed a rather long statement of the charge. Appended to the charge as part of it was a quotation of the Principles of Academic Freedom and Responsibility that were meant to be included in the record as part of the charge of that committee. The problem is that there was a misquotation in that the exact words approved were not the exact words of the statement of principles that this same body had ten years earlier agreed to. It was due to the fact that the quotation used did not take into account the

amendments proposed and adopted. What happened was that the principles utilized in the committee charge was the originally proposed resolution and not the finally accepted version." Dean Greisen continued: "To be specific, one of the responsibilities of the Faculty enumerated in the principles as originally proposed reads as follows: 'To observe the special obligations of a member of a learned profession and an officer of an educational institution to seek and respect the truth, to be accurate in expression, and to give consideration to the opinions of others'. In the debate at the meeting, amendments were made striking out 'to be accurate in expression' which is hard to define and hard to require, and also striking out 'and to give consideration to the opinions of others', thinking that that too is a difficult expression to give precise meaning." Dean Greisen said he was not asking for a formal amendment of the charge to the Academic Freedom and Responsibility Committee, but just consent of this body to correct what was an obvious error in transcription to conform the Committee charge to the Principles of Academic Freedom and Responsibility as finally adopted.

There being no objections, the Chair suggested that the Dean be permitted to correct the error. So ordered.

The Speaker again called on Dean Greisen, this time for a resolution to add student members to three FCR committees.

3. RESOLUTION RE ADDITION OF STUDENT MEMBERS TO
THREE FCR COMMITTEES

The Dean said: "I am presenting this resolution as chairman of the Review and Procedures Committee which is charged

with continuously reviewing the organization and procedures and committee structure of the University Faculty and FCR, and making appropriate recommendations thereon to the Faculty or FCR. The Committee on Academic Programs and Policies felt that its work would be improved if it had continuing contact with students in the course of its deliberations. The Faculty may be in charge of programs and policies, but they are applied to students. Student perspective is something the Faculty should know rather than just guess about. The Review and Procedures Committee thought that was an excellent suggestion, but broadened the question, thinking, perhaps, that other committees might also feel they would profit by the addition of students. A subcommittee was formed which made inquiries of all the FCR and Faculty committees. A good many of the committees felt that they would be hampered by the addition of student members and some committees already have student members, and that would not be changed. However, two other committees besides Academic Programs and Policies indicated that they wished to have student members - the Physical Education Committee and the Freedom of Teaching and Learning Committee. On the committees which currently have student members, new student members are selected by the incumbent committee. It is proposed, however, that the student members for these three committees be selected by the Staffing Committee of the Student Assembly."

The Chair indicated that Lois Ganz, a member of the Student Assembly, was present and available for questions.

Professor Joseph B. Bugliari, Agricultural Economics and B&PA, wished to point out that this resolution does have a

sunset clause - meaning that this body will have to renew it prior to June 1985 or students will go off these committees.

There being no further discussion, a vote was taken and the proposal adopted unanimously as follows:

RESOLVED, that the membership of the FCR Committee on Academic Programs and Policies, the Committee on Freedom of Teaching and Learning and the Committee on Physical Education be enlarged as follows:

In addition to the seven faculty members elected under procedures adopted by the FCR on December 1, 1971, and amended from time to time since then, there shall be two student members (of which at least one shall be an undergraduate) with voting privileges, selected annually by the Staffing Committee of the Student Assembly.

Reselection of a student for a second year shall be permitted. The first student members shall be selected in the spring of 1982 to begin service on July 1 of that year. No student members shall serve after June 30, 1985 unless the provision for student membership is renewed by the FCR.

The Chair requested unanimous consent of the body to go into executive session for the purpose of considering a proposal to be presented concerning the term of the Dean of the Faculty.

Professor Nichols asked why the body had to go into executive session.

The Speaker said this has been the policy whenever dealing with personnel matters.

Dean Greisen said that he would absent himself, since the proposal concerned him, and that all visitors at this meeting must do so also.

Professor Emeritus Byron W. Saunders, Operations Research and Industrial Engineering and former Dean of Faculty, said this issue arose during his tenure as dean. The primary reason for going into executive session on any personnel matter is simply to invite the media to leave because of the circumstances of printing remarks that might be made about personnel who are under consideration for whatever office might be involved.

The Chair requested that all, except Faculty members, leave the meeting. He then asked the body for unanimous consent for Professor Saunders, a member of the Committee on Nominations and Elections, to present the proposal regarding this extension. There were no objections.

Professor Saunders said the term of the Dean of the Faculty, according to the *Organization and Procedures of the University Faculty*, calls for an initial election and a three-year term. Professor Greisen was elected to that office for a three-year term starting on July 1, 1978, which ran through June 30, 1981. One year ago in the December 1980 meeting, Professor Saunders said he had the privilege of making a motion to continue Dean Greisen's term for one additional year which takes him through June 30, 1982. At that time he was not clear what his own personal plans would be, what his retirement plans would be or any other

circumstances surrounding his own career. When the Nominations and Elections Committee met this fall, Professor Greisen was asked by letter to respond by letter as to whether he had come to any conclusion regarding this matter and that it was the Committee's desire that he give serious consideration to agreeing to continue for the one more year which is allowed by the Faculty legislation. The Committee has now received his permission to present his name, and Professor Saunders repeated the motion he made one year ago, just changing the date slightly:

That this body in accordance with the legislation of the University Faculty, does invite Professor Greisen to continue in the Office of Dean of the Faculty for one more year to extend through June 30, 1983.

There being no discussion, on a vote call, the motion was adopted unanimously.

The Chair indicated the Provost was in attendance in case anyone had any questions to direct to him. There being none, the meeting was adjourned at 5:30 p.m.

Respectfully submitted,

Joseph B. Bugliari, Secretary

March 10, 1982

110 Ives Hall

The Speaker, Russell D. Martin, called the meeting to order at 4:34 p.m. with 55 members eventually in attendance. He called on Kenneth Greisen, Dean of Faculty, for his report.

1. REPORT OF THE DEAN

Dean Greisen said today's meeting was one at which the members would listen and discuss various matters, but not attempt to legislate them. At the April meeting there will be a few items of business requiring action by this body and he urged members to attend.

The second item the Dean wished to comment on was the exam schedule, which was distributed last week. It is no longer valid because of a slight error by the computer. The number of conflicts involved were in the thousands. A new schedule will be available for distribution on March 12.

The Speaker asked for any additions or corrections to the minutes of the December 9 meeting. Hearing none, the minutes stood approved as distributed.

The Chair next called on Associate Professor David C. Heath, Operations Research and Industrial Engineering, and Chairman of the Committee on the Professional and Economic Status of the Faculty.

2. INFORMAL REPORT ON POSSIBLE ADJUSTMENTS IN FACULTY BENEFITS

Professor Heath stated he had been asked to give an informal report on some of the deliberations that the Professional

and Economic Status Committee had engaged in concerning fringe benefits. He noted that the Chairman of the Committee for the previous semester was Professor Harold Bierman but that he did not feel that it was likely that he could persuade him to come and give this talk, since he has resigned from the committee, having been asked to serve as Associate Dean of the Business School.

He continued: "In considering fringe benefits, there seem to be two conflicting goals. One is to get as much net pay to the faculty and employees as possible, which in turn tends toward trying to have as many things as possible be considered fringe benefits because they then come out of pre-tax earnings. On the other hand, very few fringe benefits seem to be distributed equally among faculty members or in proportion to their pay. And thus questions of the fairness of distribution of the benefits tend to make you feel that very few things should be fringe benefits. We have tried very carefully over the last semester to think up fringe benefits which could be added which would be clearly in the interest of the entire faculty. There are a couple of items where that seems clearly to be the case, and we've suggested that these be added to the list of fringe benefits. One is the long term disability insurance which we all pay. I don't know exactly how it's calculated. It seems to be proportional to salary, roughly speaking. The premium is paid partially by Cornell but mostly by the employees and faculty. It comes to maybe half a percent of your salary. If it were paid ahead of taxes, it would net you maybe an additional quarter of a percent of your salary, which isn't very much but nonetheless

it's something which is essentially free. All these issues are, however, very complicated in that there are tax consequences for the people who receive the benefits if the entire premium were paid by Cornell. But even though the entire benefit would then be taxed, presumably the recipient would then be in a lower tax bracket and some of it is excludable, etc., so that it seems pretty clear that the entire faculty would benefit if Long Term Disability were paid as a fringe benefit.

"Life insurance is another situation. It seems pretty clear that it would be beneficial to the faculty if the life insurance paid for by Cornell were increased. Currently, according to figures by Gary Posner, Director of Personnel, about 80% of the faculty buy additional life insurance above the one-half times salary which is paid for by Cornell. Since it's hard to imagine that any employee of Cornell could be in a tax bracket where (by the time you count Social Security, the State taxes and Federal taxes) the incremental tax rate is less than the 35%, it would seem that the net pay of all faculty would essentially rise, if Cornell paid one times salary, up to \$50,000 (even if you felt that the 20% who didn't buy life insurance would get zero benefit). If Cornell were to buy more than \$50,000 in insurance, the premium paid for the extra amount would be taxable to the faculty member. Thus we have recommended that the life insurance be increased to one times salary up to \$50,000. These two benefits, it would seem to the Committee at least, would be desirable even if the money to fund them were taken straight out of the salary pool, because you're just giving less away to the government.

"Another benefit which is a little more controversial, perhaps, is the health insurance. Only about 72% of the faculty have family health insurance. As you probably know, the individual health insurance is currently paid entirely by Cornell. Cornell also pays about 65% of the family coverage, so it's heavily subsidized. Unfortunately, between this year and next, the cost of that program will rise about 35%. It did about the same thing last year. We were consulted about what fraction of that increase Cornell should pick up and what fraction should be passed along to faculty members to take out of their after-tax pay. We suggested, since there are 28% of the faculty who would not see any benefit at all in increasing the percentage that Cornell pays for the family coverage, that Cornell continue to pay the same fraction that they've paid in the past, i.e. that Cornell continue to pay entirely the individual coverage and pay 60 or 65% of the family coverage.

"Those all seem to be moderately non-controversial fringe benefits. However, we have still had a difficult time in selling some of these to the people that we need to sell them to. I'm not quite sure why. Apparently, it's likely that the health insurance will continue to be covered in the same percentage it has been in the past and at present, and although it's not certain, it looks as though the University will not pick up the long term disability and the life insurance. I believe they are still under discussion, so it could still happen.

"The hottest issue, which we've talked about for about two years, and which I've saved for last, is the Cornell Children's Tuition Scholarship Program (CCTS). As you probably know, if

children of faculty members attend Cornell, the faculty member doesn't have to pay the tuition. What you usually think of as tuition is composed of two things - tuition and fees - and I don't quite understand what the fees are, but they amount to 20% or so of the total. So essentially, it amounts to an 80% scholarship at Cornell, in the endowed units (considerably less in the statutory ones). The scholarship to students who go elsewhere is \$1000, which it's been, as I understand it, for 15 years. The effect of that \$1000 has clearly shrunk. This is one case in which inflation has helped the University a little bit - it has been a benefit which has been paid out in constant dollars. We feel that it is undesirable that the benefit is fixed in dollars and especially that it is fixed at \$1000, and we've looked at several alternatives. One alternative is to just leave the program alone, but then the disparity between the scholarship for a student who comes to Cornell and the student who goes elsewhere will get even worse over time than it is now. Presumably the \$1000 will eventually be worth nothing. Thus something has to be done or the program will just disappear for students who go elsewhere.

"Another alternative which has been suggested to us is that the program be eliminated altogether. If it were to be eliminated, I think it's commonly agreed that 'grandparenting' would take effect and thus those people who are currently covered by the program would remain covered. This seems undesirable to some of us, even though it isn't us we're talking about. It's new faculty members, if 'grandparenting' works. The faculty, I

think, really feel that they ought to be able to send their kids to college. It's a difficult thing to do on a faculty member's salary, and it's getting more difficult all the time. A lot of faculty do like the program and would like to see it continue even for new faculty. The deans whom we consulted seem to feel that the program is very helpful in recruiting people and that it is not unreasonably expensive. The cost of the program next year, if the program stays the same, will be about \$3.2 million according to the figures that Institutional Planning has given us. There are, however, faculty members who would prefer to see the program abandoned because of the unequal distribution of the benefits. The childless, dependentless person gets no benefit from the program, and a person with lots of children can get very large benefits. It's difficult to weigh the inequity question. There certainly are people, even among the faculty, who would like to see the program abolished.

"Another alternative would be somehow to raise the payment to students who go places other than Cornell. One suggestion has been that it could be raised to half the tuition of other places. Our committee has made a comprehensive proposal about rule changes in terms of waiting periods and how much the benefit should be. The committee proposal was that the benefit remain about 75% for students who go to Cornell, which is about what it is now, and that it be 50% for students who go elsewhere. Institutional Planning has calculated the cost of this program just for next year would rise by about \$1.3 million, which is 30 or 40% of the current cost, if the proposal of our committee were adopted. Presumably in the long run, more students will be

influenced by this change to go other places which may make the program cheaper, but for next year, many students are already here and they're probably not going to transfer if the program is changed.

"There has been a committee of deans formed to study this issue, and they seem to feel that half tuition for both students who go to Cornell and those who go elsewhere might be a fair compromise. If that were instituted, and if there were still 'grandparenting', then next year's cost would still be \$1.2 million higher than this year's cost because presumably most of the students who are here would continue here. But in the long run, it could lower the cost. There's even been some discussion, and I hate to report this because it's a difficult matter, of exactly what 'grandparenting' means. In other words, what is the current commitment to faculty members who are here and who are currently enrolled in the program. Is it a certain fraction of tuition and fees? Or is it tuition - where tuition and fees can be determined independently by anybody? I don't know that anybody really knows what it is. If there were to be set up two alternative programs, each one would have to be carefully defined and I'm not sure the current program is carefully enough defined that we would know what it was going to be.

"Those are some of the things we've been talking about. We've been talking about other things that relate to fringe benefits, but I won't take any more of your time now."

The Speaker opened the floor for questions.

Professor Heinz B. Biesdorf, Consumer Economics and Housing, said that at the time he started at Cornell a former colleague, now professor emeritus, showed him a letter asking for more equal distribution of benefits by some kind of a point system. Quoting from her letter, "while other people are getting faculty benefits for their children, she could park her car way into the 21st century."

Professor Heath replied that there are systems which work in that way. These are called "cafeteria systems". He stated: "A cafeteria system offers various different benefits together with points or costs attached to the benefits, and one can choose which benefits one wishes. Although cafeteria programs seem highly desirable, the tax status of such a system is not quite clear. It may be that the government will want to tax benefits if a person has a choice. There are also problems in terms of administering the program not only in keeping track of who chooses what but in educating persons about those choices. I believe that the Benefits Office right now has a difficult time explaining to people exactly what choices they currently have."

Professor Franklin E. Huffman, Modern Languages and Linguistics, asked what the current policy is on receiving CCTS benefits while a faculty member is on study leave or sabbatic?

Professor Heath said there is a booklet which has just been prepared on CCTS, available from Benefits. He said that he did not know, however, what the exact answer to this question was, and asked if anyone else knew.

Provost W. Keith Kennedy replied that during a sabbatic leave, the benefits are in effect. During a leave of absence

without salary, only one semester is covered.

Professor Jay Orear, Physics, said he believes that the IRS is more liberal on these things some years than others. Why isn't the Cornell University administration willing to take full advantage of it in those years when it is more liberal? If the University could give 100% scholarships and IRS would allow that at least during that period, why doesn't the University take advantage of it? The same applies to health and life insurance.

Professor Heath said he didn't know the answer to that question. Certainly the ups and downs would be hard to handle.

Dean Greisen indicated that he wished to answer a portion of that question. He stated: "With regard to the taxing of the CCTS benefit, it hasn't been that the IRS has been on and off. They have not taxed it yet, but the Counsel's office says that it is a matter of hanging on by one's teeth. The legal basis for having it untaxed is not very secure. IRS made an attack last year on all fringe benefits as to their tax liability. Fortunately many large corporations, not just educational institutions, would have been seriously affected by that development. To reply to Professor Orear's other question about the University going as far as it can in figuring the net saving to all for the same total expenditure of money, of the people present at this meeting certainly not more than 5 or 10% know what their total compensation is. For example, a few years ago the University picked up the single medical coverage, which was an increase in fringe benefits amounting to a substantial

expense to the University as health costs rise. Do employees really want to have the benefits paid for by the University and will they remember that it's part of their salary, or do they just pay attention to the fact that their net pay only goes up by a small percentage?"

Professor Heath said the Committee on the Professional and Economic Status has asked the Benefits Office to send out to each person a statement of exactly what his or her fringe benefits are. This is not a very costly process, and it's done at many other places. It seems to make sense that people really notice when they compare one job to another or one salary to another, what it is they're getting here. Also people apparently don't pay much attention to exactly what their fringe benefits are, and may therefore select inappropriate levels for some voluntary expenditures.

Associate Professor Alan K. McAdams, B&PA, asked if people could be informed as to whether a fringe benefit is before tax and also is one in which the whole community benefits. If it's a matter of people not understanding that they're better off under these conditions, they should really be informed.

Professor Heath agreed that an effort should be made to inform people exactly what the benefits are.

Assistant Professor Barbara L. Peckarsky, Entomology, asked if the committee has considered tuition waivers or scholarships for spouses?

Professor Heath said it has been discussed. One of the difficulties even with CCTS is that the definition of a child is not clear. The definition of spouse would seem to be even

less so. Anything which increases the total cost is going to be hard to sell. The Committee did not talk about it very much, but he invited those who had feelings about it to contact him in writing.

Professor Orear said he gathered from Dean Greisen's answer to his question that he suspects that the faculty as a whole might not want these full tax-free benefits. He asked Professor Heath if his committee would consider a faculty referendum asking whether the maximum benefits would be wanted or not. Professor Orear said his guess is that the faculty would vote overwhelmingly, yes.

Professor Heath said some of the benefits are inequitable, the CCTS benefit being one of them. Those with no children understand that average salaries are lower because of the CCTS program. Professor Heath said he wasn't sure what questions to ask on a referendum, but invited Professor Orear to discuss any ideas he might have with him.

Professor Louis J. Billera, Operations Research and Industrial Engineering, asked to what extent would spots occupied by faculty children be occupied by students from outside not receiving financial aid?

Dean Greisen said the estimate of cost depends on the fact that we do have quotas and we still have plenty of applicants to fill all of the available positions. If we didn't have our own children here, they would be filled by other students. Any replacement students who came in would be eligible for the same distribution of financial aid as those we're admitting anyway.

The Chair thanked Professor Heath for his report and then called upon the Provost, W. Keith Kennedy, for a report of likely features of the 82-83 budget and faculty salary improvement program.

3. 1982-83 BUDGET AND FACULTY SALARY IMPROVEMENT
PROGRAM

Provost Kennedy began: "First, a brief update on the 1981-82 budget. It does look as though there will be an excess of income over expenditures for this year and we've had no end of suggestions on how to spend the extra money. There are a couple of cautions that I have to emphasize. Unrestricted annual giving may be down this year, anywhere up to \$800,000. We don't anticipate it being that large a drop but it could certainly be in the neighborhood of \$400,000 to \$500,000. We did not have the extra giving at the end of the year that we anticipated with the change in the tax laws. The uncertain economy was probably one of the factors. Another downward pull or demand against what might be called excess is in the distribution of indirect costs on salary recoveries to the units. That doesn't mean that money goes out of the system but rather that it is not available for use by the University Administration. To explain that more fully, you will recall a couple of years ago there was pressure on the part of the University to increase the amount of salary recovery obtained from grants and contracts. Neither the investigators nor the deans were very anxious to move along that route as long as there was no benefit. So we agreed that any salary recovery could remain with the schools and colleges. That was applauded for a few moments, and then

the investigators and the deans realized that we were still collecting overhead on the recovered salaries. This decreased their incentive to include after salary recovery in grant requests. So in a moment of generosity or foolishness we said we will not only return the salary recovery but also the indirect costs on that salary recovery. You collectively seem to be doing very well on salary recovery and as a result the amount of salary recovery is greater than estimated while the total grants are not. Therefore, the total indirect costs remain as estimated but the amount distributed back to the schools and colleges probably will be about \$200,000 higher this year. Again, that's good money and it's available to the schools and colleges but not to us.

"There are other areas that we see in using this so-called excess. I should point out, however, that until the fiscal year is over, we don't start spending the money because it's still all based on projections, not a realization. One such expenditure would be the completion of the biological sciences building, costing about \$200,000 more than anticipated. I quickly rise to the defense of the people on that expenditure. We tried a system of fast tracking. If you'll remember the *Cornell Sun* said the second floor was going to be built before the foundation was put in. However, we weren't able to fast track it that rapidly. It was a matter of completing the drawings and working with a construction manager ordering steel, moving ahead with construction long before the final drawings were ever completed and submitted for the usual round of bids. With the rapid inflation cost we keep being assured that we have saved at least a million dollars

on that building, but needless to say there have been many anxious moments because we never knew what the final cost would be. When you view the square footage in the building and the cost, it looks like we made a wise decision to 'fast track'. Nevertheless, it looks as though our final cost will be some \$200,000 higher than our last estimate.

"Another area scheduled for improvements is Uris Library to the tune of approximately \$115,000 above currently available allocations.

"We also have several Life Safety projects: Tjaden Hall, Sibley Hall and Wing Hall for a total of approximately \$100,000. We hope to provide another increment of funds for library acquisitions. We wish to continue the renovation of Rockefeller and Goldwin Smith Halls and we intend to set aside one million dollars for emergency loans to students to offset the drastic cuts in financial aid. Again, all of these must be viewed as very tentative until the outcome of the fiscal year is known.

"Now let's turn to 82-83. What are the priorities? One is to keep the tuition and other costs as low as possible and still meet other pressing needs of the institution. Ideally tuition would be kept at roughly the rate of inflation. We also plan to improve the salaries of faculty and staff in relation to peer institutions. We also will try to continue to meet the financial need of all of our students. We want to allocate additional funds to the library system to begin the restoration of its strength to the level that we enjoyed in the late 1960's and early 1970's. We need to continue the renovation of outmoded

facilities including the replacement of outdated and worn out equipment. Finally we hope to have a modest pool of funds available for the improvement of academic programs, such as the writing program, the training of TA's, and many other items.

"Now what are the realities? As much as we'd like to keep tuition low it looks to us as though it will probably increase by almost 14%. We hope to hold it under 14% - but that is very much contingent upon whether or not there is a decrease in what is known as the Bundy money or state aid to higher institutions. I'll come back to that in a moment.

"The compensation program will be increased by 12%. We are projecting an inflation rate of about 8%, and thus there is a sizeable increase above the rate of inflation for compensation. I have to emphasize however that approximately 1.3% of this increased compensation will be to cover the increased costs of fringe benefits, primarily health benefits. These costs have increased enormously and we either pass them on to you or we pick them up. And it's going to cost about 1.3% out of the compensation pool. This salary program for the endowed units is certainly far more attractive than what the statutory colleges have experienced in 81-82, or currently expect for 82-83. The state is proposing a 9% salary improvement program. That doesn't sound too bad, but it certainly is not as good as the 12% in total compensation or the net salary increase of 10.7% for the endowed units. But that's only part of the story. In fact, that's the favorable part of the story. The state is also talking about having a mandatory salary deferral program. Under this

program an employee will receive his or her paycheck one day late for the first pay period, two days late for the second pay period - these are working days - three days late for the third period. In other words, for ten pay periods, an employee will receive nine paychecks instead of ten. The good news is that when you resign or retire it is paid to you at your salary level at that time. Thus it is mandatory deferred compensation. If you don't need the money it isn't so bad. For many it is a loss of much needed current income. We are attempting to have Cornell faculty and staff excluded from the 'lag' salary program.

"We intend to increase financial aid from the general purpose funds by 18%. This is not adequate to meet the cutbacks that are projected in federal funding but we think it will at least provide a reasonable package.

"Funds for library acquisitions will be increased by 13%. I don't know what the rate of inflation on library materials will be in 1982-83. They have been substantially above this level, and so at best we will probably hold our ground with the 13% increase in acquisitions.

"We will have at this time a very small pool of uncommitted funds which will be available for supporting selective programs assuming that there are not some other losses. I mentioned the Bundy money because we do receive a sizeable amount of funds from the State of New York to the endowed units, and there is before the legislature a proposed cut in the Governor's budget that would bring about a million dollar reduction for Cornell - \$300,000 to the Medical College and about \$700,000 to Ithaca.

There's another dark cloud and that is a cutback in the indirect costs paid by NIH. They have proposed that instead of paying the agreed-upon NIH indirect costs, that they'll reduce it by 10% or only pay 90% of the indirect costs. That would represent roughly a million dollar reduction to the University. So you can see there's hanging over our heads about a 1.7 million dollar loss as far as the Ithaca campus is concerned. We are rather optimistic that the Bundy money will be restored. I really don't have a good assessment in regard to the indirect costs from NIH.

"Well, that is the situation. I'll be pleased to answer any questions that you might have."

The Speaker opened the floor to questions.

Professor Yervant Terzian, Astronomy, asked if the Provost had any idea what peer institutions were doing for their faculty for next year?

Provost Kennedy replied: "No. At the last meeting that I had with the provosts of the large universities - Stanford, Chicago, Harvard, Yale, Princeton, Columbia, Cornell - MIT was not able to attend the meeting - each of them said they were behind their peer institutions in salary adjustments and intended to try for a 2% above the inflation rate increase. That was in November. We will be meeting again at the end of March and I'll be interested to see what the statements are then. But 2% above the inflation rate appeared to be the going signal."

Professor Robert Zall, Food Science, asked what kind of reply might the Provost give to the state people in making so generous a proposal?

The Provost replied he wished he knew exactly how to reply. "We're trying to emphasize the desirability of maintaining equity on the Cornell campus in that all of our employees, faculty and staff, are employees of Cornell University, not the State of New York. We hope that this can be taken into consideration, but it's complicated. The effort to get an exception is complicated in that at the same time we are trying to secure a special adjustment for the faculty in the statutory colleges on the ground that over the past we have gradually slipped behind the salaries at the state university centers by a significant amount. In fact on the average it's \$1500 less, and we are not prepared to yield in any way that the quality of the faculty of university centers is equal to, let alone superior to, the faculty at Cornell. At the same time as we are trying to press for this special consideration for additional salary increases, this deferred proposal comes along and we must ask how many times can we ask for an exception. Certainly if I had to make the trade-off between getting a significant increase in the base salary versus having to have deferred compensation, I'd go for the increased base salary. If you feel otherwise, tell me right away because this is going to be our position. We are still going to try to press for special consideration. We'll also talk about and discuss the unfairness of the deferred salary plan. It's not easy to muster compelling arguments because I think if you were in Albany you would not appreciate hearing repeatedly that Cornell is different and thus should not participate in cutbacks, 'lag' salaries, etc."

Professor Billera said over the years it appears that tuition and financial aid increases are more important to the Administration than faculty salary considerations. What measures of faculty discontent might it take for the Administration to consider that this is an important topic?

Provost Kennedy said salaries were placed high on the priority list last year, adding that in the end the University didn't do as well as it would have liked. The Provost continued: "I didn't see many faculty members helping me out last year when there was the outrage on the tuition increase, which was, in terms of absolute dollars, not out of line with peer institutions. It happened to be high on a percentage basis because we had been lower in absolute level. This year in looking at other institutions, we think that we are pushing the tuition up at a rate comparable to other institutions and it appears to us as of the moment that our salary improvement program will be significantly better than both the private and many of the public institutions. So I think we are going to make headway this year. It still is a high priority, but a cutback of \$1.6 million in financial aid poses problems. Are we going to the admit-deny scheme? We're going to have self-help packages this year of probably \$3200, \$3700, and \$4200. (Note the size of the self-help component of financial aid has been changed since FCR meeting.) That is what the student has to provide during the coming year. In addition they have to come up with summer earnings. Of the academic year self-help, about \$1350 is expected to be derived from work study, and the rest from loans. Again, if we can round \$1350 to \$1400 for those receiving a \$4200 self-help

package, that requires \$2800 a year in loans. Certainly we hope that we are listening closely to the students, but I don't think we are listening only to them. There is no item collectively that I hear as much about from faculty, including salary adjustments, as I do about the space problems. Many people may be satisfied with the space they're in, but I haven't heard from them. The laboratories are out of date and there's not enough space. Retaining an outstanding faculty depends upon having adequate library facilities, and adequate at this institution means very, very good library facilities, adequate computing facilities and modern laboratories. Thus while salaries are important, also the facilities are, and we're always trying to balance these conflicting priorities."

Professor Billera asked to what extent the administration tried to direct alumni giving towards the University's real needs?

Provost Kennedy replied that top priorities for annual giving and major gifts are: compensation for faculty and staff, financial aid and increased support for the library.

Professor Mary Beth Norton, History, said the History Department is concerned about the situation of the libraries and that she was concerned by the Provost's statement that the increase will only amount to 13% as opposed to what they have been getting - 25%. Inflation is going to catch up.

The Provost said he agreed with her and personally would like to allocate appreciably more money. An extra \$200,000 was put into the library this year. He said the administration is hopeful that another \$200,000 would be allocated at the end of

this year, thereby raising the increase significantly. An advisory council has been formed for the library - not to advise, but to raise money.

There being no further questions for the Provost and no items of business to come before the body, the meeting adjourned at 5:35 p.m.

Respectfully submitted,

Joseph B. Bugliari, Secretary

April 14, 1982

110 Ives Hall

The Speaker, Russell D. Martin, called the meeting to order at 4:35 p.m., with 58 members in attendance. The first item of business was the approval of the March 10 minutes. There being no corrections or additions, the Chair declared the minutes approved as distributed. He then called on Kenneth Greisen, Dean of Faculty, for a motion to change the order of the agenda.

Dean Greisen asked that item 5 - introduction of the Institute of Biotechnology - be moved to position two on the agenda, following approval of the Slate of Candidates. He indicated that because of the nature of this item and the need of a subsequent meeting to take action on an appropriate resolution, it is important that this item be addressed today, and that if the other items are delayed until the next meeting, they would not suffer as much as the Biotechnology item would.

Dean Greisen's motion was seconded and subsequently adopted.

The Chair next called on Dean Greisen to present a slate of nominations for approval.

1. APPROVAL OF SLATE OF CANDIDATES

Dean Greisen said that before seeking approval of the Slate which was sent with the call for this meeting, the Speaker would give opportunity for further nominations from the floor.

There being none, the Slate was approved (Appendix A, attached).

The Chair again called on Dean Greisen for comments regarding the preliminary report on the proposal to establish an Institute for Biotechnology.

2. PRELIMINARY REPORT ON INSTITUTE FOR BIOTECHNOLOGY

Dean Greisen said he wished to explain the procedural aspects of the review by this body. The Dean stated: "About a decade ago, the Deans' Council adopted a policy that required any new centers or programs to be studied by a committee of the FCR, namely the Committee on Academic Programs and Policies (CAPP), after which that committee would make a recommendation to this body. This particular proposal has only recently been introduced to the CAPP Committee. It has had one meeting on the subject with several others planned. Accordingly this introductory discussion is being held in order to raise issues and thus instruct the CAPP Committee with respect to any possible modifications or clarification. Professor Gordon G. Hammes, Horace White Professor of Chemistry and Biochemistry, has agreed to make the introductory remarks."

Professor Hammes began: "I appreciate this opportunity to give the preliminary introduction to our proposal for a Biotechnology Institute. Actually, there is a group of faculty here to answer your questions - Professors Shuler, Zaitlin, and Srb. In addition, I'm sure Don Cooke is sitting somewhere in the back to answer any administrative questions that might arise. I only want to take a little time, so you really have time for questions, and I don't want to go over the documents that have been sent for this meeting. I want instead to give you a little

historical perspective into what gave rise to this proposal and then give you a few broad philosophical sorts of questions that are not appropriate for the document that was sent out but nevertheless are appropriate for your consideration.

"The idea for this proposal really started out about a year ago in Plant Science when a small group of faculty sought out support from industry for specific research related to the area of biotechnology. This would not have been an institute but would have been really an industrial grant of which there are already large numbers at Cornell. However, in the course of discussing proposals with various industries, it soon developed that it would be much better to have a broader attack on the problem and that there was a great deal of interest within Cornell and apparently at least within a limited number of industries for such an approach. At that juncture, Don Cooke convened a small group of faculty and administrators to decide whether it was worthwhile considering this idea at all. At that preliminary meeting which was last fall, it was decided to go ahead and discuss it further. Then just this last February things started in earnest when a group of 35 faculty spanning five different colleges were convened. This group which represented a broad sweep across Cornell was asked whether the University should consider setting up a Biotechnology Institute. I should mention at this point that not only was this group very broad and diverse in spanning a wide range of interests at Cornell, but many of the people in this group, unfortunately including myself, stand to benefit very little if at all, directly from

having this Institute. Nevertheless, all of us were interested in this problem, and the question was asked whether the University should proceed. The conclusion that came out of this meeting was 100% enthusiasm for the idea of creating a Biotechnology Institute. The reason for this enthusiasm is severalfold. In the first place, Cornell is really very unique in that it has a diversity that is absent at many other institutions. We have a Veterinary School, we have Colleges of Agriculture and Engineering, and we have all the basic sciences. For this particular problem of biotechnology, all of these interests are necessary in order to create a really first-rate institute. Therefore, we felt that Cornell could create a major institute that would immediately have a visibility on the national and international scene and would be something unique. Furthermore, it was quite clear in talking to other faculty besides these 35, that there was a great deal of interest across many different disciplines at Cornell for the creation of such an institute. Finally, and by no means last, it seemed that the time was right to get major industrial support for such an endeavor.

"The way we decided to proceed was to split this group of 35 people into three smaller subgroups to plan how we would go about setting up an institute. In doing so, we decided we would proceed to set up the institute the way we, the Cornell faculty, felt was the best possible regardless of who was giving the support. Thus this proposal for creating a Biotechnological Institute is independent of those who will supply the support,

although of course we do intend to seek major support for it. These three groups then wrote various documents - lots of paper was generated - and the end result is the one circulated for this meeting. We tried to create both administrative framework and scientific perspective for this Institute. The most important feature of this Institute from our viewpoint was that it should be an Institute that was controlled by Cornell scientists. If you read the documents, you can see that in all the administrative structure, Cornell people would be the dominant group. Moreover, any funds that were solicited and received would be put into one central pool and the allocation of funds from this pool would be decided by what we call the Administrative Board which is composed of Cornell scientists. The scientific thrust of the Institute also would be decided by this same board. Thus both the allocation of funds and the scientific thrust would be controlled by Cornell faculty. The principles governing research and the standards of research would also be those that are accepted at Cornell. There would be no secrecy. Everything would be free and open. That was certainly the main philosophical input into the creation of the documents you've seen.

"Now what's in it for Cornell? Why should we set this up? I think I've already given you the answer to that, of course. There is widespread interest and there is no question that with establishment of this Institute, we would promote tremendous interdisciplinary interactions that would extend across many fields. We would also create what I think would be a unique institute in the world. Furthermore, with the creation of this

Institute, we think we would have a major vehicle for which it would be easy to get support. Now this would hopefully mean major input of money into Cornell, which would expand research facilities. It would of course contribute to the overhead base and in my experience any expansion in the overhead and influx of funds invariably filters down to everybody in the University - the library would be a little better, and so on. Cornell really has a lot to gain by this. The question you're going to ask is what is it going to cost? From my viewpoint, I see very little cost to Cornell. All of the funding for the research would come from external funds as it does now. All faculty appointments would go through the departments as they do now. There would be no net increase in faculty. What would be done - if sufficient funds are obtained - is to allow the pre-filling of retirements by departments to generate some new faculty in this area and of course there would be increased support for graduate students and postdoctorals. So I really see no major cost to Cornell other than time and energy.

"You are going to ask the question, if we're setting this up as an Institute at Cornell controlled by Cornell scientists, why should industry at all be interested in such an idea? The answer to that can only come from people that we've consulted in industry. The answer they've given is that it's clear to them biotechnology is going to be of major importance on both the research scene and the industrial scene for many years to come. They sort of got caught with their pants down in this latest thrust in that they really weren't prepared. Many of them have

very little going on in this area, and they would like to have something going on in this area. The way it was described is that this Institute would provide a window for industry to be at the forefront of research in biotechnology. That's one benefit. The other more tangible benefit is they would have the opportunity of sending their personnel to the Institute to work on research in the laboratories of faculty members. Finally, by having such an Institute, we would be generating graduate students and postdoctorals who would go through the program and could be hired by the industries. I should emphasize that at this point there have been no commitments either on our side or on any industry's side. But it's clear that they seem to think the way we were setting this up was reasonable and they are very interested.

"Obviously, I have great enthusiasm for this Institute. I'm convinced that it would be a great benefit to Cornell and I think we're setting it up in a manner which is the way an academic institution should go about setting up such an institute - unlike many things you read in the paper about things being set up at other places. Let me stop here, I'm sure there are lots of questions and I'll be happy to answer what I can. My colleagues will also be happy to answer questions."

Dean Greisen said one of the most important supporters of this proposal was unable to be here today - Director Robert Barker, of the Division of Biological Sciences. Because of that, he sent a message to this group, which was available at the meeting (Appendix B, attached).

The Chair asked those speaking to identify themselves by name and department.

Associate Professor James M. Burlitch, Chemistry, said he didn't see in the documents, any way in which to get the researchers together to work in reasonably close proximity to one another and share techniques and ideas. He wished to know the thinking along those lines.

Professor Hammes said: "There was nothing in the document because there is nothing definite. It's clear that all feel that eventually a building would be needed to house the Institute. And of course money would have to be raised for this building, and we would be expected to do that."

President Frank H.T. Rhodes said that we would expect that if this Institute is approved and if it succeeds, there would probably be some building needs. It would be expected that there would be various ways of raising funds for that - industrial, gifts from foundations, state support, etc., or go to long-term debt.

Assistant Professor Isabel V. Hull, History, asked who would get the patents that come out of this research?

W. Donald Cooke, Vice President for Research, replied that all the patents would be owned by Cornell University.

Assistant Professor Francis C. Keil, Psychology, had a question about the confidentiality of the research. "The document talks about freedom of transmission inside to the college, does that mean that any discovery would immediately be able to be published in journals, i.e. there would be no restriction whatsoever?"

Professor Hammes replied: "Absolutely, and the companies are perfectly happy with that."

Professor Howard E. Evans, Anatomy, said: "The final summary reads: '...Through the Institute, corporations will have the opportunity for collegial relationships with Cornell scientists and be partners with the University...and from this, corporations will be able to enhance their own basic...programs...' The question that arises is, will other companies be able to enhance their programs as well? In other words, what kind of allegiance will the faculty feel they have or will they be free to discuss their results? In past arrangements, this hasn't been possible."

Professor Hammes replied: "That is certainly a point they thought about - and an important point. This is basic research - not applied research - and the companies talked to seemed perfectly happy to go with the idea that everything would be free and open and publishable immediately. Without this safeguard, the whole idea becomes untenable."

Professor Richard N. Boyd, Philosophy, said: "I'm worried that the Executive Board will include representatives from no more than five sponsoring companies. What special relations will exist with those companies? What does this mean in terms of cutting off access to more corporate funds by limiting the number of those participating? Why didn't you go with the model of appointing distinguished people from industry to help oversee this program, then solicit funds from industry quite broadly?"

Professor Hammes replied: "The model Professor Boyd proposes is certainly feasible. There are not five industries

we've selected yet. The number five was chosen arbitrarily. In order to make it work, a small number of industries were needed to put in a lot of money. We are anticipating a commitment of 8 million dollars from each one over a period of 5 years. There are not many industries willing to do that. It was decided it would be better to get a large block of money from a few industries, than to go out and get small amounts of money from lots of industries."

Associate Professor Keith Moffat, Biochemistry, Molecular and Cell Biology, asked what the impact would be upon current departments if faculty were to transfer their research attentions to the area represented by the Institute?

Professor Hammes replied: "In the first place, all appointments have to go through departments. These people who are members of the Institute are not going to be special faculty. They're going to have the normal teaching load that goes with any normal department member. Their loyalties in that sense will be to their department. The model taken for this Institute was the Materials Science Center. It has a very similar mode of operation - it draws people from different departments. Even if a building were built for this Institute, there's no way that everyone associated with it could get into that building. It would have a lot of central facilities and some research laboratories, but couldn't possibly house everyone on campus interested in being a member."

Associate Professor Frederick C. Gouldin, Mechanical and Aerospace Engineering, said he finds it difficult to see how an

Institute that's spending \$8 million a year and is dependent on the faculty to carry out the research would not - at least in a de facto way - have quite a bit of influence over faculty appointments.

Professor Hammes replied that as structured, it is envisaged that all these appointments will go through individual departments. The departments themselves will have the say as to whether they choose to go in this direction or not. There, of course, would be some influence, but the MSC budget while a little less than this, is within the same order of magnitude, and he didn't think that really happens.

Professor Gouldin said he thought there was a difference in that the MSC is funded by the National Science Foundation. In this instance the funding would come from industry, and there might be slightly different goals and compromises that might be forced on people to have a more applied kind of research and to meet certain research goals.

Professor Hammes replied, no. The money would be given to Cornell, and administered through the Board to people doing basic research. The scientific goals are set by the Scientific Administrative Board which is still dominated by Cornell faculty.

Professor Gouldin said he still did not have a satisfactory answer. He is not worried so much about the start, but once you have an edifice and an organization with so much momentum, you would be very tempted to take comparisons in your initial goals as industry puts pressure on you to change your program.

Professor Watt W. Webb, Applied and Engineering Physics, said: "I think two points are slightly confused here.

Professor Moffat's concern was that the departments would be gutted, and the response to that was that the model is the Materials Science Center. The Center has not gutted the departments. Rather it has provided funding and support in a way that has allowed the departments that are involved in the material sciences to grow and become stronger. Research programs are indeed controlled by an internal executive board and internal faculty through an executive committee on which I am a member. At the time the Center was founded, it was not funded by the benign National Science Foundation, but rather by the Department of Defense - a mission oriented agency, and yet the model was consistent with the objectives of that agency. It also appears that it is quite consistent with the objectives of the group of industrial firms that are contemplated to fund this center."

Professor Edgar M. Raffensperger, Entomology, said:

"I am confused about another facet of this proposal. It seems there is an implication that scientists from industries would come here and work in the Institute. Will those people be appointed through departments? Will they be considered faculty members in a department?"

Professor Hammes replied: "The answer is that they would have to be appointed by departments, but they would not have to be appointed as faculty members. They would be in much the same status, as many people are now, of visitors coming from other universities or coming from industry who receive various appointments from departments - usually not faculty appointments. They would be short-term appointments of a year or two, and they'd have to be paid for out of research funds."

Professor Raffensperger asked if the departments would have a role of approving or selecting the visitors that came?

Professor Hammes replied that this was correct. He emphasized that no visitor would be able to come unless a Cornell scientist says, "yes, I'm willing to have this person come to work in my laboratory".

Associate Professor Mary Beth Norton, History, said: "One of the key points in this proposal is that Cornell scientists would be in control of everything, i.e. through the Executive Board. As I read the make-up of the Board, only four of the 14 members would actually be Cornell scientists. That doesn't sound like a controlling interest."

Professor Hammes replied that there are also the deans.

Professor Norton said that they would not necessarily be scientists.

Professor Hammes said: "The Administrative Board is envisaged as allocating the funds and the Executive Board would look over the whole budget and approve the budget - not much different from the way the University works. Our administration determines budget allocations but the approval goes to the Board of Trustees. So the Administrative Board is really envisaged as the working board."

Professor Norton said: "I then find the language of the description of the Administrative Board's duties not as strong as I would like to see it, i.e. a phrase such as advise and assist, or develop policies, rather than determine the policies. If it is meant to determine policies, it should be so stated."

Professor Hammes said the language could certainly be changed. He didn't feel there was any difference in practice between what Professor Norton was saying and what he was saying. The language was drawn up rather carefully.

Professor Boyd said: "Not only on the Executive Board where representatives of companies are present, but on the Scientific Administrative Board which will make the research decisions, there will be visiting scientists from each of the participating corporations. How essential is that in terms of the relationship you have with the various corporations that might participate? Suppose this faculty were to prefer that the companies that participate have representatives on the Executive Board but the Scientific Administrative Board be drawn entirely from Cornell faculty. Would that render this proposal unacceptable to the industries from which we would anticipate receiving funding?"

Professor Hammes said he couldn't answer that question. It would have to be answered by them. His own personal feeling is that it would be important to have the input of scientists from industry to get their viewpoint as to what they think is important in science to be done. And that's why they were put on the board.

Professor Boyd asked if it was correct that advisers from industry could be chosen without necessarily being one from each funding corporation?

Professor Hammes replied that was true. "The fairest and most politic way was to give each company a representative - there still being far fewer of them than Cornell scientists.

The first draft had only two representatives from industry - not one from every company. But it was decided that the present proposal would solve a lot of problems and make life easier while still accomplishing the same purpose."

Associate Professor Michael L. Shuler, Chemical Engineering, said the other point is that the visiting scientists might well appreciate being on the board and being part of the learning process about what's occurring and the reasoning behind decisions, so that they can bring information back to their own companies at a later time.

Associate Professor Alan K. McAdams, B&PA, said what he is hearing is that there will be five companies, each putting in \$8 million, and no other companies involved in this proposal. Is that correct?

Professor Hammes replied that was correct.

Professor McAdams said he didn't see how that could be done without feeling as if you were working for five companies. Cornell would be very much tied in to five major corporations.

Professor Hammes replied that five was an arbitrary number, the feeling being that if too many companies were involved, it would be a three-ring circus and you could never get the companies to agree to participate because it wouldn't benefit them.

Vice President Cooke said the companies are looking for a window to understand what's important in biotechnology, where the field is going in the future. It would be a particular advantage being inside the system, and that's what they're paying for.

Professor Hammes said the feeling was that we could go with as few as four companies, and be very lucky to get five companies. If a sixth company came along and pounded on the door, his feeling is that the number might be adjusted.

Professor Adrian M. Srb, Jacob Gould Schurman Professor of Genetics and Development, said: "If there were a large number of companies involved, there would be no way that all of them could get the kind of benefit in terms of sending people here and having the relationships that are important educationally and otherwise. This thing could never grow large enough to the point where 40 companies could anticipate benefits of interaction and so on that a smaller number would."

Professor McAdams said: "I see a contradiction in what is being said. At one level we're saying that this is like all research, open to everyone, that leads to benefits to the entire society. At the other extreme, we're saying that you put in \$8 million, you're going to get something very unique and what is so very unique about it is limited only to you. I find that a contradiction, and do not see how it's resolved."

Professor Walter R. Lynn, Civil and Environmental Engineering and Director, Science, Technology and Society, wished to expand on Professor McAdams' question. "Is there anything that's created by the existence of the Institute that does not permit other companies to contribute to research in biotechnology at Cornell University? Is it possible to receive funds in the area of biotechnology that are not directed to the Institute?"

Professor Milton Zaitlin, Plant Pathology, replied: "Other people would still be able to receive funds for research in

biotechnology as separate industrial grants. A faculty member could not be prohibited from making any arrangements with an industry that's consistent with Cornell policy. So if another industry went to professor X and said I want to give you so many dollars to do such and such, that professor would be free to consider it. But that would have to be separate from what they're doing in the Institute."

Vice President Cooke said: "It is one thing to read the publications, it's another thing to be immersed in research. Even though everything is open and free in the normal course of events and people publish in the timely way they normally do, for people actually immersed in the research group with the people doing the research, they consider it to be a considerable advantage."

Professor McAdams said: "I still see this as a consortium which allies Cornell University with particular companies. If I were a competitor, I would not be contributing to Cornell University. Is it anticipated that all scientists who would be coming from industry would be from the five companies and only those five companies? I also wondered about the anti-trust implication."

Professor Hammes said: "This Institute would not preclude a department from appointing a visiting scientist from any company they thought appropriate. Once that person was a visiting scientist at Cornell, he could be considered in the same way for membership in the Institute as anyone else."

Vice President Cooke said extensive research has been done on the anti-trust aspect. It doesn't appear to be applicable to the Institute.

Professor McAdams said that was only part of his question. If he were one of the companies providing funds and a scientist was brought in, appointed by the department, and used research funds put in by Professor McAdams' company, and the visiting scientist's company didn't put any in, he wouldn't be very happy.

Professor Hammes said: "The research that's going to be sponsored by this Institute is supposed to be basic research, published in the open literature that's available to everybody in the society and all companies. Given five companies contributing money, it's very difficult to see how they could ever agree on any sort of licensing or in fact, any thing. The benefit to the company as I see it is an educational one and an ability to improve their recruitment of scientists by having a strong connection with Cornell. As has been previously stated, it should not preclude other companies from having the normal visiting professor relationship that's going on now, through other channels. It's not impossible to achieve both goals - the one having a broad benefit to society through the open research and specific benefits to the companies through educational interaction."

Professor Douglas B. Fitchen, Physics, said: "It is my impression that much of the unique strength in the biotechnology area at Cornell has been developed primarily through public funding or through the federal government or the state government. One thing I haven't heard being addressed yet, is the reaction of

those agencies to this proposal in the sense that this Institute will be set up with some restrictions of interaction. What would that do to the political support base if it is reduced from a fairly large number to five?"

Professor Hammes said: "I do not think that the money put in by five industries is going to lessen the money put in by other industries or put in by federal funding. Many people now have industrial contracts - hundreds on the Cornell campus. I don't see any conflict whatsoever. It is, however, a sticky question as to how other industries would feel about putting money into Cornell if these five have some special relationship."

Vice President Cooke said: "This is a hard question to answer. 250 faculty members are now receiving support from about 140 companies. How that might affect them would be hard to know. In one way, one could imagine that we really have a preeminent program in biotechnology that might attract industrial support in areas not covered by the Institute. Certainly the Institute would not cover all areas that people might classify as biotechnology. Of course, it might be a flop. On the other hand, some corporations might feel there's enough support to take care of things and conceivably NIH might also feel this way, although I doubt it. I do not see this as having a major effect on the Institute."

Professor Lynn said: "Professor McAdams raised the question about not permitting other companies to come to Cornell. In one sense, those five companies who will pledge themselves to put up the kind of money mentioned, in a free and open exchange institute, would make an opportunity for other companies to gain benefits

without putting in anywhere near that much money. They could share in the benefits of this Institute without investing those kinds of dollars."

Professor Hammes said: "I could see no way to ever restrict scientists from coming to Cornell. If an individual investigator wishes to have an individual scientist come and the department appoints him, then so be it. There's no way that we would ever want to prevent that."

Professor Keil said: "It is difficult to believe that these companies would not be upset if they did not have a privileged access to this kind of immersion in this research institute. The companies have to get something out of this."

Professor Hammes said: "If a company were really worried about this, we wouldn't get any money from them to begin with. At this point no companies are even lined up. The companies that are now being consulted don't seem to have any trouble with this. It may be when we get down to brass tacks that they won't buy it. Then we will have a problem, because we won't change the way this is set up."

Professor Moffat said: "With the kind of money that's involved, it's very clear that the types of companies who would be in a position to support this Institute would be the big names, i.e. Monsanto, DuPont, Exxon, etc. Those are not necessarily the biotechnology companies who might receive the most scientific and academic benefit from a Biotechnology Institute. The forefront of the research being carried on is largely in the hands of very small, fledgling companies, which are not necessarily in a position to kick in \$8 million."

Professor Hammes said: "The voices I hear are not worrying about the effects on Cornell, whether this consortium be open or closed, 5 or 6, but rather the effects on the success of the venture. I wondered if perhaps a modification might be to leave the question open as to whether you have an open or closed consortium at the time the Faculty votes on this."

Professor Hammes added: "The number five is arbitrary and it's not really a major point in the proposal."

Associate Professor John E.H. Sherry, Hotel Administration, asked if there was a conscious assumption that the federal or state government would have no right to participate by directly funding a program, i.e. are we forestalling forever any government support for the scientific work undertaken?

Professor Hammes replied, absolutely not.

Professor Sherry said he would hate to see that happen. Would some discretion be available to perhaps accept some funding?

Professor Hammes said that the people supported by this Institute could also have the standard government support, which would probably continue to exceed that from industry.

Professor Kenneth G. Wilson, James A. Weeks Professor of Physical Science, said: "I have had a lot of dealing with the computing industry, and the point about the large versus small company is extremely important. I feel the proposal as finally voted on should have as part of it, a well-defined relation between the Institute and small companies. In the computing industry, it's essential to the progress of computing technology that the small companies develop technology. The relationship is a three-way relationship between small computing companies

developing technology, large computing companies tracking the progress of that technology and both of them meeting at Cornell where the technology is actually seen and tested out. The Institute proposal should have that same three-way interaction."

Professor Srb said: "With the intent that basic research is being carried on, the requirement that there be free publication and the possibility of the smaller companies visiting Cornell under whatever arrangements are approved by a department, there wouldn't be discrimination."

Assistant Professor Robert Harris, Africana Studies and Research Center, wondered if less than five companies are bought into this, would the representation on the boards be reduced proportionately. If more than five buy into it, would it be increased proportionately?

Professor Hammes said: "Unfortunately the only realistic consideration would be if it were less than five, and then it would be decreased proportionately. I also wish to reply to Professor Wilson. There is nothing in this proposal that says anything about the size of the industries that are interacting nor do I think it appropriate to say so. It would be perfectly possible for small companies that are actually doing the research themselves at the forefront to interact with this consortium."

Professor Norton asked: "What if only one company buys into this Institute? Does Cornell then have a sweetheart deal with this one large company? I do not like the idea of this University turning into a farm team for some major industry. Why not let any company put money into it?"

Professor Hammes said: "If it were one company, it wouldn't fly. It would have to be a minimum of four companies. The difficulty of letting any company contribute whatever amount they wished is that the money just couldn't be raised that way."

Professor Joseph B. Bugliari, Agricultural Economics and B& PA asked: "Why isn't it feasible for one company to put up \$8 million and another company to put up a smaller amount when they are willing to participate?"

Professor Zaitlin said: "There would be some problem then about the composition of the Board. As conceived now, Cornell would have more members than industry."

Professor Hammes said: "If you ask one company to put up \$8 million and another only puts up \$200,000 and both get exactly the same benefits, you put yourself in an impossible position."

Professor Peter L. Auer, Mechanical and Aerospace Engineering, said: "I am troubled by the notion that there is an exclusive club here, and page 8 of the Charter says: '... seek...no more than five major corporations which is the maximum number which can be accommodated.' Professor Hammes said that is an arbitrary number, but the document says five and thus is presumably not arbitrary. What sums of money are being asked for or contemplated for what purpose? Are we talking about a short-term affair? Three years, while Monsanto, DuPont or whoever learns the ropes and then walks away? Are we talking about seeking an endowment?"

Professor Hammes said: "The current idea is that each company would have to make a five-year commitment of \$8 million,

and \$1 million of that would be a direct gift to Cornell to be used for whatever purposes are reasonable in support of this program. The other part would be under the usual arrangement between Cornell and other people they get funds from. At the end of three years the company would have to make a decision as to whether they wanted to renew for beyond five years."

Professor Auer said: "At the University of Rochester, there was established a mixed consortium with private enterprise, and that ran into great difficulty after a period of time. Has that been studied?"

Professor Hammes said: "There is no way one could ever preclude this from happening. This Biotechnology Institute should stand on its own merits. The principle of the Institute and the interest at Cornell are sufficient to justify having such an Institute."

Professor Burlitch wondered if it had been considered to give votes to companies according to the amount of money invested in the Institute? That way at least, smaller companies would be allowed to participate.

Professor Hammes said: "I don't see how such a model could work. It is supposed to be really controlled by Cornell faculty and scientists, so that either an industry is a full partner or they are not a full partner. A full partnership would not involve very much influence as to what goes on at the Institute anyway. We are not prohibiting other industries from interacting with Cornell faculty. All we're saying is unless they contribute X number of dollars, they won't be a full member of the Institute."

Assistant Professor Barbara L. Peckarsky, Entomology, wondered if some sort of budget was in mind for the \$40 million?

Professor Hammes said that was the order of magnitude wanted, in the form of contributions, but until things are worked out, there is not any particular budget in mind.

Professor Peckarsky questioned one of the duties and responsibilities of the Scientific Administrative Board - to develop policies for the allocation of research funds. She wondered if there would be a conflict of interest in terms of the membership of that board consisting of scientists, each of whom might have their own particular ideas as to how the funds should be spent.

Professor Hammes replied he hoped they would each have their own ideas. The Board would review proposals submitted by members of the Institute and then decide where to put the money. The Board could set up whatever review policies they would want.

Professor McAdams said if a group of small companies could get together and provide funding amounting to \$8 million, then that would be a way of getting around a lot of problems.

Professor Hammes said it sounded like a good idea.

Vice President Cooke responded and said it then would still pose the pragmatic problem of how to define being a full partner in such a case.

Professor McAdams said his point was that one full partner could be made up of 18 companies. Those 18 joined together would be recognized as a full partner, and they would have one representative on these various boards.

Vice President Cooke said the question would be would they all have the same access to what was going on, and if they did why should one company obtain a full partnership if it can get the same thing for one-tenth of the price.

Professor McAdams said the option should be open for such an opportunity.

Professor Hammes said he could see that. The only point is that 18 scientists could not be accommodated.

Professor McAdams said the faculty should know what they are voting for and whether they're committing the University to being a partner with five major organizations, and thus identifying itself in the public mind with those five companies.

Professor Hammes said: "We first want to have an Institute. We have no idea whether this is going to fly and if this is the way we're going to raise money."

Professor McAdams said: "As a faculty member, if I thought the net result was going to be what was originally proposed, I would vote against it. If the proposal would be something that was more open, and could be perceived by the public as being not an exclusive high-rollers club, that had bought their way into Cornell, then I would vote for it. I like the idea, but I do not think the funding is independent or inconsequential. The effect on Cornell and the perception of the public of Cornell are extremely important."

Professor Robert K. Finn, Chemical Engineering, reminded the body that the small companies in this particular area have to be interested in the quick pay off. "They're not interested

in the long-term type of support that we're looking at here or in supporting the fundamental research. You could open it up to them, but they would want an exclusivity that these larger companies are not demanding. The larger companies are looking for a window, they're looking for the long-term - not the quick pay off. If you're at all acquainted with the industries, the small industries are at a certain forefront - the cutting edge - but a practical cutting edge, not the long term. If you compare what is being proposed here with what a number of other esteemed universities are doing, selling their birthrights to particular companies, by comparison this is an outstanding proposal. I urge this body to remember that unless something is done of this sort, individual faculty members will be siphoning off their efforts into private enterprises. By having this Institute, we would keep the focus of talented people in this area at Cornell and allow them to become active in this particular industry."

Professor Fitchen asked if the five companies do not materialize, what is the minimum size venture that would be undertaken?

Professor Hammes said: "We would like there to be a Biotechnology Institute regardless of whether any such funding is received. If industrial funding of the type suggested is adopted, four contributions is felt to be the minimum number. If that doesn't happen, we hope an Institute will still be set up using existing funding mechanisms, which would involve individuals getting support from various places.

Professor Boyd said: "We should realize how different this Institute is, even with all the schemes that have been

proposed to bring in small companies, from the ways firms involved in technology are ordinarily asked to give money to the University. We're still talking about offering a certain small number of firms very specialized access to on-going research. This body shouldn't think that various small number of amendments to the proposal render it a perfectly ordinary routine fund-raising."

Professor John F. Burton, Jr., I&LR, said: "The argument was made that this Institute would stop the practice of faculty members forming alliances with individual companies. I do not understand that argument. If I were a biologist with a bright idea and a company was willing to give me a million dollars to serve as their special consultant, the establishment of this Institute would not make me give up that opportunity."

Professor Hammes said: "I do not think that is completely correct. By having this Institute here, it would mean if you had such a bright idea, you could still engage in consulting, but sometimes choices would be made instead to proceed with graduate students and a whole program. If adequate funding were found here, one wouldn't have to seek funding for such a program on the outside. The two approaches could live side-by-side, but this Institute would provide an additional spur to keeping more of this in the University."

Professor Burton didn't agree. He stated: "We can't get corporations to give money through the current departments."

Professor Hammes said: "It seems as if the conversation is digressing. Funding is an important issue, but again

regardless of whether funding is obtained, there is a need at Cornell for interdisciplinary research that does not fall within single departments, but rather across five different colleges. The proposers want an Institute regardless of the funding mechanism."

Professor Gouldin wished Professor Hammes to expand on his last comment, i.e. the reason for this Institute beyond funding. He continued: "I do not really see the reasons since the focus of the Institute is research, even if it wasn't funded at the outset, it seems the primary reason for the organization would be to submit proposals and solicit funds. I wished you would elaborate on what things beyond getting research dollars would be a function of this Institute, and in particular, the statement in the proposal to develop graduate and undergraduate teaching programs to prepare students for careers in biotechnology."

Professor Hammes said: "Some of the departments involved that are thinking about this are in the Ag. School, some are in Engineering, some are in Human Ecology, and some in the Veterinary School - coming from a wide variety of places, all with some part in this project. What's needed at this point in time is for all these people to get together and do something. In order to promote this interdisciplinary field, we're going to have to have some vehicle. It was the judgment of the faculty that in this case, it was too broad for a single field, and that the way to promote this was to create an Institute. It's that simple."

The time being 6 p.m. at this point, the Speaker declared the meeting adjourned.

Respectfully submitted,

Joseph B. Bugliari, Secretary

REPORT FROM THE COMMITTEE ON NOMINATIONS AND ELECTIONS

SLATE OF CANDIDATES

Spring 1982

SECRETARY OF THE UNIVERSITY FACULTY - 3-year term

Harlan B. Brumsted, Associate Professor, Natural Resources

John E.H. Sherry, Associate Professor of Law, Hotel Administration

Bettie Lee Yerka, Associate Professor, Human Service Studies

AT-LARGE MEMBER, FCR - 3 to be elected, 3-year term

Robert J. Babcock, Associate Professor, Human Service Studies

Stephen R. Cole, Associate Professor, Theatre Arts

John S. Harding, Professor, Human Development and Family Studies

Richard H. Jacobson, Assistant Professor, Diagnostic Lab, Veterinary

Frank B. Miller, Professor and Director, Resident Instruction, ILR

Yih Hsing Pao, Professor, Theoretical and Applied Mechanics

Ruth Schwartz, Professor, Nutritional Sciences

REVIEW AND PROCEDURES COMMITTEE - 3 to be elected, 3-year term

Arthur L. Berkey, Professor, Agricultural and Occupational Education

Richard S. Booth, Assistant Professor, City and Regional Planning

W. Keith Bryant, Professor, Consumer Economics and Housing

John F. Burton, Jr., Professor, Industrial and Labor Relations

John L. Doris, Professor, Human Development and Family Studies

Donald F. Sola, Professor, Modern Languages and Linguistics

Ari van Tienhoven, Professor, Animal Physiology, Poultry & Avian

Sciences

NOMINATIONS AND ELECTIONS COMMITTEE - 3 to be elected, 3-year term

Peter L. Auer, Professor, Mechanical and Aerospace Engineering

Edgar L. Gasteiger, Professor, Physiology, Veterinary

Bertha A. Lewis, Associate Professor, Nutritional Sciences

Sidney Saltzman, Professor and Chairman, City and Regional Planning

Peter J. Van Soest, Professor, Animal Science

COMMITTEE ON MEMBERSHIP OF THE UNIVERSITY FACULTY - 1 to be

elected, 3-year term

W. Lambert Brittain, Professor, Human Development and Family Studies

Peter J. Gierasch, Professor, Astronomy

Hans D. Van Etten, Associate Professor, Plant Pathology

ACADEMIC FREEDOM AND RESPONSIBILITY COMMITTEE - 1 to be elected,

3-year term

Njoku E. Awa, Associate Professor, Communication Arts

Peter F. Brussard, Associate Professor, Ecology and Systematics

Stephen J. Ceci, Assistant Professor, Human Development and

Family Studies

Geza Hrazdina, Professor, Food Science and Technology, Geneva

Robert W. Langhans, Professor, Floriculture and Ornamental

Horticulture

Richard L. Liboff, Professor, Electrical Engineering and

Applied Physics

Kenneth A. Strike, Professor, Philosophy of Education, Education

Virginia Utermohlen-Lovelace, Associate Professor, Nutritional

Sciences

ACADEMIC PROGRAMS AND POLICIES COMMITTEE - 1 to be elected,

3-year term

Gertrude D. Armbruster, Associate Professor, Nutritional Sciences

Carl F. Gortzig, Professor and Chairman, Floriculture and

Ornamental Horticulture

David C. Ludington, Professor, Agricultural Engineering

Marion E. Minot, Professor, Human Service Studies

ACADEMIC PROGRAMS AND POLICIES COMMITTEE - 1 non-tenured person
to be elected, 3-year term

Victor A. Becker, Assistant Professor, Theatre Arts

Paul E. Eshelman, Assistant Professor, Design and Environmental
Analysis

C. Ann McLennan, Assistant Professor, Human Service Studies

H. Dean Sutphin, Assistant Professor, Education

BUDGET COMMITTEE - 1 to be elected, 3-year term

James R. Aist, Associate Professor, Plant Pathology

Peter S. Chi, Associate Professor, Consumer Economics and Housing

Lynne H. Irwin, Associate Professor, Agricultural Engineering

John A. Nation, Professor, Electrical Engineering

FREEDOM OF TEACHING AND LEARNING COMMITTEE - 1 to be elected,
3-year term

Paul Brandford, Assistant Professor, City and Regional Planning

J. David Deshler, Associate Professor, Human Service Studies

Ronald E. Ostman, Assistant Professor, Communication Arts

Daphne A. Roe, Professor, Nutritional Sciences

MINORITY EDUCATION COMMITTEE - 2 to be elected, 3-year term

Andreas C. Albrecht, Professor, Chemistry

C. Richard Johnson, Jr., Associate Professor, Electrical Engineering

David A. Levitsky, Associate Professor, Nutritional Sciences

Edward H. Smith, Professor, Entomology

MINORITY EDUCATION COMMITTEE - 1 non-tenured person to be elected,
3-year term

Josephine A.V. Allen, Assistant Professor, Human Service Studies
Chih-Chang Chu, Assistant Professor, Design and Environmental
Analysis

PHYSICAL EDUCATION COMMITTEE - 1 non-tenured person to be elected,
3-year term

James M. Cordes, Assistant Professor, Astronomy

Dennis H. Ferguson, Assistant Professor, Hotel Administration

PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY COMMITTEE -
1 to be elected, 3-year term

Jeffrey Frey, Professor, Electrical Engineering

Arthur A. Muka, Professor, Entomology

Thor N. Rhodin, Professor, Applied and Engineering Physics

Jean R. Robinson, Professor and Chairperson, Consumer Economics
and Housing

UNIVERSITY-ROTC RELATIONSHIPS COMMITTEE - 2 to be elected,
3-year term

William H. Kaven, Professor, Hotel Administration

Walter M. Pintner, Professor, History

William B. Streett, Professor, Chemical Engineering

L. Pearce Williams, John Stambaugh Professor, History of Science

COUNCIL ON PHYSICAL EDUCATION - 1 to be elected, 3-year term

James W. Boodley, Professor, Floriculture and Ornamental Horticulture

Gene A. German, Associate Professor, Agricultural Economics

Thomas J. Kelley, Assistant Professor, Hotel Administration

Verne N. Rockcastle, Professor, Science and Environmental Education

UNIVERSITY ASSEMBLY - 5 to be elected, 2-year term beginning

June 1, 1982

Bart J. Conta, Professor, Mechanical and Aerospace Engineering

Wendell G. Earle, Professor Emeritus, Agricultural Economics

Donald F. Holcomb, Professor, Physics

Ruth N. Klippstein, Professor, Nutritional Sciences

Jean N. Locey, Assistant Professor, Art

William F. Mai, Liberty Hyde Bailey Professor of Plant Pathology

John H. Peverly, Associate Professor, Agronomy

Robert L. Wehe, Associate Professor, Mechanical and Aerospace
Engineering

April 7, 1982

Dear Dean Greisen:

I am sorry that I cannot attend the meeting of the Faculty Council of Representatives at which the proposal that Cornell create a Biotechnology Institute will be considered. The proposal is important to me and to many of my colleagues in the Division of Biological Sciences as well as to the broad community of scientists with interest in this area. Unfortunately, I have a long-standing engagement that could not be set aside.

The Council has been given two documents. One presents the Charter proposed for the Institute, the other gives a scientific perspective. In this letter, I will try to explain why I think that a Biotechnology Institute will be important to the development of teaching and research programs at Cornell. This institution has a very broad educational mission. As a research oriented university and as a Land Grant Institution, its mission includes the teaching of basic sciences and the pursuit of research in those disciplines as well as teaching and research in the applied sciences that derive from them. It has always been Cornell's business to participate in the transfer of knowledge from the basic to the applied, to teach students in both aspects of science and to facilitate the transfer of science and technology to the people of the State, the region and the Nation. The proposed Biotechnology Institute will foster these traditions.

It is necessary to create a new structure because developments in the basic biological sciences during the past ten years have made possible the application of new and different strategies

to the manipulation of biological systems for useful outcomes. While some exciting demonstrations have been given of the potential of this new biotechnology, the prospects for future development can hardly be imagined. The utilization of new biological knowledge requires that engineers, chemists and physicists join with biologists, both basic and applied, in a collaborative effort to create the educational and research programs that will be needed. The new science forces the development of a new program, one that requires interdepartmental and intercollegial effort. While much of the new knowledge comes from basic studies in biology, the basic biology faculty alone cannot undertake development of this much needed interface with scientists in other areas.

Implicit in the proposal is the perception that there is a need for new courses and programs for students in the area of biotechnology. This need will continue to grow as predictably rapid progress is made in our understanding of biological systems. There will be a need for educational programs at every level. Some engineering students will need a much expanded experience in biology particularly in molecular biology and laboratories. Biology and chemistry students will need courses in cellular and molecular biology with special reference to the environmental needs of cells in large-scale culture. Students in many of the traditional disciplines of agriculture will need courses in various aspects of biology, molecular genetics, engineering and so forth as the traditional disciplines adapt the new technologies. In the past, Cornell has enjoyed singular success in creating

interdisciplinary programs in response to the changing needs of students and faculty in the traditional disciplines. The Biotechnology Institute will ensure its ability to make the needed adaptations of the future.

Another aspect of the proposal that I favor strongly is the intent to include major corporations as participants, not merely as sources of funding. The demonstration that basic biology has potential for immediate and important application also demonstrated that industrial research organizations had failed to detect the emergence of new and useful knowledge in this field. Many industrial research groups were caught off-base. In a flurry of activity to gain a strong position relative to the "new biology", industrial firms have attempted to co-opt the services of leading molecular geneticists. Various arrangements have been made, some have the potential for compromising the scientists' traditional relationship to the University. The Biotechnology Institute will serve as a device for facilitating interactions between university scientists and industrial scientists which will protect the university. It will replace the more specific and tightly structured arrangements that tend to be created when individual scientists and individual corporations are involved. The University permits and even supports the development of collaborative efforts between faculty members and research industries. The Institute would put such interactions into a mode most in keeping with University traditions. All research and all programs would be open and would foster the free exchange of information among all participants.

Industries must find new ways to interface with universities. They must do this to support teaching and training programs and to provide continuing and effective access for themselves to the rapidly advancing frontiers of knowledge in the basic disciplines. I believe that they cannot succeed in a sustained fashion by forming tightly circumscribed arrangements with small groups of university scientists in an attempt to guess where the next break will occur. In the long term they and the university will be better served by the sponsorship of basic research and high-quality educational programs that operate in an open but dynamic interface.

I am convinced that the Biotechnology Institute, as proposed in the charter, will foster the development of both basic and applied sciences at Cornell University. We must move in this direction whether or not industries collaborate. Nevertheless, I believe that the structure and program proposed will allow the university and industry to interact in a most productive and appropriate fashion.

Those of us who have presented this proposal hope that the Faculty Council of Representatives can consider and act on it before the end of the present year. This would allow the summer to be spent in the development and refinement of plans for the Institute if it is approved by the Board of Trustees. I and my colleagues would be very pleased to meet with members of the Council to answer questions and respond to concerns during the month preceeding the May 12th meeting. If further written information can be provided we will be pleased to do so.

Yours sincerely,
Robert Barker, Director

May 12, 1982

110 Ives Hall

The Speaker, Russell D. Martin, opened the meeting at 4:00 p.m., with 72 members in attendance. He called on the Dean of the Faculty, Kenneth Greisen, for two reports.

1. REPORT ON RECENT ELECTION

Dean Greisen wished to announce that Associate Professor Harlan B. Brumsted, Natural Resources, has been elected Secretary of the University Faculty, beginning July 1. Because of a full agenda at today's meeting, the Dean did not read the entire results of all the committee elections, which are reproduced below:

AT-LARGE MEMBERS, FCR - 3 seats

Robert J. Babcock

Yih Hsing Pao

Ruth Schwartz

REVIEW AND PROCEDURES COMMITTEE - 3 seats

Arthur L. Berkey

Donald F. Sola

Ari van Tienhoven

NOMINATIONS AND ELECTIONS COMMITTEE - 3 seats

Peter L. Auer

Bertha A. Lewis

Peter J. Van Soest

COMMITTEE ON MEMBERSHIP OF THE UNIVERSITY FACULTY - 1 seat

Peter J. Gierasch

COMMITTEE ON ACADEMIC FREEDOM AND RESPONSIBILITY - 1 seat

Virginia Utermohlen

COMMITTEE ON ACADEMIC PROGRAMS AND POLICIES - 1 seat

David C. Ludington

COMMITTEE ON ACADEMIC PROGRAMS AND POLICIES - 1 non-tenured seat

C. Ann McLennan

COMMITTEE ON BUDGET - 1 seat

John A. Nation

COMMITTEE ON FREEDOM OF TEACHING AND LEARNING - 1 seat

Daphne A. Roe

COMMITTEE ON MINORITY EDUCATION - 2 seats

Andreas C. Albrecht

Edward H. Smith

MINORITY EDUCATION - 1 non-tenured seat

Josephine A.V. Allen

COMMITTEE ON PHYSICAL EDUCATION - 1 non-tenured seat

James M. Cordes

COMMITTEE ON PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY -

1 seat

Jean R. Robinson

COMMITTEE ON UNIVERSITY-ROTC RELATIONSHIPS - 2 seats

Walter M. Pintner

L. Pearce Williams

COUNCIL ON PHYSICAL EDUCATION - 1 seat

Verne N. Rockcastle

UNIVERSITY ASSEMBLY - 5 seats

Bart J. Conta

Wendell G. Earle

Donald F. Holcomb - resigned due to other responsibilities

Ruth N. Klippstein

Jean N. Locey

2. APPROVAL OF SLATE OF CANDIDATES FOR FCR SEATS
ON COMMITTEES *

Dean Greisen called for further nominations to the slate of various committee vacancies that was circulated to members with the meeting notice. Hearing none, the slate was approved as follows:

EXECUTIVE COMMITTEE OF THE FCR - 4 to be elected, 2-year term

Jacques Bereaud, Professor of French and Chairman, Romance Studies

Terrence L. Fine, Professor, Electrical Engineering

Francine A. Herman, Associate Professor, Hotel Administration

William W. Lambert, Professor of Psychology, Sociology & Anthropology

Mary Beth Norton, Professor of American History

Norman M. Vrana, Professor, Electrical Engineering

EXECUTIVE COMMITTEE OF THE FCR - 1 non-tenured person to be
elected, 2-year term

Stephen J. Ceci, Assistant Professor, Human Development and
Family Studies

Hollis N. Erb, Assistant Professor of Animal Health Epidemiology,
Preventive Medicine

David H. Holmberg, Assistant Professor of Anthropology and Women's
Studies

ACADEMIC FREEDOM AND RESPONSIBILITY COMMITTEE - 1 to be elected,
3-year term

Laura S. Brown, Assistant Professor, English

Richard W. Conway, Professor, Computer Science

Edgar M. Raffensperger, Professor, Entomology

* See Appendix F for results of the election

BUDGET COMMITTEE - 2 to be elected, 3-year term

Peter L. Auer, Professor, Mechanical and Aerospace Engineering

Louis E. Martin, University Librarian and the Carl A. Kroch
Librarian

Alan K. McAdams, Associate Professor of Managerial Economics
and Finance, B&PA

Mary G. Randel, Assistant Professor of Spanish, Romance Studies

FREEDOM OF TEACHING AND LEARNING COMMITTEE - 1 to be elected,
3-year term

Isaac Kramnick, Professor and Chairman, Government

Phil Schoggen, Professor and Chairman, Human Development and
Family Studies

PHYSICAL EDUCATION COMMITTEE - 2 to be elected, 3-year term

Christopher Bull, Psychiatrist, University Health Services and
Professor, Clinical Medicine

Barbara L. Peckarsky, Assistant Professor, Entomology

David S. Powers, Assistant Professor of Arabic and Islamics,
Near Eastern Studies

Mary H. Tabacchi, Associate Professor, Hotel Administration

PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY COMMITTEE -

1 to be elected, 3-year term; 1 to be elected, 2-year term

Robert G. Bland, Associate Professor, Operations Research and
Industrial Engineering

Peter J. Gierasch, Professor, Astronomy

Robert C. Lind, Professor of Economics, Management and Public
Policy, B&PA

Robert H. Siemann, Associate Professor, Physics/LNS

RESEARCH POLICIES COMMITTEE - 2 to be elected, 3-year term

C. Thomas Avedisian, Assistant Professor, Mechanical and
Aerospace Engineering

William A. Bassett, Professor, Geological Sciences

George A. Hay, Professor, Law and Economics

George F. Scheele, Associate Professor and Assistant Director,
Chemical Engineering

The Chair next called on Professor Fred W. McLafferty,
Chemistry, and Chairman of the Committee on South African
Investments, for a report and recommendation.

3. REPORT OF COMMITTEE ON SOUTH AFRICAN INVESTMENTS

Professor McLafferty said: "This Committee was set up a year ago on the recommendation of a study committee in response to a strong opinion of the University Faculty concerning apartheid in South Africa. The initial actions of the Committee were concerned with the investments of Cornell in companies doing business in South Africa. The Committee has gone on to make a series of recommendations concerning other kinds of actions that the Cornell community might consider to bring more pressure on the government of South Africa to show them our opinions in this matter. The opinion of the Committee at least is that though progress has been made in South Africa, much of this progress has been due to outside pressure and that a way to increase the progress is to increase the pressure. The Committee has listed ways in which the Administration, the Faculty and Students can all be involved in this and the Committee would like to publicize this report so that all members of the Cornell community can

consider if they would like to entertain such actions. After feedback is received, the Committee may come back to the FCR with an actual recommendation."

The report of the Committee is appended to these minutes (Appendix A).

There being no questions for Professor McLafferty, the Chair again called upon Dean Greisen.

4. AMENDMENT OF ACADEMIC INTEGRITY CODE (Appendix B, attached)

The Dean said: "This amendment is completely non-controversial - it simply corrects slips in language that come from the fact that responsibility for teaching courses is assigned to many people who are not accorded the privilege of membership in the Faculty. When the Code was revised last year, neither the CAPP Committee nor anyone engaged in the discussion noticed that it didn't authorize lecturers, who might be in charge of courses, to participate in the academic integrity procedure. This amendment proposes to replace the very specific designation of rank necessary to participate in the process with a more generic title - members of the academic staff who are placed in charge of courses. The CAPP Committee did not review this proposal in detail, but I did confer with the chairman of the committee who was responsible for formulating the proposal last year - Carl Ginet - and he agreed there was no doubt about the intent."

Dean Greisen moved the following resolution:

*RESOLVED, that the Code of Academic Integrity be
amended as shown in the accompanying document*
(deletions in brackets, additions underlined)*

*document circulated to Faculty with call for this meeting

so as to replace the words "professor" or "faculty member" with expressions that include other members of the academic staff who may be placed in charge of courses.

The resolution was seconded, and the Chair opened the floor for discussion.

Professor Alan Dobson, Physiology, said he was unaware that there are courses on the campus run by people who are not faculty members. He asked if a few illustrations could be provided.

Dean Greisen gave an example of a very large introductory physics course, having three people involved in its presentation. Those three include himself, Dr. Betty Richardson and Dr. Edith Cassell, who have been for many years associated with the department and the presentation of courses and are experienced lecturers. In handling of cases of violation of the Academic Integrity Code, they raised questions as to whether they were entitled to do so, since they are not members of the Faculty. The Dean said: "My association with the course is not as close and intimate, on a day by day basis, as theirs, and they're certainly in a much better position to carry out the steps necessary under the Code. There are quite a number of courses handled by lecturers in Communication Arts, Human Ecology, Freshman Humanities Seminars, Language Departments, etc."

On a vote call, the resolution carried unanimously.

The Speaker announced that the next agenda item, the revised proposal for Senior Scientists and Senior Scholars, would also be presented by Dean Greisen.

5. REVISED SENIOR SCIENTIST AND SENIOR SCHOLAR
PROPOSAL

The Dean said: "The history and rationale for this proposal were spelled out in the Report of the Dean for the *ad hoc* Committee on Academic Titles, which was circulated to the Faculty.* I will thus not go into detail at this time. A year ago, a proposal to establish positions of Senior Scientist and Senior Scholar was brought to the University Faculty. They did not vote it down - the meeting lost its quorum before getting to the agenda item. It was brought to that body because the proposal included the awarding of membership in the University Faculty. The present proposal is brought to the FCR for approval of the concept and recommendation of establishing these positions, without introducing the element that it would necessarily involve membership in the University Faculty. The *ad hoc* committee, after several discussions, was strongly in favor of establishing such positions, but after reviewing objections that were raised last year, revised the proposal to incorporate protections against the things that had been deemed objectionable. There should not be many people in either of these two positions. They should be positions of great distinction equivalent to full professor and have salary levels that go along with that. A nomination and review procedure is introduced that would require that there be an initial review by an academic unit that did the nominating, including evaluations from people outside the University. If that unit made a positive recommendation, it would go to a dean who would then appoint an *ad hoc* committee who would further

*Appendix C, attached

evaluate the nomination and the dean would then make his recommendation on the basis of the *ad hoc* committee's review. That would go to the Provost, who would also have to approve the nomination. The appointments would be for five-year renewable terms, and they can be made on the authority of the President. The positions could be funded on soft money. They would not have tenure. There would not be an automatic granting of membership in either the Graduate Faculty or in department faculties. This privilege is accorded according to the needs and special requirements of each of those separate faculties. The general incentive for having these titles is to have very attractive positions with which extraordinarily distinguished people, in small numbers, could be brought to the campus and kept at the campus." He moved the resolution:

RESOLVED, That the University Faculty recommends to the President the creation of new non-professorial positions with the titles Senior Scientist and Senior Scholar, to which individuals of high distinction in research and scholarship may be appointed. These positions will carry the professional stature of full professor and have salary levels commensurate with that status. Persons may be appointed directly to the position or promoted from other ranks in the University. They may be involved with the teaching program, consistent with the terms of the funding of the position, but their primary role will be research

and scholarship. Questions of membership in any of the faculties of the University will be decided by the legislation of the individual faculties and the Bylaws of the University. Membership in sections, centers, divisions, institutes, laboratories, or programs will be determined by those bodies on an individual basis. Individuals may be initially nominated for appointment as Senior Scientist or Senior Scholar by any director or department chairman after review and approval by the faculty of the appropriate unit (center, institute, program, department, laboratory, section, division, etc.). Such review shall include professional evaluations solicited from individuals external to the unit and external to Cornell. The nomination shall be made to an appropriate dean, who shall appoint an ad hoc committee to advise the dean on whether or not to endorse the nomination. The dean's recommendation shall be reviewed by the Provost, and the appointment be made by the President. The appointment can be for a period of up to five years, indefinitely renewable. The continuation of appointments for more than one year may be contingent on the availability of funds.

Professor Mary Beth Norton, History, said: "I'm not clear why senior people could not be brought here with the title of full

professor and simply given duties that would not involve much teaching. Why then the need for this special arrangement?"

The professorial title would involve tenure and an indefinite commitment of University funds, Dean Greisen said. He continued: "It is thought that the people who would be offered such titles here would be of such distinction that the obtaining of soft money to support them would not be a problem and they would not feel at all in jeopardy of losing their positions for want of funds. But it's rather a different thing from the awarding of tenure. Many of the people on the faculty feel that if a person is a professor, he or she should not be excused from participation in teaching, advising, etc. This would give such persons privileged status, so they could engage in scholarship, research, etc., full time. It is suspected when people of that character get on a campus, one thing they do a lot of is interacting with the people who are on the campus, including faculty, postdoctorals, graduate students, etc."

Professor P.C.T. deBoer, Mechanical and Aerospace Engineering, wondered: "What would be the influence on the people who are currently Lecturers, Senior Lecturers, and Senior Research Associates. How many think of themselves as equivalent to a professor? I have the idea that many of them do, and they may be disappointed when not promoted to this new step. This may have a poor effect on the people in those positions."

Dean Greisen said it is clear that the expectations for these new positions are rather remarkable, and many of the Senior Research Associates, etc., may feel safer in their present positions.

Professor Peter L. Auer, Mechanical and Aerospace Engineering, and member of the *ad hoc* Committee on Academic Titles, said: "Professor deBoer's question was certainly considered by the Committee. But in essence the Dean's response is the conclusion the Committee reached. By proper selection and setting a precedent, and restricting these titles to a few people, in the course of time the kind of conflict that Professor deBoer alluded to would be avoided."

There being no further discussion, a vote was taken, and the resolution adopted with but few nays.

The Chair said the next item of business was one discussed at the last meeting - the proposal to establish an Institute for Biotechnology. He called on Professor Walter R. Lynn, Civil and Environmental Engineering, and Chairman of the Committee on Academic Programs and Policies.

6. PROPOSAL TO ESTABLISH AN INSTITUTE FOR BIOTECHNOLOGY*

Professor Lynn called the body's attention to the Special Features of the Institute as listed in the resolution:

All research activities of the Institute will be open with no restrictions on discussion, submission of manuscripts, or publication of the research.

The Institute may not make faculty appointments.

Membership in the Institute is open to Cornell faculty having professional interests and research activities in scientific and educational programs of the Institute.

The Institute provides a viable mechanism for companies to support and participate in biotechnology research.

*Charter attached, Appendix D

While the establishment of this Institute clearly implies a commitment to seek external funds from company or corporate sponsors, the Institute will serve important purposes, even in the absence of such support. The Institute will support and assist academic departments in developing courses and teaching facilities in the area of biotechnology.

Participating companies may nominate scientists/employees to membership in the Institute subject to their appointment as Visiting Scientists in a Cornell academic department.

The proposed governance arrangements are appropriate to the mission of the Institute, while providing sufficient safeguards to insure that University principles, policies and procedures will be followed.

The Charter requires that the Chairperson of the FCR's Committee on Research Policies shall be a voting member of the Executive Board of the Institute.

Inasmuch as the exact number of sponsors is not stipulated in the Charter for the Institute, it is understood that the size and composition of the Executive Board and the Scientific Administrative Board may have to be adjusted to insure majority representation by Cornell faculty members.

He then stated: "In light of the discussion which took place at the April 14 FCR meeting, in which there was some discussion about the question of the size of companies and the number of companies, the Committee in discussing these matters with the proponents of the Institute resolved that issue by recommending that the reference to a specific number of companies

be deleted, and it is so done in the revised Charter. Nor does the Charter stipulate that the funding level on behalf of the sponsors be substantial.

"The Committee met four times since the April FCR meeting, with the advocates and separately. All Committee members paid close attention to the concerns and issues raised at the last FCR meeting. The major changes that have occurred in the proposed Charter are twofold: (1) There are no longer any conditions on the numbers of sponsors or on the size of their contribution; and (2) The Executive Board is now required to undertake a special three-year review for the University Administration and the Faculty. This addition to the Charter would provide the Administration and the Institute members and the FCR with the opportunity to evaluate the Institute prior to extending any contractual relationships with the sponsors.

"The proponents of the Institute have also agreed to delete any restrictions on the size of the contributing companies which were contained in the initial document, and therefore that situation is open. The Committee in considering this came to the conclusion that while these conditions are removed, the likelihood of involving small companies is little. It is not a matter of the University not wanting to have small companies participate, the question is will they participate under the conditions that are stipulated in the Charter.

"The Committee has met with some 27 faculty from about 17 academic departments, who are the proponents of this Institute, and it also has received the endorsement of ten department chairmen

and seven of the deans or directors at Cornell. That list of people was distributed at the door prior to the start of the meeting. (Appendix E, attached)

"Some of the questions the Committee addressed are as follows: First, will there be an adverse impact on those areas of the University which will not be involved with the Biotechnology Institute? It is not clear what level of funding the Institute might be able to derive from its sponsors. At the April FCR meeting, it was hoped that funding could be obtained amounting to about \$8 million a year, for five year periods. At that time, it was thought that five companies would be involved, making a total of \$40 million in current dollars. That funding is more a hope than a reality at this point, according to the advocates, and since there is no clear stipulation as to what that funding will be, it is an order of magnitude figure. The Committee examined the funding currently being used to sustain three large research enterprises now at Cornell - the Laboratory of Nuclear Studies, funded at \$8.1 million per year; the National Astronomy and Ionosphere Center, at \$6.3 million a year; and the Materials Science Center, which currently receives \$3.4 million a year. These units whose research funds are provided primarily by government agencies have been in place at Cornell for some time and the Committee was unable to ascribe any adverse affects that these units have had upon Cornell University as a whole. The Committee concluded the level of funding would not in itself be disruptive. The principal difference between the Biotechnology Institute and those cited earlier is that the principal funding

for this new unit would be derived from corporate or company sponsors.

"Secondly, would the University be better or worse off if the program disappeared within five years? The Committee reached the conclusion that the addition of major research equipment and facilities would be of considerable benefit to those faculty and students in the area of biotechnology even if the support from the sponsors were to be terminated after a five-year period. Inasmuch as the sponsors would be contributing overhead funds for libraries and other shared resources, the University would be worse off if the grant were terminated at the end of five years, since these overhead funds would no longer be available to contribute to the support of shared facilities of the University. However, the Committee believes it's fair to say that the University would be better off in terms of overhead derived from the support for the Institute than it would be without it.

"Thirdly, what is the likelihood of obtaining equivalent levels of support without the kind of corporate sponsorship discussed in the proposal? The Committee concluded that it is unlikely that Cornell could derive the kinds of support from government agencies, foundations or Cornell itself, that would be possible through the relationships described for the Institute. Agencies and foundations which provide support for research equipment facilities would not be able to provide the levels of funding required for such purposes.

"Finally, the Committee recognizes the issues involved in establishing the Institute contain some uncertainty. It is clear

that the proponents of the Institute are aware that the outcome of this University-corporate relationship created by the Institute is also uncertain. At the April FCR meeting, some faculty expressed concern about this arrangement because it might adversely affect the University. These individuals are also speculating on an outcome. The revised Charter, the Committee believes, contains sufficient safeguards and oversight that will protect the principles and practices of the University, and concluded that even if this relationship were not extended beyond the five-year period, the benefits that would accrue to the students and faculty involved in the area of biotechnology would greatly exceed the cost of the Institute. The structure for the Institute proposes a relationship with industry that is indeed unique. If the proponents of the Institute are able to involve a set of corporate sponsors under the conditions prescribed in the Charter, Cornell will have initiated a new basis for corporations to interact with universities - a basis that is constructive and in concert with the principles and practices of Cornell and far superior to those that have been negotiated between companies in some of our sister institutions. Clearly this model for biotechnology is preferable to the individual corporate faculty research arrangements that now exist at Cornell."

On behalf of the Committee on Academic Programs and Policies, Professor Lynn then moved the following resolution:

WHEREAS, a proposal to establish the Biotechnology

Institute has been submitted to the FCR and has

been reviewed by the Committee on Academic Programs and Policies; and

WHEREAS, members of the Cornell faculty are deeply involved in research and teaching in areas of biotechnology in their respective academic units and seek to enhance their efforts by establishing an Institute that will provide a means for the faculty to collaborate more effectively and develop specialized research facilities that are essential for research and teaching in these areas; and

WHEREAS, existing organizational structures are inadequate to support the faculty's interdisciplinary interests and activities in biotechnology; and

WHEREAS, an organization dedicated to advancing research and teaching in biotechnology would augment and complement the activities of the faculty carried out in their academic units; therefore

BE IT RESOLVED, that the FCR recommends that the proposal to establish a Biotechnology Institute be approved.

The Speaker opened the floor for discussion.

Associate Professor David A. Usher, Chemistry, wished to offer a friendly amendment. He moved that on page 7, after Visiting Scientist, the titles of Senior Scientist and Senior Scholar be inserted as qualified participants.

Professor Lynn said: "Amendments are technically not possible since this Charter was not created by CAPP. However, the Visiting Scientist category as described in this Charter was

deliberately chosen in a sense that these people would not be permanent people affiliated with Cornell but would be spending fixed periods of time here and they would truly be visitors. As I understand the Senior Scientist proposal, these people might be in residence for five years or even longer, and would be dependent upon generating their own support for their positions. That's not the case with the Visiting Scientist. Funds for Visiting Scientists will be provided by the Institute itself."

Professor Usher said he is suggesting they be added since apparently they will be equal in status.

Dean Greisen said he thought participation in the Institute would be open to all those people who are part of the normal staff at Cornell if they had interests in that area.

Professor Lynn replied: "The Dean is correct. I thought the conversation was about something else. Is Professor Usher suggesting that perhaps a nominee could serve as a Visiting Scientist or a Senior Scientist?"

Professor Usher replied it was not what he was asking.

Professor Lynn then stated: "Then the Dean's response is correct. A Senior Scientist at Cornell can be elected to become a member of the Institute, as can a Professor, etc."

Professor Usher said: "The Charter spells out Adjunct Professors, Professors, and since the previous agenda item updated the titles at Cornell, I think it would be nice to bring them into this resolution."

The Speaker said if there were no objections, Professor Usher's suggestion would be considered as being included.

Professor Kenneth E. Torrance, Mechanical and Aerospace Engineering, stated: "I wish to offer a comment from the Research Policies Committee of the FCR. That Committee is supportive of the revised Charter as proposed. The Committee feels that the essential features that were discussed at the previous FCR meeting have been considered by the Academic Programs and Policies Committee, and would like to record the supportive position of the Research Policies Committee on this issue."

Assistant Professor Isabel V. Hull, History, wondered if Professor Lynn could expand on the relationship between scientists and their corporate funders as it exists currently and then explain how the Biotechnology Institute represents an improvement over the relationship that currently exists?

Professor Lynn deferred the question to Professor Robert Barker, Director, Biological Sciences. Professor Barker stated: "At the present time there are a range of possibilities for the relationship between a faculty member - usually a single faculty member - and industry. In some cases, those arrangements place restrictions on the freedom of that faculty member to function as faculty members ideally should. The arrangement which is proposed here is really one in which the Institute and all who participate in it would pursue basic research in an open setting. There would be no delays in publications and there would be no restriction of discussion of matters. Such things can happen under some of the arrangements which are currently allowed by the University. In that sense, this would be an improvement. Currently, the University has a rather large number

of faculty members with individual arrangements with industry. In having this larger program, while it would not restrict faculty members from continuing to make individual arrangements as they sought fit and as were approved by the University, the larger arena would be a more open one and more in line with what is hoped the University would be."

Associate Professor Alan K. McAdams, B&PA, said: "Again, I do not see any change from the April FCR meeting. I would therefore like to restate my objections to this proposal. First, I think the idea is a good one. However, I think it is a mistake to try and marry two market structures - the private business firm whose objective is to capture benefits from research privately, and a University scientist, whose objective is to make knowledge as broadly available as possible. I am bothered by the fact that it is likely that Cornell will become identified with a very small number of very large companies in the public eye. Whatever the reality as seen by the people in the Institute, from the outside it will look as if we're in a consortium with a particular small number of very large business firms. Because of the differences in the incentives of the two organizations, the University and private business, if this proposal goes forward as it is stated, the assumptions that the University and the faculty are relying on cannot effectively be operative since it would be not in the interests of business to go forward. My understanding is that patents are not of great importance in this field because of the fact that development moves rapidly, that know-how is important, that know-how can remain proprietary to

a single business firm until a patent is issued if a patent has been applied for. This suggests to me that there is a reason why business might want to go forward with it, since during the period that a patent is applied for for a particular process, the know-how from that process would be available essentially only to a single operator. There is a very short development distance between the development in a research laboratory and a marketable product. I think that all these points fit together such that we could find ourselves allied with particular companies, being the engines of research for a small number of private businesses which is not the purpose of the University. Government is not doing its job today, and the University does have trouble getting funding, but I do not feel that this is the way to respond to the failure of government."

Professor Emeritus Franklin A. Long, Chemistry, said:

"Quite standardly, these companies have large research groups oriented for all major sciences. The linkage that would exist would in fact be between these research groups and the scientists at Cornell."

Professor McLafferty said: "I have spent quite a number of years in industry and currently have an industry-University cooperative grant. The purpose of the University in publishing research is very adequately protected here. When I do industry-University cooperative research, I publish it just as soon as it is ready for publication. Therefore what the supporting industry is gaining is not just the advance knowledge for the few months that it takes to get it published, but it is also gaining the understanding, the insight, the contact, the much

deeper look at this problem when cooperating. I do not worry, having been in industry, about somebody dropping some money on Cornell and not getting anything out of it. These are big boys and they're certainly going to look at the money and spend it with the thought that there's a probability of making a profit on it. I feel this Institute will be good both for Cornell and industry."

Professor McAdams said: "I have no worry about business putting money into a situation of this kind without the anticipation that it will pay them to do so. I am sure they will get more than the return that would be sufficient to justify it. The last comment tells me, however, that industry does expect something beyond what is widely available to others. The know-how and deeper understanding is what someone gains from working in this Institute. Industry is likely to get the know-how that is deeper and if that is true, it will reinforce my perception that the University will be in a consortium with companies that are developing their products as a result of cooperation with Cornell scientists."

Assistant Professor Simon Williams, Theatre Arts, said: "One of the concerns raised at the last meeting was that Cornell should be represented by a majority on the Scientific and Administrative Boards. On the Executive Board, it is stated that a representative from each of the industrial sponsors will be on the Board. What if in raising funds we get lucky by having 10 or 12 industrial sponsors, and there are only eight Cornell representatives on that Board? Is there going to be some means of limiting the number of industrial sponsors?"

Professor Lynn said: "Yes. The last paragraph of the resolution sheet states that adjustments in the numbers of Cornell faculty who will be on the Board may have to be made to make sure that a majority is there. This is as much a part of the legislation as the Charter itself."

Professor Watt W. Webb, Applied and Engineering Physics, said: "I am concerned about Professor McAdams' objection, since it seems to be based on the premise that there is something subversive or tainted about industrial support of fundamental research that might be carried out in the University. I have spent a third of my career as an industrial researcher and research administrator. There is a vast area of science which is appropriate for close collaboration between industrial organizations and universities. There are a good many areas besides biotechnology where scientists in this University collaborate with industrial scientists. I do not see this as a hazard in the Biotechnology Institute."

Professor Kenneth L. Robinson, Agricultural Economics, and a member of the CAPP Committee, said: "The issue which Professor McAdams raised was discussed. The decision was that it ought to be left open. The guiding committee would have to decide how to deal with the question of possible unequal contribution. Some kind of arrangement will have to be negotiated with firms and it would be better not to spell this out in advance, but leave it to the Administrative Committee to decide how to handle it."

Professor Norton said: "I am still concerned about an issue raised at the last FCR meeting - the eventual need for

facilities of this Biotechnology Institute. Has the Committee considered the upkeep of facilities if such an Institute is established?"

Professor Lynn said: "The Committee both did and didn't consider this. The charge of the Committee was to examine the Charter and make a recommendation regarding it. The proponents of the Institute have probably thought about facilities, and, perhaps someone could respond."

Provost W. Keith Kennedy responded. "The Biotechnology proposal, if successful, will require additional space and facilities. It is anticipated that the project itself will support the maintenance of the facilities. The important question is how are we going to obtain the money for the facilities originally? In the works is a possible proposal to the State of New York for funds under a new program the State has whereby it's encouraging high technology research and the maintaining of such industries. The minimum amount that would be required would be 40,000 net square feet for the Biotechnology building. This opportunity is seen as providing some long needed relief for the Section of Biochemistry, Molecular and Cell Biology. Thus a building of some 60,000 net square feet is what is being discussed - about 85-90% as large as the new Bio-Sci building - about 2/3 the size of Bradfield Tower. The State is being approached as sharing the expense to the extent of something in the neighborhood of \$13 million with up to \$5 million being added from various sources which hopefully some of the companies would help provide."

President Frank H.T. Rhodes said: "This is one of the best debates the FCR has had, and it shows the FCR at its best - response, concern and then the Committee that drafted the proposal responding responsibly to those concerns. Biotechnology is clearly here to stay - at least for the short term future - whatever is adopted. It is also clear, if you look at what's going on at other universities, Cornell has not been up in the front in seizing the opportunities. And that's probably a good thing. However, you conduct research in biotechnology, there are certain hazards and they're not biological hazards, but hazards to the integrity of the University that are involved. The first hazard is simply that without any Institute the time and effort of faculty members may well be dispersed into activities regarded as less appropriate - becoming corporate officers with a large personal holding in the shares of corporations which they sponsor. The second problem that exists is what I would call 'distortion'. It can be a distortion of academic priorities in terms of the way in which the field develops with almost accidental levels of outside funding. It can be a distortion in terms of the faculty choice of topics for research. It can be a distortion of the areas of research and inquiry into which graduate students and postdoctoral scholars are directed, and that's especially true if a faculty member has a personal stake in a corporation in which he or she is a sponsor. The third problem that emerges is the problem where secrecy becomes the pattern even within research groups - not just between research groups, but within them. Numbers of universities have already

encountered this. The fourth problem is a lack of faculty review, and even, in some cases, a lack of faculty awareness as to what the issues are and what the situation is in given cases. Finally, there is the problem of the integrity of the University as a whole. I believe the sponsors of this particular proposal have recognized those hazards very responsibly and tried to incorporate a structure which recognizes them. They haven't removed all risk and all concern - it's not possible to do that. The way to deal with the hazards is to utilize existing University structures and models and procedures that have been tried and found effective in other cases. It is possible to minimize the risks by having an arrangement in which all the rules are out on the table for faculty debate. There has to be a system for adequate faculty review - not simply when the organization comes into being - but on an ongoing basis. These things are all provided for in the proposal before us. The concerns that were raised at the earlier debate are ones that have been addressed in the modifications that have been made since that time. I am very grateful for the level of attention that the FCR has given to this."

On a vote call on the proposal as presented, it was carried. *

The Chair next called on Dean Greisen for a resolution of an additional grading symbol.

7. PROPOSAL FOR ADDITIONAL GRADING SYMBOL - "W"

Dean Greisen said: "I am speaking for the Academic Records and Instruction Committee - which has a representative on it from

* Subsequently at its meeting of May 29, the Board of Trustees voted unanimously to authorize the Administration to proceed with the development of the Cornell University Biotechnology Institute. Records, p. 11,079.

each of the academic units, half being members of the faculty, and others being administrators from the units. Concern was raised, particularly from a representative from the Arts College, about the difficulty of handling all the petitions that are presented by students for withdrawing from courses well beyond the first few weeks of the term. It was difficult for the Arts College Petitions Committee to distinguish between the honest petitions and the somewhat exaggerated portrayals of personal difficulties that justified relief for the student. It seemed there would be less frequent petitions of that sort if it were more easily possible for students to initiate a withdrawal from the course, but the present withdrawal when permitted, results in a complete expunging of the record of the student ever having registered in the course. The various college committees that had considered this did not really wish to recommend that nor did the registrars think it was consistent at all with the policy that our registrars have maintained over many years that the academic record be a complete record of the academic experience of the students."

Dean Greisen then moved the following resolution:

The Academic Records and Instruction Committee recommends to the Faculty Council of Representatives that:

1. The procedure and time frame for permitting withdrawal from courses by students will continue to be within the jurisdiction of the various colleges/schools, but whenever withdrawal takes place beyond the end of the fifth week of the fall and spring semesters (or one-

third of the duration of shorter sessions or courses), the symbol "W" will appear on the student's Cornell transcript.

2. In the spirit of maintaining the transcript as a true and complete record of what actually happened, any "W"s so recorded may be expunged only if they are determined to have been recorded through administrative oversight or error.

The Chair opened the floor for questions.

Professor Benjamin Nichols, Electrical Engineering, said:

"In the Engineering College, I am on a separate committee that deals with this type of thing, and as far as I know, it was never discussed there. It doesn't seem appropriate for the FCR to act on this at this time without having had college committees respond to it, nor students."

Dean Greisen replied: " Recently faculty committees were polled as to the matter of adding students. The ARI Committee was one that thought it inappropriate to have students since it felt the role of keeping of records of college work was an administrative one. The Academic Records Committee of the College of Arts and Sciences was consulted."

Professor Nichols said if it was appropriate, he would like to move this be tabled until the next meeting.

The Secretary of the Faculty, Professor Joseph B. Bugliari, Agricultural Economics and B&PA, asked if there was not a representative from Engineering on the ARI Committee?

Dean Greisen responded that Professor Raymond Thorpe, Chemical Engineering, is the representative.

The Speaker said Professor Nichols' motion was in order, but would prefer that he use "postpone" rather than "table".

Professor Nichols then moved that the motion be postponed until the next regular FCR meeting. The motion was seconded.

Dean Greisen said he would be interested to know if this proposal was discussed in any other college.

Professor Helen L. Wardeberg, Education, and Chairman of ARI, said in the College of Agriculture and Life Sciences, it was discussed with the Registrar, the Petitions Committee, and with the group that handles the grading.

Associate Professor John E.H. Sherry, Hotel Administration, said it was discussed in the Hotel School on a number of occasions.

Professor James E. West, Mathematics, wondered if the discussion in the Arts College was the precise wording of this resolution?

On a vote, the motion to postpone was defeated 35-28.

The Speaker said the grading proposal was still on the floor and asked if there was further discussion.

Professor Clifford J. Earle, Mathematics, said: "I am not a member of the FCR, but my opposition to the motion, especially the fifth week withdrawal deadline, prompted me to come to the meeting. Currently, the delay permitted in the Arts College is eight weeks and so there is here a considerable tightening of the policy, particularly with respect to the Arts College. Students could still withdraw after the fifth week, but it would result in a permanent record on their transcript. In the Math Department, students choose between two tracks in the same subject and it is very much in the students' interest to be allowed to switch from one to another after tasting the course for a sufficiently long time."

Assistant Professor David S. Powers, Near Eastern Studies, said: "I am also troubled by the fifth week and wonder why that number was chosen. I could conceive of many courses in which the student wouldn't get the feedback from the professor on what the first grade was either on a paper or exam until far beyond the fifth week."

Dean Greisen said: "Long before this subject arose, there existed in the Arts College, pairs of courses similar to those described by Professor Earle. The Registrar's Office has long set aside the normal restrictions on lateness of change and should make available such internal alterations of path in a way that would avoid this. Moreover, the Committee was nearly unanimous that a resolution of the general sort that's proposed here ought to be adopted, but when it came to deciding on the exact number of weeks, there was great division. The Arts College would have favored a somewhat longer period of time. The students on the Policy Committees like the longer time because they like to think there ought to be plenty of time available for students to see whether they are going to get a good grade or not before deciding whether to drop out of the course. Most faculty think that basis for the decision should not be encouraged or even permitted. Dropping out of a course should not be possible as a concealment of a failure. The five week deadline was a compromise."

Professor Nichols said: "I have been one who has been dealing with the question of petitions for freshmen and sophomores in the Engineering College for the past two years, and I have not

seen any of the problems that seem to be bothering other colleges. The Engineering college has a practice that after the first three weeks, the student has to have a petition approved by his advisor. It's essentially automatic through the first eight weeks. I think the motion is much too extreme, and I would like to have further discussion and possible modification of the proposal but since that's not possible, I will move to amend the statement 'fifth week' to 'eighth week'." The amendment was seconded.

Professor West said: "A few days ago a couple of members of the Arts College Academic Advising Center conceded that there was no unanimity among their personnel on this particular five week proposal."

On a vote call on the amendment to change from five to eight weeks, it carried.

Dean Greisen stated: "I would request authorization to make the resolution internally consistent with a change to eight weeks, the corresponding application to short courses - either short in the sense of being part of a term or summer session courses - would involve changing 1/3 of the term to half of the term."

A question was raised as to whether a solution for Professor Earle's concern would be built into this resolution.

Dean Greisen said: "I can't guarantee it, but the switching from one level of a course to another level was permitted in the past, and I will try to have it incorporated as policy in the application of the new resolution."

On a vote call on the amended proposal, it was adopted as follows:

The Academic Records and Instruction Committee recommends to the Faculty Council of Representatives that:

- 1. The procedure and time frame for permitting withdrawal from courses by students will continue to be within the jurisdiction of the various colleges/schools, but whenever withdrawal takes place beyond the end of the eighth week of the fall and spring semesters (or beyond three-fifths of the duration of shorter sessions or courses), the symbol "W" will appear on the student's Cornell transcript.*
- 2. In the spirit of maintaining the transcript as a true and complete record of what actually happened, any "W"s so recorded may be expunged only if they are determined to have been recorded through administrative oversight or error.*

The Chair again called on Dean Greisen for the final item of business.

8. RESOLUTION RE STUDENT-FACULTY COMMITTEE ON
INTERNATIONAL STUDENT AFFAIRS

Dean Greisen said: "Many years ago the faculty used to involve itself in student affairs of all types, and a number of years ago a Faculty Committee on International Student Affairs (meaning foreign student affairs) was established. There is an International Student Office which performs a very excellent job working with foreign students. Since the formation of the Student Assembly, some members of the Assembly think that they did not have enough involvement in the programs and arrangements for

foreign students, even though there were student members on the committee. As a result, a competing committee was formed in the Student Assembly with one of its members also on the International Student Affairs Committee. It was suggested that a better alternative would be to have one committee with students playing a larger role than to have two committees at cross purposes."

The Dean, noting that it had already been approved by the Student Assembly, moved the following resolution on behalf of the Faculty Committee on International Student Affairs:

RESOLVED, that the FCR endorses the replacement of its present faculty Committee on International Student Affairs with a Student-Faculty Committee on International Student Affairs which will report not only to the FCR but also to the Student Assembly. The FCR legislation regulating the present committee is to be replaced by the following:

Student-Faculty Committee on International Student Affairs

- 1. It shall be the duty of the Student-Faculty Committee on International Student Affairs to study any matters relating to international students and foreign academic staff at Cornell University. This shall include review of any University policies affecting the international community at Cornell. The Student-Faculty Committee on International Student Affairs shall report and make recommendations from time to time to the Faculty Council of Representatives, the Student Assembly, and any other appropriate agency of Cornell University.*

2. *The Student-Faculty Committee on International Student Affairs shall consist of fifteen members; of these six shall be members of the University Faculty, selected by the Faculty, five students appointed by the Student Assembly in consultation with the Director of the International Student Office, and the Student Assembly International Student At-Large representative. The Director of the International Student Office, the Executive Director of the Center for International Studies, and the Associate Dean of the Graduate School shall serve as non-voting ex officio members.*
3. *The term of appointment for the faculty members shall be three years. The terms shall be staggered such that two members rotate off the Committee each year.*
4. *The term of appointment for the student members shall be one year. The student members shall include at least two undergraduates and two graduate students.*
5. *Reappointments of committee members shall be encouraged when appropriate.*
6. *The committee shall elect co-chairpersons, of whom one shall be a faculty member and one a student member of the committee.*

Professor deBoer wondered what was meant by "...members of the University Faculty, selected by the Faculty..." Could that mean elected by the Faculty?

Dean Greisen said: "This does not dictate the method of selection. The word selected could be replaced with the word

chosen - chosen by the Faculty but without saying exactly how. There is a Faculty Committee on Nominations and Elections, and the responsibility is turned over to it, either to form the slate of candidates on which we have elections or to designate people who could then be appointed by the Dean or the President. It appears better at this point not to restrict that method but just to indicate that the faculty be involved in choosing faculty members on this Committee."

There being no further discussion, the resolution was carried unanimously.

The meeting was adjourned at 5:45 p.m.

Respectfully submitted,

Joseph B. Bugliari, Secretary

SPECIAL REPORT OF THE COMMITTEE ON SOUTH AFRICAN
INVESTMENTS TO THE FACULTY COUNCIL OF REPRESENTATIVES

This Committee was founded to find ways to express the outrage of the Cornell Community concerning apartheid in South Africa. Here we suggest that such expressions by the University and Cornell Community members could involve a broad range of current and future relationships and interactions with South Africa, including its people, institutions, and companies doing business there. This is in addition to this Committee's responsibilities regarding University investments in such companies and relevant proxy votes.

RECOMMENDATIONS

1. That campus-wide publicity be given to the list of companies doing business in South Africa whose performance there in respect to the Sullivan or equivalent principles is unsatisfactory. This will be the same list used already by this Committee in monitoring Cornell investments (see Charge 1 to South African Investments Committee by the FCR, Appendix).
2. That campus-wide publicity also be given to the issues in any involvement between South Africa (its people, institutions, government, and companies doing business there) and Cornell counterparts, pointing out possible individual or collective action by the latter to register disapproval of the present situation of apartheid in South Africa.

BACKGROUND

A major Committee effort this year has been to investigate the involvement of the Cornell Community with South Africa other than that of the University's investments (see FCR Charge 5, Appendix). We see two main areas of these involvements:

I. Companies on the "Unsatisfactory Performance" List

This Committee prepares annually a list of companies doing business in South Africa whose performance, based on the well-accepted Sullivan Principles, is unsatisfactory. The following are examples of how an administrator, faculty member, or student could be involved with such a company.

A. Administration (Trustees, President, Provost, Vice Presidents, Deans, and Department Heads)

- A1. Accepting membership on Board of Directors of the company.
- A2. Soliciting or accepting grants from the company for research or teaching or other purposes.
- A3. Bringing South African visitors to Cornell.

B. Faculty

- B1. Working with the company as paid or unpaid consultants and advisors.
- B2. Accepting projects for students (graduate or undergraduate) proposed or funded by the company.

C. Students

- Cl. Seeking employment (or taking placement interviews) with the company.

This list is not exhaustive, but is meant to be illustrative of the variety of possible involvements with a company beyond stock ownership.

This leads to the question, what should be the response of an administrator, student or faculty member involved with a company on the unsatisfactory list? While individual members of the Committee and the Committee as a whole had several strong opinions on what actions should be taken, we unanimously concluded that it would be extremely inappropriate for the Committee even to appear to be contesting the right of free speech of affiliation; thus, we have no specific recommendations. We hope, however, that as a consequence of our distributing the list of "unsatisfactory" companies, individuals will become more conscious of the implications of their decision to continue or discontinue activities with such companies.

II. Direct Linkages Between the Cornell Community and South Africa

It would appear that the Cornell Community has had a relatively small amount of direct contact with South Africa. However, those involved in the future should carefully consider the following:

A. The Admission and Training of South Africans

Training white South African students in skill areas, such as the hard sciences and computer technology, can further the oppression of the black majority group in South Africa. Student selection should involve faculty judgment as to the intent of the individual student in using those skills. Further, the Cornell Community should be made aware that white South African students studying in this country need to be encouraged to work against apartheid on returning to South Africa.

B. Direct Interactions Between Cornell Faculty and South Africa

Lecturing and technical consulting by Cornell faculty in South Africa can, in fact, strengthen that country's repressive capabilities. Furthermore, assuming a "business as usual" posture vis-a-vis white South African universities and corporate research and technical divisions in many ways indicates support for apartheid. While the principle of academic freedom would not allow the University to impose rules on faculty concerning their direct interaction with and travel to South Africa, faculty should be educated about the implications of such activities. They should be made aware of measures which could affect non-white South Africans in a positive way, such as taking Black colleagues or staff members along, insisting that Black universities be included in their itinerary, identifying or interviewing Black South Africans who are potential applicants for Cornell's academic programs, and other affirmative acts.

C. Possible More Serious Actions

The Committee notes that within recent times scholarly organizations have urged the academic boycott of Russia for its treatment of Jewish scholars and dissidents, and states which have not ratified the ERA Amendment to the U.S. Constitution have been avoided as sites for the national conventions of similar organizations. The horrible treatment

of scholars and dissidents in South Africa is well-known, but a point often missed is that the white-controlled South African Government, though it has the resources and academic infrastructure to do otherwise, is consciously dedicated to a policy that makes it impossible for any of its Black citizens to become a scholar. In fact, their policy discourages and makes impossible the education of Black children and adults, period. The situation in South Africa is extreme, and we hope that in the not too distant future faculty members at Cornell will become aware that such is the case, thus making it possible to entertain resolutions, including boycott, which today our Committee hesitates to suggest.

Submitted by the Committee:

Fred W. McLafferty, Chairman
Josephine Allen
William E. Cross, Jr.
Vithala R. Rao
Richard Rosecrance
Erik Thorbecke
Elaine F. Walker
Kenneth Greisen, ex officio

APPENDIX

On May 13, 1981, the FCR established the Committee on South African Investments with the following charge:

1. From time to time but at least annually, to inform the FCR about Cornell's investments in firms doing business or making investments in South Africa, and about evaluations of the performance of those firms in respect to the Sullivan or equivalent principles, the receptivity of the firm to unionization including black and colored workers, positive efforts of the firm to improve housing and educational opportunities for their black and colored workers and their children, and success of the firm in moving black and colored workers into managerial and other salaried positions; also the firm's activities in supplying the South African government, directly or indirectly, with equipment or facilities necessary to the maintenance of an oppressive regime;
2. to inform the FCR about the proxy votes of the Cornell Trustee Investment Committee on issues related to South Africa and the rationales therefore, including the recommendations and reasons given by the IPAC Committee;
3. to consult with IPAC in an effort to attain on both committees the best possible understanding of the South African problem and to assist IPAC in arriving at the best possible proxy vote recommendations;
4. to establish communications with counterpart faculty committees at other universities with a view to achievement of greater influence through joint actions; to make recommendations to the FCR on any opportunities for joint actions discovered through these communications; and to inform the FCR about actions taken by other colleges and universities in connection with their relations with South Africa; and

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5. to make other recommendations with reference to Cornell's involvement with South Africa that seem appropriate to the committee, for consideration by the FCR.

The concept of performance requires a firm and reliable information base which is hard to come by in a fascist state like South Africa. In March of 1977, twelve American companies became signatories to the Sullivan Principles, authored by the Rev. Leon Sullivan, a member of the General Motors' Board. Today these have received almost industry-wide approval.

THE SULLIVAN PRINCIPLES

1. Nonsegregation of the races in all eating, comfort, locker rooms, and work facilities.
2. Equal and fair employment practices for all employees.
3. Equal pay for all employees doing equal or comparable work for the same period of time.
4. Initiation and development of training programs that will prepare, in substantial numbers, black and other non-whites for supervisory, administrative, clerical, and technical jobs.
5. Increasing the number of blacks and other non-whites in management and supervisory positions.
6. Improving the quality of employees' lives outside the work environment in such areas as housing, transportation, schooling, recreation, and health facilities.

From the self-report information provided by the companies, Arthur D. Little & Company rates and categorizes each company's performance in lieu of the Sullivan Principles. This Committee considers as unsatisfactory performance that is not in, or equivalent to, the following categories:

- I. making good progress;
- II. making acceptable progress; and
- IV. endorser with few or no employees.

CORNELL UNIVERSITY CODE OF ACADEMIC INTEGRITY

principle

Absolute integrity is expected of every Cornell student in all academic undertakings; he/she must in no way misrepresent his/her work, fraudulently or unfairly advance his/her academic status, or be a party to another student's failure to maintain academic integrity.

The maintenance of an atmosphere of academic honor and the fulfillment of the provisions of this Code are the responsibilities of the students and members of the teaching staff of Cornell University. Therefore, all students and members of the teaching staff shall refrain from any action that would violate the basic principles of this Code.

I. Definition of Academic Integrity

A. General Responsibilities

1. A student assumes responsibility for the content and integrity of the academic work he/she submits, such as papers, examinations, or reports.
2. A student shall be guilty of violating the Code and subject to proceedings under it if he/she:
 - a. knowingly represents the work of others as his/her own;
 - b. uses or obtains unauthorized assistance in any academic work;
 - c. gives fraudulent assistance to another student;
 - d. fabricates data in support of laboratory or field work;
 - e. forges a signature to certify completion or approval of a course assignment;
 - f. in any other manner violates the principle of absolute integrity.

B. Specific Guidelines

The following are the specific rules and regulations in regard to the general responsibilities listed under I.A.2. above.

1. **Examinations.** During in-class examinations no student may use, give or receive any assistance or information not given in the examination or by the proctor. No student may take an examination for another student. Between the time a take-home examination is distributed and the time it is submitted for grading by the student, the student may not consult with any persons other than the teaching staff member in charge of the course and teaching assistants regarding the examination. The student is responsible for understanding the conditions under which the examination will be taken.
2. **Course Assignments.** Students are, of course, encouraged to discuss the content of a course with each other and to help each other to master it, but a student should not receive help from

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others in doing a course assignment that is meant to test what the student can do on his/her own without help from others. Representing another's work as one's own is plagiarism and a violation of this Code. If materials are taken from published sources the student must clearly and completely cite the source of such materials. Work submitted by a student and used in the determination of a grade in a course may not be submitted by that student in a different course, unless approved in advance by the teacher of the different course.

3. The crucial underpinning of all specific guidelines regarding academic integrity remains that the student's submitted work, examinations, laboratory reports and term projects, must be his/her own work and no one else's.

C. Variations

A teaching staff member in charge of a particular course may, at his/her discretion, make additions to or revisions of these guidelines for application in that course. It is his/her responsibility to make clear to his/her students and teaching assistants specific regulations concerning academic integrity that apply to work in his/her course.

II. Organization and Procedures

- A. The teacher in charge of the course may notify his or her college's Academic Integrity Hearing Board that a hearing should be conducted before that Board, OR he/she may summon the student to a primary hearing.

B. Primary Hearing

1. Notification. If, after investigation, possibly including discussion with the student, the teacher in charge of the course believes that a student has violated the Code of Academic Integrity, the teacher shall present the student with the charge. Subsequently, the student will be called to an interview in the office of the teacher. This interview shall be as soon as it is practical to have it after the alleged infraction has come to the attention of the teacher. The student shall be given at least one week's notice of the interview measured from the time of dispatch.
2. Composition. At the interview the following will be present: the teaching staff members concerned, the student in question and a third party independent witness. The independent witness shall be a student or faculty member appointed by the department. In addition, the student may bring to the hearing, among other proof of his/her innocence, other witnesses.
3. Procedure.
 - a. At the interview, the teaching staff members shall present evidence in support of the charge against the student. The student shall be given an opportunity to respond and, if he/she wishes, to present evidence refuting the charge.

- b. After hearing the student, the teacher in charge of the course may either dismiss the charge or find it supported on the basis of the evidence before him/her. If the student is found guilty, the teacher in charge of the course may assign a failing grade in the course or in some portion of it.
- c. The function of the independent witness is to observe the proceedings impartially, and be prepared to testify as to the procedures followed in the event of an appeal from the judgment of the teaching staff member.
- d. A student wishing to appeal the decision may bring the case before the Academic Integrity Hearing Board of the teaching staff member's college.
- e. A teaching staff member who gives a failing or reduced grade in a course, or in some portion of it, as a penalty for a violation of academic integrity shall report this action and the nature of the violation to the Secretary of the Academic Integrity Hearing Board of the student's college.

C. College Academic Integrity Hearing Boards

- 1. **Composition.** Each college in the University shall establish an Academic Integrity Hearing Board. It shall consist of the following:
 - a. A chairperson shall be a member of the faculty appointed by the dean of the college and shall hold office for one year.
 - b. Three faculty members, elected for three year terms by the faculty of the college.
 - c. Three students elected by procedures approved by the director of resident instruction or similar official of the college. They may also be appointed by the director of resident instruction. The students shall serve for one year and may be reelected.
- 2. **Original Jurisdiction.** The college Academic Integrity Hearing Board shall have original jurisdiction over breaches of this Code only if the teaching staff member in charge of the course wishes to omit the primary hearing.
- 3. **Appeals.**
 - a. The student may appeal from the decision of the primary hearing if:
 - i. He/she believes he/she was not given due process.
 - ii. He/she believes the penalty was too strict considering the offense.
 - iii. He/she contests the judgment of the teaching staff member.

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- b. The teaching staff member in charge of the course may bring the case to the Hearing Board if he/she believes a failing grade is too lenient considering the offense.
- c. The dean of the student's college may summon the student to appear before the college Hearing Board in the event of more than one violation of the Code by the student.
- d. In case of appeal to the Hearing Board, the student or teacher in charge of the course shall notify the chairperson of the Hearing Board of the college offering the course. This must be done by the end of two weeks following the primary hearing. An exception to this deadline may be granted at the discretion of the Chair of the Hearing Board on a showing of good cause.

4. Procedures.

- a. Each Board shall conform to procedures established by the Faculty Council of Representatives.
- b. The chairperson shall convene the Academic Integrity Hearing Board as soon after an appeal as it is practical to do so and provide the teaching staff member, the student and the independent witness with at least seven days notification of the time and place of the meeting. If a grade for the student in the course must be submitted, the teacher in charge of the course shall record a grade of incomplete, pending a decision by the Hearing Board.
- c. Those present at the hearing shall be:
 - i. The student, who has the right to be accompanied by an advisor and/or by witnesses,
 - ii. The responsible member of the teaching staff, who has the right to bring witnesses,
 - iii. The third party, independent witness,
 - iv. Any other person called by the chairperson.

Should the student or the responsible member of the teaching staff fail to appear before the Hearing Board, the Board shall have the full authority to proceed in his/her absence.

- d. The Board members will question all available parties to the dispute and examine all the evidence presented. It may solicit outside advice at the discretion of the chairperson.
- e. The student shall have the right to present his/her case and to challenge the charges or the evidence.
- f. A majority of the members of the Board shall decide the issue. The chairperson shall vote only in the case of a tie vote.

- g. Each Board shall have an executive secretary whose responsibility it is to keep clear and complete records of the proceedings. The records, however, will remain confidential and may be examined only by parties to the dispute, present members of the Board or persons obtaining approval from the dean of the college.
 - h. The chairperson shall notify each party to the dispute, in the form of a written summary report, of the Board's decision and if appropriate, the penalty imposed. If the judgment of the teaching staff member is upheld by the Board, or if the Board feels a penalty stronger than a failing grade is warranted, the dean of the college offering the course and the dean of the student's college shall also receive the report.
 - i. If the student's college is different from the one offering the course, the chairperson shall alter the composition of the Board hearing the case by substituting one faculty member and one student from the Hearing Board of the student's college for one faculty member and one student on the Hearing Board of the college offering the course.
5. Actions. The Board may act in one or more of the following ways:
- a. Find the student innocent of the charge.
 - b. Recommend that the penalty decided on by the teaching staff member be reduced from a failing grade in the course or in some portion of it to a failing grade in some smaller portion of it.
 - c. Allow the teaching staff member's decision to give the student a failing grade in the course or some portion of it to stand.
 - d. If there was no primary hearing, recommend that a failing grade be recorded for the course, or for some portion of it.
 - e. Recommend to the dean of the student's college that the student be expelled from the University.
 - f. Recommend to the dean of the student's college that the student be suspended from the University for a period of time.
 - g. Recommend to the dean of the student's college that the words "declared guilty of violation of the Code of Academic Integrity" be recorded on the student's transcript. The Hearing Board may set a date after which the student may petition the Board to have these words deleted from the transcript.
 - h. Require counseling with a member of the University staff or an outside counseling agent. The college Board should make every effort to see that the student has fulfilled this requirement.
 - i. Seek to get the student and teaching staff member to agree to some settlement of the case that the Board deems more suitable than any provided for in the preceding clauses of this section.

6. The decision of a Hearing Board may be appealed by the student to the dean of the student's college. Such an appeal must be brought by the end of the fourth week after the decision. Exceptions to this deadline may be granted by the dean on a showing of good cause. In no such appeal may the dean increase the penalty recommended by the Hearing Board, unless the Hearing Board had original jurisdiction in the case. It shall be the responsibility of the dean of the student's college to ensure that an action of sort e, f, or g (section 5) recommended by a Hearing Board is carried out, or else to give the recommending Board a written explanation of the dean's decision that it should not be carried out.
7. Annual Reports. Each college Academic Integrity Hearing Board shall submit a summary report of its proceedings to the Dean of the Faculty at the end of the academic year.
8. Existing school honor codes, as in the College of Veterinary Medicine and the Law School, are not governed by the foregoing legislation but a college or school receiving such an exemption shall be required to file a current copy of its Academic Honor Code with the Office of the Dean of Faculty at the beginning of each academic year.
9. In the case of a student who is alleged to have violated this Code in a course subject to a school honor code but where the student involved is not subject to the honor code because of registration from another college, all actions beyond the primary hearing revert to the Hearing Board of the student's college.
10. Records of Actions. If the Hearing Board finds the student innocent of the charge, no record of the charge or of a primary hearing on that charge shall be retained. Otherwise a record of the outcome of the case and the nature of the violation shall be kept by the Secretary of the Hearing Board in the student's college. A student's record of convictions, by Hearing Boards or by members of the teaching staff in primary hearings, shall be disclosed only to deans of colleges or Hearing Boards who are considering another charge of academic dishonesty against the same student. This does not preclude entry on the student's transcript by action of a Hearing Board in accordance with section II.C.5.g.

March 22, 1982

Report of the Dean for the ad hoc Committee on Academic Titles

At the behest of the Committee on Research Policies, the Review and Procedures Committee, and the Executive Committee of the FCR, an ad hoc Committee on Academic Titles was established at the beginning of the 1981-82 academic year. Those who have served on the committee are:

Peter L. Auer, Mechanical and Aerospace Engineering
Joseph B. Bugliari, Agricultural Economics
Geoffrey V. Chester, Associate Dean, Arts and Sciences
W. Donald Cooke, Vice President for Research
Robert E. Doherty, Associate Dean, Industrial and Labor Relations
Donald D. Eddy, Librarian, Rare Books
Joan R. Egner, Associate Dean, Agriculture and Life Sciences
Edgar L. Gasteiger, Veterinary Medicine
Lucinda A. Noble, Director, Cooperative Extension
Peter Rainsford, Assistant Dean, Academic Affairs, Hotel Administration
Edwin L. Resler, Mechanical and Aerospace Engineering
Nancy C. Saltford, Associate Dean, Human Ecology
Ethel Samson, Cooperative Extension
Kenneth Greisen, Dean of Faculty (acting as Chairman)

The charge given to the committee was:

- (1) to review existing academic titles along with the new titles of senior scientist and senior scholar that have been proposed, with a view towards recommending either additions to or deletions from the list, or revised specifications to clarify the entries;
- (2) to consider questions pertaining to the extension of membership in the University Faculty to certain classes of academic positions not now granted such membership; and
- (3) to consider the formulation of statements regarding the normal duties and responsibilities of faculty members holding the various titles recommended for retention.

In regard to charge (3), the committee decided to reaffirm the status quo. Cornell is so diverse that uniform job descriptions for its faculty members would be unproductive and undesirable. The duties and responsibilities of a position should be spelled out with care in the letter of appointment. Thereafter, of course, departmental needs and priorities may evolve and alter. In regular performance reviews, and especially at times of reappointment, the expectations regarding duties and responsibilities should be discussed again between the chairperson and faculty member, and mutual understanding be achieved regarding any changes in the expectations. While the chairperson carries authority in the event of a disagreement, a grievance procedure exists whereby a faculty member can obtain review of any decisions that appear arbitrary or unfair.

Regarding charge (2), the committee decided that since there already exists a faculty committee to study problems related to membership in the Faculty, the ad hoc committee would leave these questions to the existing committee.

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Charge (1), on the other hand, was discussed at length.

The following inquiry had been sent to deans, directors and department heads of the University:

Re: Senior Scientist and Senior Scholar Positions

The attached proposal for the establishment of these positions ran into opposition at the May 20 meeting of the University Faculty, at which a motion to postpone action on the proposal was passed by a small margin.

The three faculty committees which have reviewed the proposal had not viewed it with alarm or seen reasons for strong opposition, or even any important unanswered questions (given that any new type of position will acquire more definite form in the course of its use). There clearly were considerations that were overlooked. Before handing the matter to another committee, I invite any comments or suggestions for change that you think may improve the proposal. It would be most helpful if these would be sent to me by the end of June.

Twenty six replies were received, mostly including carefully considered arguments. Four of these replies were indifferent (i.e., neutral); eight were opposed to establishing the titles, but only a few of these were deeply opposed; while fourteen were in favor, mostly quite strongly in favor of the idea.

The committee's discussions led to a consensus agreeing with the above majority verdict. In short, it was conceded that a distinguished new title would be of decisive influence on Cornell's ability to attract and retain very outstanding scholars and scientists. The number of these would presumably be small, but their effect on the enterprise of research and scholarship at Cornell and on the prestige of the institution could be great.

Existing titles were judged inadequate to fill the need. The title of professor presumes a considerable fraction of the effort would be spent in teaching and associated duties. The person might not be outstanding in those activities, and it might be counterproductive to impede his or her research and scholarship with such requirements. The person might not be willing to come or remain under such conditions. Furthermore, the title of professor would imply the granting of tenure and prevent the support of the position on soft money. But such a person might so strengthen the investigative capability of Cornell in some areas, if permitted to engage in uninterrupted research and scholarship, that the obtaining of continued external support for the position would not be a problem.

The titles of courtesy, acting, adjunct and visiting professor, or of visiting fellow, are likewise inappropriate.

The closest appropriate title at present is senior research associate. But there are now more than eighty holders of this title in the University, and it no longer carries very high distinction; certainly not equivalent to that of a full professor.

When the proposal to create the titles of Senior Scholar and Senior Scientist was introduced to the University Faculty in the spring of 1981, it had certain weaknesses or lack of definition which aroused questions. Chief among the questions were those concerning (1) the selection procedures and (2) the

incumbent's relationship to, or membership in, various units of the faculty such as the graduate faculty, a departmental faculty, and so on. There was also concern that the hundreds of research associates at Cornell would regard the new positions as normal steps in the promotional ladder, to which they all might aspire, so that the positions might not remain very distinguished after all. The committee considered these questions to be well grounded, but the objective of establishing the high-level research positions to be of such value as to justify an attempt to eliminate these weaknesses from the proposal. The result is embodied in the resolution given below.

It may be noted that appointment to these positions would now require, first, approval by a unit of the faculty after a review that includes external evaluations; second, review by an ad hoc committee and approval by an academic dean; and finally approval by the Provost. With this care in appointment, the stature equivalent to full professor can certainly be maintained. Secondly, the membership of such individuals in departments, centers, institutes, the graduate faculty, and so on, can be decided by those faculties depending on the appropriateness of the individual for such membership. Furthermore, these individuals, being non-tenured, would not have a vote on the promotion of a member of the faculty to tenure. With these pretections, there need be no fear that these positions will in any way dilute the quality of the faculty. Rather, they may permit the strengthening of our common enterprise at crucial points by enabling the appointment of truly exceptional people who will enhance the creative posture of the University. Nor will they weaken the teaching function of the University. Teaching occurs at many levels. They will interact most directly, probably, with faculty and graduate students; but a strengthening of this group filters down to undergraduate instruction in a positive way. One does not lose by enhancing our capability of attracting brilliant minds to our community.

SENIOR SCIENTIST AND SENIOR SCHOLAR

RESOLVED, That the University Faculty recommends to the President the creation of new non-professorial positions with the titles Senior Scientist and Senior Scholar, to which individuals of high distinction in research and scholarship may be appointed. These positions will carry the professional stature of full professor and have salary levels commensurate with that status. Persons may be appointed directly to the position or promoted from other ranks in the University. They may be involved with the teaching program, consistent with the terms of the funding of the position, but their primary role will be research and scholarship. Questions of membership in any of the faculties of the University will be decided by the legislation of the individual faculties and the Bylaws of the University. Membership in sections, centers, divisions, institutes, laboratories, or programs will be determined by those bodies on an individual basis. Individuals may be initially nominated for appointment as Senior Scientist or Senior Scholar by any director or department chairman after review and approval by the faculty of the appropriate unit (center, institute, program, department, laboratory, section, division, etc.). Such review

shall include professional evaluations solicited from individuals external to the unit and external to Cornell. The nomination shall be made to an appropriate dean, who shall appoint an ad hoc committee to advise the dean on whether or not to endorse the nomination. The dean's recommendation shall be reviewed by the Provost, and the appointment be made by the President. The appointment can be for a period of up to five years, indefinitely renewable. The continuation of appointments for more than one year may be contingent on the availability of funds.

4/29/82

CORNELL UNIVERSITY BIOTECHNOLOGY INSTITUTE**CHARTER****PREAMBLE:**

Biotechnology is a broad term used to describe the management of biological systems to serve human needs. Through biotechnology, basic biological and engineering principles are brought to bear on problems of importance in agriculture, engineering, and veterinary and human medicine. In recent years, discoveries in molecular and cell biology, particularly in molecular genetics, have been shown to hold a potential for great benefit to society. These discoveries also have caught the interests of scientists in many other fields, have enhanced the interest of industries in research in the biological and engineering sciences, have great implications for the education and training of biologists, engineers, agricultural and medical scientists, and have broad implications for society as a whole.

Because of the cross-disciplinary nature of biotechnology, a need exists to establish interdisciplinary programs in leading research universities that will facilitate research, education and training, doing so with the full cooperation of the contributing disciplines and in a fashion that supports the commitment of universities to the free transmission of scientific knowledge.

(over)

The faculties of Cornell University have many members with substantial expertise in biotechnology and the basic disciplines that support it. Among them are many individuals with a strong interest in a program that will facilitate development of such interdisciplinary efforts. This interest exists in many departments in the Colleges of Agriculture and Life Sciences, Arts and Sciences, Engineering, and Veterinary Medicine as well as in the Division of Biological Sciences, the Division of Nutritional Sciences, and the Boyce Thompson Institute for Plant Research which is located on the Ithaca campus. At this time, there is no organizational structure at Cornell that can facilitate the collaboration that is desired among faculty members, students, and administrative units for the development of programs in biotechnology.

During the past few years, industrial firms have shown interest in forming associations with universities for the pursuit of research related to biotechnology. Generally, these associations involve individual faculty members or financial support to narrowly defined research projects and do not necessarily enhance the development of broad university programs in biotechnology. Although the support of industry may be important for a particular research program, preferably such support should initiate and foster interdisciplinary programs, and enhance the education of young scientists. These aims could be furthered if industry were to join Cornell in the creation of

a program to provide a strong foundation for research and education that is based on and supports the University's commitment to excellence, to basic research, to its land-grant mission, and to open and free communication.

To address these goals, Cornell University will establish the Cornell University Biotechnology Institute and seek industrial sponsorship to further the effort. The Institute will be a campus-wide interdisciplinary research and educational program with all the research being open and in the university tradition of the ready exchange of knowledge. The University would reserve the right to enter into agreements with other industrial sponsors for the support of research projects in biotechnology which are not supported by the Institute.

The primary purpose of the Institute will be to stimulate, focus and coordinate research and education in the biotechnology, derived primarily from molecular biology, on the Ithaca and Geneva campuses. The programs of the Institute will complement and support related programs in the basic and applied disciplines and create a scientific environment which would permit Cornell University to become preeminent in biotechnology.

Specifically the Biotechnology Institute will:

1. operate in accordance with the principles and policies of Cornell University;
2. stimulate and encourage interested faculty to participate in collaborative research efforts in the basic sciences related to biotechnology;

3. serve as a focal point for facilitating a more effective flow of information between faculty conducting independent research in areas related to biotechnology;
4. develop relationships with industry for the conduct and support of research programs in the Institute to be conducted in the university tradition of openness and free exchange of knowledge;
5. assist in the development of graduate and undergraduate teaching programs;
6. serve generally to stimulate graduate and undergraduate interest in biotechnology and prepare students for careers in biotechnology;
7. develop and organize seminar programs, symposia, workshops, and short courses of broad interest;
8. develop and support scientific facilities for research and teaching in biotechnology.

ORGANIZATION

EXECUTIVE BOARD

Membership

The Cornell Institute for Biotechnology will have an Executive Board consisting of the Vice President for Research, the Deans of three of the participating Colleges, the Director of the Institute, the Director of the Division of Biological Sciences, a representative from each of the industrial sponsors, two Cornell faculty who are members of the Institute, and the Chairperson of the Research Policy Committee of the Faculty Council of Representatives.

Duties and Responsibilities

The Executive Board will:

1. be chaired by the Vice President for Research;
2. review and approve the budget of the Institute and act on scientific policy recommendations of the Scientific Administrative Board;
3. adopt bylaws for the governance of the Institute, including procedures for the selection of the Director and the members of the Scientific Administrative Board;
4. when vacancies occur, approve sponsors for participation in the Institute on the basis of their effectiveness in contributing to the Institute's program;
5. regularly evaluate the performance of the Institute and provide for comprehensive five-year reviews; such reviews will be made available to the sponsors, the University administration and the University faculty;
6. prepare a special review, in the third year after the establishment of the Institute, for distribution to the sponsors, the University administration and the University faculty;
7. prepare and submit an annual report to the President of Cornell University and the appropriate officers of the sponsoring organizations;
8. meet at least four times a year.

DIRECTOR

The Director of the Institute will be a faculty member of Cornell University. The Director will be appointed by the Cornell Board of Trustees on the recommendation of the Executive

Board for a term of five years and report to the Vice President for Research.

Duties and Responsibilities

1. provide scientific leadership for the Institute;
2. prepare and submit plans, reports, and budgets to the Scientific Administrative Board and to the Executive Board for appropriate action;
3. serve as Chairman of the Scientific Administrative Board;
4. keep the Executive Board informed of the deliberations, recommendations, and actions of the Scientific Administrative Board;
5. collaborate with the academic units of the University to improve and facilitate education in biotechnology.

SCIENTIFIC ADMINISTRATIVE BOARD

Membership

The Institute will have a Scientific Administrative Board consisting of the Director of the Institute, the Vice President for Research (ex-officio), the Director of the Division of Biological Sciences (ex-officio), eight Cornell faculty members who are members of the Institute and representative of the Institute's major areas of research emphasis, and a Visiting Scientist from each sponsor. Appointments of the members will be for staggered three-year terms.

Duties and Responsibilities

The Scientific Administrative Board will:

1. advise and assist the Director and the Executive Board in the overall planning, implementation, and coordination of the Institute's programs;
2. identify the long-term scientific goals of the Institute and formulate plans for the development of specific program activities in the Institute within the broad scientific areas of the Institute;
3. establish appropriate policies regarding membership in the Institute for Cornell faculty and Visiting Scientists;
4. develop policies for the allocation of research funds and establish procedures for the review of research proposals.

MEMBERSHIP IN THE INSTITUTE

Membership in the Institute will be open to individuals whose professional interests and research activities are consistent with the scientific and educational programs of the Institute. They will be appointed by the Scientific Administrative Board. Members of the Cornell University faculty, visiting professors, adjunct professors, Visiting Scientists, and senior research associates will be eligible for membership. Consistent with University policies for visitors, all Visiting Scientists affiliated with the Institute will be required to hold an appointment in an academic department of the Statutory or Endowed Colleges or a Section of the Division of Biological Sciences at Cornell University.

INDUSTRIAL PARTICIPANTS

The Institute will seek support for its program from industry, as well as from State and Federal programs which are designed to facilitate academic-industrial interaction. Each industrial sponsor will provide financial support for the general programs of the Institute on a long-term basis. Each will provide members of the Executive and Scientific Administrative Boards of the Institute. Each will be expected to involve a small number of its scientific staff in collaborative research within the Institute. All research within the Institute will be open and any arrangements will conform to current University policies and procedures. Through the Institute, sponsors will have the opportunity for collegial relationships with Cornell scientists and be partners with the University in expanding the frontiers of biotechnology. From this, they will be able to enhance their own basic research and development programs and to provide their staff with specialized knowledge essential to their internal efforts.

/crd

List of faculty who have been involved in the preparation
of the proposal for the Biotechnology Institute and who
are supportive of the concept

William J. Arion - Professor, Division of Nutritional Sciences
 Robert Barker - Professor, Section of Biochemistry, Molecular and Cell Biology;
 Director, Division of Biological Sciences
 Peter J. Bruns - Professor and Chairman, Section of Genetics and Development
 David L. Call - Professor, Department of Agricultural Economics; Dean of the College
 of Agriculture and Life Sciences
 Geoffrey V. Chester - Professor, Department of Physics; Associate Dean of the College
 of Arts and Sciences
 W. Donald Cooke - Professor, Department of Chemistry; Vice President for Research
 Raymond H. Cypess - Professor, Parasitology and Epidemiology; Director, Veterinary
 Diagnostic Laboratory; Chairman, Department of Preventive Medicine
 Thomas E. Everhart - Professor, Department of Electrical Engineering, Joseph Silbert
 Dean of Engineering
 Robert K. Finn - Professor, Department of Chemical Engineering
 Robert H. Foote - Professor, Department of Animal Science; Jacob Gould Schurman Professor
 Gordon G. Hammes - Horace White Professor of Chemistry and Biochemistry
 William Hansel - Professor and Chairman, Veterinary Physiology Department; Liberty Hyde
 Bailey Professor of Physiology
 Theodore L. Hullar - Adjunct Professor, Department of Natural Resources; Director,
 Cornell University Agricultural Experiment Station; Director of
 Research, College of Agriculture and Life Sciences
 James E. Hunter - Professor, Department of Plant Pathology, New York State Agricultural
 Experiment Station-Geneva
 Andre T. Jagendorf - Professor, Section of Plant Biology; Liberty Hyde Bailey Professor
 John E. Kinsella - Professor and Chairman, Department of Food Science; Liberty Hyde Bailey
 Professor
 Simon A. Levin - Professor, Section of Ecology and Systematics; Director, Ecosystems
 Research Center
 Aaron Lewis - Associate Professor, Department of Applied Engineering Physics
 Richard E. McCarty - Professor and Chairman, Section of Biochemistry, Molecular and
 Cell Biology
 Douglas D. McGregor - Professor, Veterinary Microbiology; Director, James A. Baker
 Institute for Animal Health
 Edward C. Melby, Jr. - Professor, Veterinary Medicine; Dean, College of Veterinary
 Medicine
 Mandayam V. Parthasarathy - Professor and Chairman, Section of Plant Biology
 Harold A. Scheraga - George W. and Grace L. Todd Professor of Chemistry
 Norman R. Scott - Professor and Chairman, Department of Agricultural Engineering
 Geoffrey W. G. Sharp - Professor and Chairman, Veterinary Pharmacology
 Michael L. Shuler - Associate Professor, Department of Chemical Engineering
 Don F. Splittstoesser - Professor, Food Science and Technology, N.Y. State Agricultural
 Experiment Station-Geneva
 Adrian M. Srb - Professor, Section of Genetics and Development; Jacob Gould Shurman
 Professor
 Maurice J. Tauber - Professor and Chairman, Department of Entomology
 Watt W. Webb - Professor, School of Applied Engineering Physics
 Christopher R. Wilkinson - Professor, Department of Entomology
 O. C. Yoder - Associate Professor, Department of Plant Pathology
 Milton Zaitlin - Professor, Department of Plant Pathology
 Stephen H. Zinder - Assistant Professor, Department of Microbiology

REPORT ON FCR ELECTIONS

Spring 1982

EXECUTIVE COMMITTEE, 4 seats

Terrence L. Fine
Francine A. Herman
William W. Lambert
Mary Beth Norton

EXECUTIVE COMMITTEE, 1 non-tenured seat

David H. Holmberg

ACADEMIC FREEDOM AND RESPONSIBILITY COMMITTEE, 1 seat

Edgar M. Raffensperger

BUDGET COMMITTEE, 2 seats

Peter L. Auer
Alan K. McAdams

FREEDOM OF TEACHING AND LEARNING COMMITTEE, 1 seat

Isaac Kramnick

PHYSICAL EDUCATION COMMITTEE, 2 seats

Christopher Bull
Barbara L. Peckarsky

PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY COMMITTEE, 1 seat, 3-year term
1 seat, 2-year term

Robert C. Lind - 3-year term
Robert G. Bland - 2-year term

RESEARCH POLICIES COMMITTEE, 2 seats

George A. Hay
George F. Scheele

May 19, 1982

110 Ives Hall

The Speaker, Russell D. Martin, called the meeting to order at 4:30 p.m. He called on the President, Frank H.T. Rhodes, for an announcement.

1. ANNOUNCEMENT OF DEATHS

President Rhodes read, with regret, the names of colleagues who have died during the last year:

Frank A. Pearson, II, Professor Emeritus, Prices and Statistics (Ag. Econ.), May 31, 1981.

Jay E. Hedrick, Professor Emeritus, Chemical Engineering, June 10, 1981.

LeRoy L. Barnes, Professor Emeritus, Physics, June 11, 1981.

Gustave F. Heuser, Professor Emeritus, Poultry Husbandry, May 27, 1981.

Goldan O. Hall, Professor, Poultry Husbandry, retired, June 11, 1981.

Jacob Wolfowitz, Professor, Mathematics, retired, July 16, 1981.

Jack C. Kiefer, Horace White Professor of Mathematics, Emeritus, August 10, 1981.

Jennette Evans, Professor Emeritus, Clinical and Preventive Medicine, August 23, 1981.

Orvis F. Johndrew, Jr., Professor Emeritus, Poultry Science, September 19, 1981.

Mary F. Henry, Professor Emeritus, Home Economics, October 2, 1981.

Curtis P. Nettels, Professor Emeritus, American History,
October 19, 1981.

Matthew Bernatsky, Professor Emeritus, Hotel Administration,
approx. July 20, 1981.

H. Victor Grohmann, H.B. Meek Visiting Professor, Hotel
Administration, Emeritus, November 27, 1981.

Louis W. Kaiser, Professor Emeritus, Communication Arts,
December 18, 1981.

Norman Penney, Professor Emeritus, Law, December 30, 1981.

Robert T. Clausen, Professor Emeritus, Biology,
December 31, 1981.

Lewis W. Morse, Professor Emeritus, Law, January 25, 1982.

Myron D. Lacy, Professor Emeritus, Animal Science,
January 26, 1982.

Kenneth K.G. Parker, Professor Emeritus, Plant Pathology,
October 1, 1981.

Gary R. Bolton, Associate Professor, Clinical Sciences,
February 10, 1982.

Joseph O. Jeffrey, Professor Emeritus, Materials Science
and Engineering, February 12, 1982.

Herbert Mahr, Professor of Physics, Laboratory of Solid
State Physics, March 10, 1982.

John D. Gilpatrick, Associate Professor, Plant Pathology,
Geneva, March 3, 1982.

The members of the Faculty stood for a moment of silence
in memory of their colleagues.

The Chair next called on the Dean of the Faculty, Kenneth
Greisen, for two announcements.

2. ANNOUNCEMENTS FROM DEAN OF FACULTY

Dean Greisen said: "On April 30, an Association of Cornell University Emeritus Professors was founded. I extend an invitation to faculty who are at or near retirement to join, and they could do that by merely expressing an interest in the organization. The title is to some degree a misnomer. The impetus for getting this organization together came from Emeritus professors and they couldn't think of a better title, but they didn't mean to exclude other academic people, who after long service, have retired from the University. So in spite of the title, other academic employees who retire after 10 years of service are welcome. The officers are: President, Blanchard L. Rideout, Professor Emeritus, Romance Studies; Vice President, Mary K. Bloetjes, Professor Emeritus, Human Nutrition and Food; and Secretary-Treasurer, Byron W. Saunders, Professor Emeritus, Operations Research and Industrial Engineering. In addition, there are other members of the Executive Council: Sara E. Blackwell, Professor Emeritus, Human Service Studies; Milton R. Konvitz, Professor Emeritus, ILR and Law; Franklin A. Long, Professor Emeritus, Chemistry; Frederick H. Stutz, Professor Emeritus, Education; and the Dean of Faculty as an *ex officio* member. It is hoped the organization will be an active one, with the purposes of creating social and professional community among retired individuals who share the experience of being Cornellians and facilitating the utilization of their skills and knowledge in the service of the University. Records will be maintained for that group in the Office of the Dean of Faculty. Those who indicate a wish to join - up to July 1 of this year - will be considered founding members.

"The second announcement I wish to make is from the new Director of CURW, Robert L. Johnson, Jr., who regrets that he couldn't be here for this meeting, but wanted to extend a special invitation to the retiring faculty members to attend the Baccalaureate Service on Commencement Day, May 30, at 10 a.m. in Bailey Hall. Part of the purpose of that service is to honor retiring members of the faculty, as well as the graduating class."

The Chair said the one item of business which requires a quorum if it comes to a vote, is the next one, and suggested that discussion be limited to 5:15 which would allow sufficient time to complete the other items on the agenda. There were no objections to that suggestion.

The Chair called on the Secretary of the Faculty, Professor Joseph B. Bugliari, Agricultural Economics and B&PA, for two resolutions from the Membership Committee.

3. RESOLUTIONS FROM MEMBERSHIP COMMITTEE ON EXTENSION
 OF MEMBERSHIP IN THE UNIVERSITY FACULTY TO ACADEMIC
 RANKS NOT PRESENTLY INCLUDED

On behalf of the Membership Committee of the University Faculty, Professor Bugliari proposed the following resolutions:

RESOLVED, that the University Faculty recommends to the Board of Trustees that, beginning on July 1, 1983, voting membership in the University Faculty be expanded to include Ithaca and Geneva-based academic staff holding the titles of Senior Lecturer, Senior Research Associate, Senior Extension Associate,

Librarian, Associate Librarian, Archivist and Associate Archivist.

RESOLVED further, that the University Faculty recommends to the Board of Trustees that, beginning on July 1, 1983, voting membership in the University Faculty be expanded to include Ithaca and Geneva-based academic staff holding the titles of Lecturer, Instructor, Research Associate, Extension Associate, Senior Assistant Librarian, Assistant Librarian, Senior Assistant Archivist and Assistant Archivist who have held these positions on a full-time basis for three consecutive academic years or more, and who are not degree candidates at Cornell University.

Professor Bugliari stated: "The other members of the Membership Committee are: Leland E. Carmichael, Veterinary Medicine; Esther G. Dotson, Arts and Sciences; and Gertrude Armbruster, Human Ecology. Nearly two years has been spent in coming up with this final proposal. When the new tri-cameral division in the University was established - the Student Assembly, Employee Assembly and the FCR - it became obvious that the people being dealt with in this resolution fell somewhere in the cracks. When there was a Campus Council or another body that was University-wide, there was a place for them. Finally it was decided they would be considered as among the employees for lack of any other place to put them. I believe, however, they feel much more of an affinity with the faculty group. But a better reason for including these people in membership of the University

Faculty is that their duties and functions are academic, including responsibilities of teaching, research or extension, that are closely tied with the Faculty. It seemed to the Membership Committee that they should have some voice in academic matters as members of the University Faculty, through participation in the FCR, and on Faculty committees. They are also separated in the resolutions into two groups: those who the Membership Committee thought were clearly senior academic employees, as outlined in the first resolution; and those in other academic ranks who have been connected with the University for more than three consecutive academic years as outlined in the second resolution. The total group covered by these two resolutions would amount to about 440 people. Currently most of these individuals are distributed among various schools and colleges that already have representation in the FCR. The only group that would have a large number that are now unrepresented would be the Librarians, and presumably FCR representation would have to be changed to include more from the library. At present, there is only one representative for the library on the FCR."

The Chair, before calling for discussion, noted that 12 or 15 members were still lacking for a quorum. If this item reached the point of voting, it would be appreciated if those present could call their colleagues and encourage them to come.

A question was raised as to how many of the 440 fell into the first group and how many were in the second? Professor Bugliari replied 250 were in the first group and 190 in the second.

Associate Professor Francine A. Herman, Hotel Administration, asked: "What would the effect be in departments and college faculties? Some schools and colleges do not allow anyone below the rank of assistant professor to vote. Will this change that? Will it change the practices in departments? What proportion are women? I ask these questions very seriously because the record ought to show that I believe it will be found that somewhere between 70 and 80 percent are women. This may change the whole complexion of the faculty as it would be looked at from the outside. What has been contemplated in getting these people representation on the FCR, or has it not gone that far? Are we asking these categories of people to become members of the Faculty to do scut work?"

Professor Bugliari said: "The answer to the first question is that adoption of these resolutions would have no direct effect on department and college faculties. Each department and each college sets its own rules for membership. As a practical matter, however, departments and colleges may find it difficult to say that a person who is a member of the University Faculty may not be a member of a college or department faculty. I cannot answer the question as to what proportion are women, but believe Dean Greisen may be able to."

Dean Greisen said: "I have figures produced a year ago and the proportions for women aren't quite as high as Professor Herman suggested, but they are high. At that time, there were 32 Instructors of whom five were minorities and 11 were women. There were 20 Senior Lecturers of whom none were minorities and 11 were

women. Of Lecturers, there were 251 of whom 26 were minorities and 122 were women. Of Senior Research Associates, there were 81, ten of whom were minorities and 15 were women. Of Research Associates, there were 165 of whom 25 were minorities and 42 were women. Of Senior Extension Associates, there were 82 of whom five were minorities and 19 were women. Of Extension Associates, there were 165 of whom 10 were minorities and 70 were women. In all those categories, there were 796, of whom 81 or 10% were minorities and 290 or about 35% were women. Of the professorial ranks, there were 1542 at the time, of whom 80 or about 5% were minorities and 159 or about 10% were women. There is thus a higher percentage of women in these ranks than among the present members of the Faculty, but not enormously higher. On behalf of the Committee, I wish to say that the motivation for going into this was not to redress the injuries done to women as a sex - that was just not part of the consideration. It does happen that the ranks involved do include somewhat more women, but that was not the purpose behind these resolutions. The purpose was the feeling that this was a neglected group. Some very vital information that should go to lecturers in charge of courses, was just not going to them because they weren't on a mailing list of the faculty. It's true that that could be taken care of without making them members of the Faculty, but some were very concerned about some of these matters, and therefore should also have a voice in their determination."

Professor Bugliari added: "There is a reapportionment of the various electoral divisions of the FCR every three years."

Dean Greisen said: "The members of the FCR, according to OPUF, should be somewhere between 75 and 150 of which 10 are elected from the Faculty at-large with the rest distributed in proportion to the faculty membership of various units. An exception is also made for a number of very small units who are guaranteed one representative even though they would get less than 0.5 by that calculation, i.e., the Libraries, Africana Studies, Health Services and ROTC. The number of members on the FCR is close to 100 total - that being a good round number between 75 and 150. If 28% are added to the Faculty, instead of the representation being one for every 18 faculty members, as it is now, to keep the total number at 100, it would become one for every 23 faculty members. These Lecturers, Extension Associates, and Research Associates, would only be involved in the selection process of the representatives from their divisions of the University. The libraries would go up substantially in their number of representatives - instead of having one they would have four or five."

Professor Bugliari said: "In answer to Professor Herman's last question, I would vehemently deny that there was any motive that these people would be added to do scut work. But there was a feeling among the Committee and people whom we talked to, that a very valuable resource was being lost because many of these people would have been able to make contributions to faculty committees, and could serve in areas where they could give some direction and benefit to the University."

Associate Professor E. Wayles Browne, III, Modern Languages and Linguistics, asked: "Can some well-informed person tell me what someone has to do in order to become a Lecturer - must he or she compete against other candidates? What must a Lecturer do in order to become a person who has held this position for three consecutive years or more? What must a person do to become a Senior Lecturer?"

Dean Jerome M. Ziegler, College of Human Ecology, said: "Lecturers and Senior Lecturers in the College of Human Ecology are subject to search procedures in just the same way that faculty are - reviewed by a faculty committee, by the chair of a department and by the dean, and appointed through the usual regular University appointment procedure. The distinction between Lecturers, Senior Lecturers and Archivists usually relates to level of activity and degree of difficulty and responsibility that they take, plus their qualifications and previous experience and in some cases, their academic preparation."

Dean Greisen said: "A person could be hired without a search if the period of employment does not exceed a year. There are legal requirements that if employment is for longer than that, one must, because of affirmative action, conduct a search. People who are hired more casually for less than the three year requirement stated in the second resolution, would not be considered for membership in the Faculty."

An unidentified attendee asked: "In connection with that, would it be a question of short-term people moving on or perhaps the University moving them on, i.e. letting people go before the

three-year requirement because the department didn't feel they were up to being members of the Faculty?"

Professor Bugliari said: "That is a hard question to answer, since I personally feel that one of the most important things in my life is being a member of the University Faculty. On the other hand, I have great doubt that a department would consider that as the decision factor as to whether they reappoint a person for another term."

The Speaker said: "If there is no further discussion, now would be the time for members to get on the phone and get their colleagues here so a vote could be taken. If a quorum is not reached, this item will have to be carried over to the September meeting as unfinished business."

Professor Bugliari said: "Louis Martin, University Librarian, is present, and the Committee spent a great deal of time discussing the proposal with people from the libraries. The first reaction from the Policy Committee was negative based on concerns and worries about what the resolution might do. However, after having a meeting of all the Librarians, apparently there was a very positive reaction that they wished to become members of the Faculty. I would like Mr. Martin to say a word, and then if a quorum is not present, have a straw vote as to whether those in attendance think this resolution is a good idea or not."

Professor James C. White, Hotel Administration, asked if this could be put to a ballot circulated to the University Faculty in the mail?

Dean Greisen replied: "Without a quorum at today's meeting, no action could be taken even to authorize a mail ballot. *Robert's Rules* recommends against trying to settle important issues by votes taken from people who have not participated in the debate. An action of the FCR can be challenged and by petition require a referendum. Some things, after being passed by the Faculty, have to be supported by a referendum, i.e. amendments to OPUF. However, to use that as a first stage is not authorized by our procedures."

Mr. Martin said: "I had decided not to speak in support of the resolution unless there was strong opposition to it. Initially, the reaction was negative to the proposal of inclusion of the Librarians in the faculty, by a small group - the Personnel Policy Committee. My reading of that situation was that the Librarians at Cornell have never chosen to seek formal *de jure* faculty status. There was a great deal of agitation for that in the 50's and 60's across the country, but Cornell Librarians have a very strong identity as Librarians and think their contribution to the University is as Librarians. So they opted for academic status, but not for faculty titles. Within the Personnel Policy Committee, they asked what was in it for themselves as Librarians. The small group did not think there would be much recognition added to them as Librarians by becoming members of the University Faculty. When it was taken to the floor of the Academic Assembly, which comprises all of the professional Librarians, there was a sentiment of strong support. The group saw the proposal as a way for the talents of the Librarians to

be brought to the University as a whole in a way not possible now. I would very much support this proposal and hope that it be carried over with vigor to the fall agenda, because there is an untapped source within these groups for service to the University community."

Professor Herman asked if it would be practical to bring this item up at the first meeting of the FCR in the fall?

Professor Bugliari said: "This issue could not be decided by the FCR, since it involves granting membership in the Faculty, and that is one of the few functions remaining in the sole province of the University Faculty."

An unidentified attendee said: "It seems that the Librarians are a much more permanent part of our community than are Research Associates and Lecturers. By linking them together, it may be a disservice to the Librarians."

Professor Bugliari said: "I would not dispute the fact that the Librarians are a permanent set in many ways. However, many of the other people involved have also been here a long time - sometimes 15 or 20 years."

Dean David L. Call, College of Agriculture and Life Sciences, said: "Since no action can be taken at this meeting, I suggest to the Dean of the Faculty that the first Faculty meeting in the fall be piggy-backed with an FCR meeting - maybe preceding the FCR meeting, so that members of the FCR who are members of the Faculty, plus others would be in attendance and a quorum may be obtained."

Professor Bugliari said he would still like to have a straw vote.

On a vote on resolution number one - those present were overwhelmingly in favor. On a vote on resolution number two - there were but few nays.

The Chair next called on President Rhodes to recognize recipients of Distinguished Teaching Awards.

4. RECOGNITION OF DISTINGUISHED TEACHING AWARD

RECIPIENTS, 1980-81

President Rhodes said: "One of the opportunities that meetings of the Faculty provide is to recognize and congratulate those members of the Faculty who receive Distinguished Teacher Awards for the year, and I ask those present to stand as their names are read."

Agriculture and Life Sciences: Adrian M. Srb, Jacob Gould Schurman Professor of Genetics; Edgerton Career Teaching Award - by the State College of Agriculture and Life Sciences.

Agriculture and Life Sciences: William B. Duke, Professor of Agronomy; Professor of Merit Award - by the State College of Agriculture and Life Sciences, Cornell, given by Ho-Nun-De Kah (Agricultural Honor Society).

Architecture, Art and Planning: Norman D. Daly, Professor of Fine Arts, Emeritus; John Hartell Distinguished Teaching Award.

Arts and Sciences: George McT. Kahin, Aaron L. Binenkorb Professor of International Studies; The Clark Award.

Arts and Sciences: Michell J. Sienko, Professor of Chemistry; The Clark Award.

Engineering: Michael C. Kelley, Associate Professor of Electrical Engineering; Excellence in Teaching Award - by Cornell Society of Engineers and Engineering Tau Beta Pi.

Human Ecology: Leahcim T. Semaj, Assistant Professor of Human Development and Family Studies; Distinguished Teaching Award - by the College's Alumni Association and Omicron Nu Honor Society.

Industrial and Labor Relations: Roger R. Keeran, Assistant Professor, School of I&LR; Undergraduate Student Government Award for Excellence in Teaching.

Veterinary Medicine: H. Jay Harvey, Assistant Professor of Clinical Sciences; Norden Distinguished Teacher Award.

The President concluded: "Congratulations are in order for these colleagues, both present and absent, for their contributions to excellence in teaching."

The Chair next called on Provost W. Keith Kennedy, for several introductions.

5. RECOGNITION OF RETIRED OR RETIRING PROFESSORS,
1981-82

As customary, the Provost called upon the various deans to present retirees from their respective units. Provost Kennedy called first on Dean Call.

Dean Call began: "It is my pleasure to introduce and recognize a number of faculty members in the College of Agriculture and Life Sciences, who represent collectively many, many years of service.

"Associate Professor Richard D. Black, Agricultural Engineering, who was first appointed as Assistant Professor in

1959 and Associate Professor, 1965, has areas of interest in agricultural drainage, irrigation, hydrology, and has taught applied hydrologics, soil, water conservation, drainage engineering, irrigation engineering, hundreds, if not thousands of students. He has had a most distinguished career. He leaves us to join the faculty of Kansas State University. It will be drier there than here.

"I would next like to introduce Professor Howard E. Conklin, Agricultural Economics. Dr. Conklin's first appointment at Cornell University was as a student assistant in Animal Husbandry in 1936. He was obviously a child genius. He was appointed Assistant Professor in 1948 and Professor in 1959. He is nationally if not internationally renowned in the area of rural land use policies and has had a major impact on New York State policies, especially on the adoption of the agricultural districts' laws. He will be sorely missed.

"Edward H. Glass, Professor and Chairman, Entomology, Geneva, was first appointed in 1948, became a Professor in 1955 and has been head of the department since 1969 - a most distinguished department. Dr. Glass is a most distinguished entomologist, world-renowned for his work in control of fruit insects, particularly in the area of integrated pest management, and has been an outstanding department chairman as well.

"Fred G. Lechner, Professor of Agricultural Engineering, was appointed as an Assistant Professor in 1957 and Professor in 1980. He engaged in undergraduate and graduate teaching in the area of agricultural engineering technology and structures and

is very well known for the teaching materials which he has developed and which have been used in schools and other colleges throughout the nation.

"Robert T. Lorenzen, Professor of Agricultural Engineering, became an Assistant Professor in 1959 and Professor in 1982. He is a nationally known expert on farm structure design and has taught in the area of farm production systems, farm building design, agricultural structures and design. He's the first one we call on after a heavy snowfall when somebody's barn collapses and there's a question of a lawsuit, as happened to our State Senator one time.

"Everett D. Markwardt, Professor of Agricultural Engineering, was first appointed as an Extension Agr. Engineer in 1946. He became an Assistant Professor in 1951 and Professor in 1961. He has served 35 years in the Department. He has worked with distinction in the area of design and field testing of mechanical harvesting equipment, particularly with grape harvesters, bean harvesters, apple harvesters, and he has been the Department Extension Leader and provided excellent leadership for 28 years.

"Professor Charles E. Ostrander, Poultry Science, was appointed an Assistant Professor in 1956 and Professor in 1973. He has led a very interesting research program in the Department of Poultry and Avian Sciences in the area of waste management, ventilation and controlled lighting. He has also been very active in the extension area that has strengthened and contributed greatly to the strength of the poultry industry of New York State and the Northeast.

"LaVerne L. Pechuman, Professor of Entomology, was appointed Associate Professor in 1962 and Professor in 1973. Professor Pechuman is a Curator of the Insect Collection in the Department of Entomology, which is internationally known. He is also the international authority on horseflies and deerflies and if you want to know what a deerfly is, it's that thing that always flies around your head and never quite lands. He has 25 species of insects named in his honor. Nobody else in this room can claim that. He has donated to Cornell's world renowned collection, his own personal collections, which are greatly appreciated. I would add that he's an honorary chief of the Iroquois tribe and is very well known as a Northeastern Indian archaeologist.

"The happiest man in the group - Willard B. Robinson, Professor and Chairman, Food Science and Technology, Geneva, was appointed as an Assistant Professor in 1945; Professor in 1955; and has been head of the Department since 1967. The reason he is so happy is that his research is on the selection and evaluation of grape wine varieties. He is Chairman of our Wine Research Program and probably single-handedly has done more than anyone else to bring about the emergence of the farm wineries and the growth of the wine industry in this area of the State, which makes all of us happy.

"Robert D. Sweet, Professor and Chairman, Vegetable Crops, was appointed as a Research Assistant in 1936; Assistant Professor in 1943; and a Professor since 1950 - which is the year I arrived as an undergraduate. Obviously another child genius;

he's been chairman since 1975. Bob Sweet is very well-known throughout the State, if not the Nation, for his work with the vegetable industry - particularly in the area of weed control and vegetable production.

"In conclusion, I would say that there is a substantial loss to the College in the retirement of these distinguished faculty members who have given so much to so many, particularly in the student and research area, as well as to agriculture both in this nation and abroad. We wish you all well."

Not attending from the College of Agriculture and Life Sciences: William J. Dress, Professor of Botany; and Robert H. Crawford, Associate Professor, Communication Arts.

Provost Kennedy said: "I failed to mention that there are 23 faculty who are retiring this year and I do not know the years of service of each, but if 25 years is used as an estimate, 500 to 600 person years of service to the University has been contributed." He next called upon Acting Dean Ian Stewart, College of Architecture, Art and Planning.

Dean Stewart began: "David, it looks like you're cleaning house. I'm pleased to say that we have far more stability in the College of Architecture and are retiring only one person this year. Indeed, I'm pleased to say a few words in honor of Victor Colby, Professor of Art. Victor specializes in the field of sculpture. He studied first at the Corcoran School and later at Indiana University before arriving at Cornell in 1948. Two years later he became the first person to receive an M.F.A. Degree from Cornell with a specialty in sculpture. Apparently

something went wrong at this point, for what was to have been just a quick two year stop in Ithaca for higher education, somehow has dragged on for an extra 32 years. This happens to some of our better students, I'm told. No matter. Victor has put this time to very good use. Not only has he instructed many generations of Cornell artists, but also during his 32 years of service on the Faculty, he's produced much personal art work that over the years has been exhibited in more than a dozen major museums and numerous prominent galleries in New York City and throughout the East coast. Many of you know his work and like myself, admire the carefully crafted and playful wood carvings that are so reminiscent of an earlier and enduring American folk art tradition. For those of you who are not familiar with his work, I invite you to the Johnson Museum where from June 10 to July 10 this year, there will be an exhibit of 35 of Victor's recent sculptures. This is an appropriate and I think a most fitting tribute for a fine and distinguished career at Cornell. You have our best wishes, Victor."

The Provost called upon Dean Alain Seznec, College of Arts and Sciences.

Dean Seznec began: "Despite the fact that our College is a very large one, we in fact only have two retirees this year - one of whom, Professor Charles F. Hockett, Goldwin Smith Professor of Linguistics and Anthropology, is not here. I'm glad to say our other senior colleague is here, and he is John V. Murra, Professor of Anthropology and Latin American Studies.

Professor Murra has been at Cornell since 1968, and has been, I think, probably one of the most travelled men certainly in this room and very likely in the whole University. He can be found at any time under the Andes, around the Andes, in Japan or in Europe, where by the way, his name is a household word among many scholars. His specialty is the Inca of the Andean region of South America and his major work is on the organization, both economic and political, of the Inca state, but his works are enormous. One of the many contributions that Professor Murra has made besides his scholarly work and his fine teaching, has been the international outlook that he has brought to his career - the training, for instance, of a great many indigenous scholars to go back to their homeland and to work themselves on their own anthropology and archaeological projects. He's also organized a great many conferences that have brought together scholars from all over the world. Most recently, or at least I never know with Professor Murra if it's most recently, but just a couple of years ago, in a conference called 'Andean Autumn' he brought to Cornell scholars from Spain, Japan and the Indies. His international side, indeed, is emphasized by the number of institutions and the number of societies to which he belongs, many of which he has either founded or become president. I will give you just a very brief list: member of the American Anthropological Association; the Instituto de Estudios Peruanos; the Instituto Nacional de Antropologiae Historia; past president of the American Ethnological Society; and past president of the American Society for Ethnohistory; and presently president of the Institute for Andean Research. His name is as well-known in

Western Europe and Latin America as it is in this country. We hope that we are not losing a member of our faculty, but that we will continue to have his presence, and his advice, and the distinction that he's brought to our College. Many thanks."

Provost Kennedy said he would introduce the next Professor, with due apologies to him, because it wasn't realized that Dean Clark wouldn't be at this meeting until just a few moments prior to its start. Provost Kennedy continued: "The next Professor is James C. White, Hotel Administration. Jim entered Cornell as a freshman in 1935. He continued as a graduate student and then a faculty member in the early forties. He started out in the College of Agriculture and became an Associate Professor in 1946 and Professor in 1951. Then at a very senior age, he retired from the College of Agriculture and Life Sciences and moved to the Hotel School as a Professor in 1973, where he has served as a faculty member and also more recently as an Assistant Dean. Professor White's particular area of study is in food microbiology and sanitation and associated problems. So if at any time you run into salmonella or any other such organism, you turn to Jim for advice and counsel on how to avoid it in the future. One other thing I might mention, I became acquainted with Jim many years ago, and actually had the privilege of living very close to him on South Hill, when that area was first opened up shortly after World War II. So it's been a long association. I'm very sorry Jim that I don't have more background to tell about you, but I do know you've had a very distinguished career, and offer you congratulations and best wishes."

The Provost next called on Dean Jerome M. Ziegler, College of Human Ecology.

Dean Ziegler began: "We have two faculty members retiring this year: Associate Professor Marjorie Galenson, Consumer Economics and Housing, a faculty member in Human Ecology since 1966 who is not present; and Professor Elizabeth Wiegand, Consumer Economics and Housing. Betsy is a long-time Ithacan and Cornellian. She grew up here in Ithaca and did both her undergraduate and graduate work at Cornell University. She has been a specialist in planning and financial management in the Department of Consumer Economics and Housing. Following her doctorate, she was an Assistant Professor at Michigan State University, where she both taught and helped with research. Her doctoral research was on Time Use by Full Time and Part-time Homemakers in Relation to Home Management. It's published by the Cornell University Agricultural Experiment Station. Her research bulletin on Fatigue of Homemakers With Young Children is published by the Michigan State Agricultural Experiment Station and is well-known both in that State and in ours, and to homemakers throughout the country. After finishing at Cornell, Betsy served as an Extension Agent for 10 years in eight counties of New York State including Cayuga County. As a Professor in the Department of Consumer Economics and Housing, she has specialized in writing on matters of family financial management. She's the author of many, many Cornell Cooperative Extension bulletins and leaflets which are well-known not only in our State but throughout the Northeast and extension in general. For 13 years in the

Department of Consumer Economics and Housing, she was the Department Extension Leader. She has been part of many associations and honorary societies in our State and Nation. She's been a member of Omicron Nu, which is the Home Economics Honorary Society, and a long tenured member and contributor to the American Home Economics Association. Fortunately in her retirement she has remained here in Ithaca, and continues to do some work for us in our Department and in our College, and we look forward to many more years of service. Betsy, we wish you very well."

Provost Kennedy said there were five additional faculty members who could not be present at this meeting:

Paul D. Ankrum, Professor of Electrical Engineering

William H. Erickson, Professor of Electrical Engineering

George G. Cocks, Professor of Chemical Engineering

M. Gardner Clark, Professor of ILR

William B. Wolf, Professor of ILR

The Speaker called on Dean Greisen for a final and very important recognition.

6. RECOGNITION OF RETIRING SECRETARY OF THE FACULTY

Dean Greisen began: "I want to recognize a much younger man, who is certainly not ready to retire from the Faculty, but he's going to retire from an important service to this organization - both to the FCR and to the University Faculty. This is our illustrious Secretary, Joseph B. Bugliari, who is Professor of Agricultural and Business Law in the Department of Agricultural Economics and the School of Business and Public

Administration. He teaches enormous numbers of students because his courses are very popular as well as of practical importance. He has been for some years, Chairman of the Agriculture and Life Sciences Academic Integrity Board; he's been Advisor to the Staff of the *Cornell Daily Sun*; and he's been Secretary of the University Faculty and Faculty Council of Representatives, and Chairman of its Membership Committee. I don't know how we'll do without him. He's been responsible for the thorough and accurate minutes of meetings of both these organizations over the last three years, during which he hasn't exactly gotten rich from the salary we pay him for these duties. He's now retiring from the role of Secretary and will be replaced by Harlan B. Brumsted, Associate Professor of Natural Resources, from whom we're also expecting great things. I want to take this opportunity to extend Joe, on behalf of the Faculty, our thanks."

Professor Bugliari responded: "In the earlier part of the discussion, I said that one of my proudest achievements in life was to be a member of the University Faculty and I meant it. I think another one is the pleasure that I've had in working with all of you and particularly the good Dean, who made life really easy for me over the three years. Thank you very much."

There being no further business, the meeting adjourned at 5:45 p.m.

Respectfully submitted,

Joseph B. Bugliari, Secretary

October 13, 1982

110 Ives Hall

The incumbent Speaker, Russell D. Martin, called the meeting of the Faculty Council of Representatives to order at 4:34 p.m. The Chair then called upon the Dean of the Faculty, Kenneth Greisen.

The Dean said this is a great day for the faculty, having a quorum of both the FCR and the University Faculty! (Applause) He said he wished to apologize for the time being left off the notice of this meeting; also he explained that contrary to announcement, the booklet of memorial statements about faculty who died in the past year was not ready in time to be enclosed with this meeting notice. It will go out with the next general mailing to the faculty. He added that he had been in error in stating that the Kiplinger report on restructuring of the Trustees was in all libraries when, in fact, it was available in only three.

Dean Greisen then announced that there was only one item on today's FCR agenda, the election of the Speaker, which occurs annually. He declared the floor open for nominations and recognized Professor Mary Beth Norton of History.

Professor Norton nominated Russell Martin for another term as Speaker of the FCR. This nomination was seconded and the Dean stated that our by-laws placed no limit on the number of terms Professor Martin could be re-elected. Furthermore, the Dean said he had been assured that Professor Martin was willing to continue in office if elected again.

Professor Francine Herman, Hotel Administration, moved that the nominations be closed. Her motion was seconded and approved resoundingly by voice vote. Dean Greisen declared Russell Martin re-elected Speaker. (Applause) Taking the floor, Speaker Martin thanked the faculty for so honoring him once again, and said it was interesting to note that each year the competition became no more intense. The Speaker then called upon President Frank H.T. Rhodes.

President Rhodes said that he wished to add his congratulations to Professor Martin's election as Speaker.

1. ANNOUNCEMENT OF DEATH OF FACULTY MEMBERS

President Rhodes said that he had to announce, with regret, the deaths of six faculty members and that after reading their names, he invited those assembled to join him in standing in their recognition and remembrance.

John M. Echols, Emeritus Professor, Linguistics and Asian Studies, June 16, 1982

Solomon C. Hollister, Emeritus Professor, Civil Engineering, July 6, 1982

Helen Paine Hoefer, Associate Professor, Home Economics Education (retired), July 31, 1982

Wayne Robert Knapp, Associate Professor, Agronomy, August 5, 1982

Gilmore D. Clarke, Emeritus Professor, Landscape Architecture, August 6, 1982

Lewis H. Durland, Treasurer Emeritus, *ex officio* member of the Faculty, September 1, 1982

2. DISTINGUISHED TEACHING AWARDS

President Rhodes said that it was his pleasure to announce the awards for distinguished teaching given by the various constituencies of the university. He invited those recipients present to stand:

Agriculture and Life Sciences: Professor of Communication Arts, Russell D. Martin; Edgerton Career Teaching Award - by the State College of Agriculture and Life Sciences.

Agriculture and Life Sciences: Professor of Science and Environmental Education, Verne N. Rockcastle; Professor of Merit Award - by the State College of Agriculture and Life Sciences, Cornell, given by Ho-Nun-De Kah (Agricultural Honor Society).

Arts and Sciences: Goldwin Smith Professor of Musicology, William W. Austin; The Clark Award.

Arts and Sciences: Associate Professor of Ancient History, Alvin H. Bernstein; The Clark Award.

Arts and Sciences: Professor of Government, Arch T. Dotson; The Clark Award.

Arts and Sciences: Senior Lecturer and Assistant Director, Writing Program, English, Katherine Gottschalk; The Clark Award.

Arts and Sciences: Senior Lecturer, Mathematics, Thomas W. Rishel; The Clark Award.

Engineering: Assistant Professor of Chemical Engineering, Joseph F. Cocchetto; Excellence in Teaching Award - by Cornell Society of Engineers and Engineering, Tau Beta Pi.

Human Ecology: Professor and Associate Director of Academic Affairs, Nutritional Sciences, Marjorie M. Devine; Distinguished

Teaching Award - by the College's Alumni Association and Omicron Nu Honor Society.

Human Ecology: Associate Professor of Human Development and Family Studies, Barbara C. Lust; Chancellor's Award for Excellence in Teaching - by the State University of New York.

Industrial and Labor Relations: Assistant Professor of Collective Bargaining, Labor Law and Labor History, Nicholas A. Salvatore; Undergraduate Student Government Award for Excellence in Teaching.

Veterinary Medicine: Assistant Professor of Clinical Sciences, John F. Randolph; Norden Distinguished Teacher Award.

The Chair then declared the meeting of the Faculty Council of Representatives ended (4:44 p.m.) and the meeting of the University Faculty to be in session. The Chair called on Dean Greisen.

3. RESOLUTIONS ON EXTENSION OF MEMBERSHIP TO CATEGORIES
OF ACADEMIC PERSONNEL NOT PRESENTLY ACCORDED
MEMBERSHIP IN THE UNIVERSITY FACULTY

Dean Greisen said that at our last meeting in May, a time when we did not have a quorum, this item of business was brought forward and discussed, and even a straw vote was taken on it. These same resolutions continue on the floor and are up for discussion and, hopefully, a vote today. They do not need to be introduced again. The Dean added that since May, the list of senior titles has been slightly expanded by including Senior Scholar and Senior Scientist, two titles pending approval by the Board of Trustees. Dean Greisen explained that the Faculty acts so seldom on matters of this sort that it seemed reasonable to

add these titles and make the list complete, especially since they had been recommended to the Trustees for establishment.

Dean Greisen then read the resolutions:

RESOLVED, that the University Faculty recommends to the Board of Trustees that, beginning on July 1, 1983, voting membership in the University Faculty be expanded to include Ithaca and Geneva-based academic staff holding the titles of Senior Scientist*, Senior Scholar*, Senior Lecturer, Senior Research Associate, Senior Extension Associate, Librarian, Associate Librarian, Archivist and Associate Archivist.

RESOLVED further, that the University Faculty recommends to the Board of Trustees that, beginning on July 1, 1983, voting membership in the University Faculty be expanded to include Ithaca and Geneva-based academic staff holding the titles of Lecturer, Instructor, Research Associate, Extension Associate, Senior Assistant Librarian, Assistant Librarian, Senior Assistant Archivist and Assistant Archivist who have held these positions on a full-time basis for three consecutive academic years or more, and who are not degree candidates at Cornell University.

*Upon establishment of these titles by the Board of Trustees.

Prior to the start of discussion, the Dean also reported that he had been contacted by Louis Martin, University Librarian, who had said with regret that he could not attend today's meeting. However, he wanted it known that the Association of Librarians, as organized at Cornell, had met just yesterday, discussed these resolutions thoroughly and wanted to express themselves as strongly supporting them in their present form.

The Speaker said if there were no objections, these resolutions would be treated separately. There were none and it was so ordered. He declared Resolution #1, concerning the senior group, to be on the floor. A point of information was raised as to whether the Speaker would rule it out of order if people alluded to both resolutions, even though treated separately. The Chair said this interchange would be appropriate.

Professor Michael E. Fisher, Horace White Professor of Chemistry, Physics and Mathematics, said this is a delicate issue. If we vote against bringing someone into the faculty, it suggests that there are colleagues at the University whom we do not respect. Therefore, he said he was hesitant to be the first to say he is against the resolution, and he wished to make clear that he values the presence and services of all those named individually and collectively in both motions. But, he stated that he thinks we have to ask: What is a university? Why do we have a faculty, and why is it distinct from other groups? We also have to ask about the rationale behind this move and whether this is a clear motion on which we should act positively. Professor Fisher said he thought the answer to the last question was "no" and therefore he wished to address the first two questions and analyze them briefly.

Professor Fisher stated that the crux of the university is a gathering of scholars who come together to teach themselves and hold themselves available to teach others. The university would be in poor shape, he contended, without librarians, administrators, and people who look after the buildings.

Nevertheless, he said, we would still be a university simply as a gathering of scholars. The individuals who are being nominated here do not fulfill this function. There are some who do a certain amount of teaching, and there are some who do research, but their primary commitment is not that of a faculty which characterize a university and distinguish it both from a research institution and from teaching institutions. So, the first point, said Professor Fisher, is that the membership of a faculty should be retained for people who clearly are faculty.

Then, he continued, on the issue of when this matters, as the Dean pointed out, it is rather rare that we even have a quorum, but I have been here long enough to remember a time when we not only had a quorum, but filled Bailey Hall, because there was a matter that was of concern to the whole university and to the faculty in particular. And on those occasions, in 1969 or thereabouts, people were much concerned as to who was or was not a member of the faculty because we were going to vote on matters that might have left the university in a shambles, or might have preserved it. And so it is on those special occasions that I think this decision is important.

Professor Fisher went on to say that he was extremely sensitive to the fact that we have valuable colleagues at the university playing important roles who are essentially disenfranchised by the sad fact that the Senate, and all it stood for in terms of representation of all the parts of the university under one roof, is no longer with us. At the time it existed, the people who filled these different roles on the campus from

top administration down, did have a voice and a constituency. Now, we don't have that organization and it is perfectly reasonable to say that the librarians, senior scientists, etc. cannot be asked to go in with the Employee Assembly. So we are indeed dealing with a disenfranchised group, and I think we have the responsibility of meeting the situation and helping.

Professor Fisher then proposed that the Faculty vote down this motion and subsequently on some appropriate occasion, either introduce another motion or ask the committee to consider a motion, which would respond directly to this representation. He suggested one route would be to take the Faculty Council of Representatives, and expand it to include all the individuals mentioned in these resolutions as full voting members. Thereby, Professor Fisher contended, we would be according representation to these groups but not confounding the issue as to who was or was not a member of the faculty.

Speaker Martin asked if there was anyone who wished to speak in favor of the resolution.

Associate Professor Robert L. Harris, Jr., Africana Studies and Research Center, said he also was sympathetic to the whole question of representation and voice for the groups listed here, but did not think this is the best way of resolving that particular issue. He posed three questions. First, what would it mean in relationship to the size of the FCR and method of selection of the members of FCR if the resolution passed? Secondly, what does faculty status mean in terms of benefits for these groups as different from those they currently have?

Finally, what does this mean for Cornell's affirmative action profile; will Cornell miraculously, overnight, have an improved affirmative action image? There is a great deal of concern, especially about the exit of some twenty-one black faculty and staff over the past year. Professor Harris gave the opinion that if this motion passes, we get a totally distorted view of Cornell University's affirmative action achievements.

The Chair asked Professor Joseph B. Bugliari, who was chairman of the Membership Committee when this was proposed, if he wished to respond.

Professor Bugliari said he could respond to the first two questions and would comment also. As far as the FCR is concerned, in most instances he thought it would make little difference. Most of the people who are in these titles, except for the librarians, are already connected with departments and therefore would simply have to be counted when need for reapportionment is assessed every three years. Obviously, if there is a group that contains a large number of these people, it could mean that some degree of reapportionment would result from their inclusion. The only group for whom a new voting block would have to be created would be the librarians, for they are not affiliated with departments or other organizations presently tallied. They would need a separate number assigned to them. He said he did not believe these additions would necessarily dilute the FCR. As far as benefits are concerned, Professor Bugliari reported he had no information that this would change them one way or the other. His guess was there would be no new

benefits accruing to them. Professor Bugliari said it should be noted there was a provision included, stating faculty membership could not be held by any who were pursuing a Cornell degree, which merely restates a standing regulation.

Professor Bugliari continued saying that it has been suggested that one of the reasons for this move was to increase the number of women members of the faculty, but he had not heard it proposed that this would affect the number of other minorities represented. He said he wished to assure us that in the Committee's deliberations, this subject never was a consideration. The sole reason, he stressed, was that the committee felt these people had a community with us as members of the faculty; that they participated in research, in teaching, in other activities, and that they should be involved in the deliberations of the faculty and the FCR, and in other ways relate to the faculty rather than any other group. They seemed to feel the same way, he said, and this was the sole purpose behind this entire motion.

Dean Greisen then took the floor to comment further on the questions raised by Professor Harris.

The Dean said that recently he had occasion to consult the table showing benefits for various positions in the university, as it appears in the *Academic Appointment Manual*. The present faculty, he reported, are not recipients of any unusual benefits that are not also accorded research associates, senior librarians and others under consideration. Since he found there a long list of academic titles that all have similar benefits, Dean Greisen

offered the opinion that there would be no special benefits going to persons who are granted membership. In fact, he said, just the reverse might be considered to prevail, given the obligations accompanying faculty membership. While attending meetings and serving on committees are not obligations that have to be assumed, contended the Dean, membership would mean some would receive additional requests for service which they do not get now.

The Dean said a question had been raised about the possible purpose of this action being to have these academic employees on the side of management so they could not form a union. This was not the intention either, and he said almost all employees realized this; neither was there any other ulterior motive.

Dean Greisen said he was interested in the suggested relationship to our affirmative action posture. This proposal, he stressed, does not change in the slightest the number of academic employees who are members of any minority group or any sex. It really only recommends a shift in the amount of prestige or privilege accorded some of the members. Dean Greisen conceded there might be some way of counting to make it seem as though Cornell suddenly had done admirably in adding large numbers of minorities and women to the faculty. But already, he pointed out, the people who are concerned about these questions have asked for breakdowns of the numbers in various divisions of the faculty, and we would have to continue to report the numbers in the various ranks, a set of numbers this resolution would not change.

Dean Greisen then commented on Professor Fisher's discussion, stating that the committee had mostly in mind the participation in working groups -- that is, the FCR -- rather than the faculty apart from the FCR, because it is the FCR which is the business organization, has monthly meetings, numerous working committees and the like. In contrast, the Faculty meets infrequently and then mostly for ceremonial purposes except, as Professor Fisher pointed out, on the rare occasion when it desires to take some special form of action. Thus, barring the unusual occasion, the University Faculty is not a working body. The work is done by the FCR and we had in mind making many of these people eligible for participation in that work, and, the Dean emphasized, this means helping to decide some of the details that relate to their jobs, i.e. details related to the university calendar, administering prelims, the grading system, and other housekeeping matters in which they are deeply involved. In many instances, said Dean Greisen, these persons have not even been receiving information about these matters because they have not been on the faculty mailing list. So, concluded Dean Greisen, it was concerns such as these that were behind the resolution from the Membership Committee; that is, a genuine desire to welcome them as partners in our enterprise because they are partners in our enterprise.

The Chair then recognized Professor Jean F. Blackall, English, who said she wished to add to Dean Greisen's remarks and respond to Professor Fisher. She commented that she was a lecturer in 1969, and believed that in the eyes of our students, lecturers and others in this general category are indistinguishable

from faculty. The meaning of this, she held, was that in a time of crisis one is particularly under fire because, to your students, you represent the university. Yet, at that time, she said she was not attending faculty meetings, and so could not respond to students when asked to explain faculty actions. We operate as a team, she said, and above all it is important for everyone who comes before students to have policy information and to have a voice in its formulation as well.

Professor Boyce D. McDaniel, Floyd R. Newman Professor in Nuclear Studies, asked Dean Greisen what the eligibility requirements were for sabbatic leaves.

The Dean responded that he did not know, at which point the Provost, W. Keith Kennedy, volunteered that it was just the professorial ranks -- assistant, associate and full professor. This action would not change that; it does not say a member of the faculty, it specifies the rank.

Dean Greisen added that FCR reapportionment is conducted every three years. The last adjustment changed the number of faculty per representative to the FCR to 18. Were this full resolution adopted, it would increase this number to 23.

Someone asked Professor Fisher to define more thoroughly what he considers the role of the faculty.

Professor Fisher replied that teaching certainly is one of the roles, yet it is clear that others teach, too. Therefore, he continued, you have to say why the faculty is always preciously held, and consider why we go through elaborate processes to elect people to tenure and all. He said he was

not trying to claim there was any kind of hard and fast line involved; indeed, he recognized that there were interesting points on both sides of questions relating to whether any specific category of staff should become a faculty member. Basically, Professor Fisher concluded, a faculty member is a person who has gone through the trials of coping with undergraduate teaching, graduate teaching, and scholarship; who has been through what is involved in preparing for classes, dealing with schedules and the like, and who, at the same time, has had to balance all this against research and scholarly commitments, and duties that fall on faculty members from outside the university. As far as the other individuals are concerned, including those who teach, Professor Fisher said he saw them as helping in one or another of these roles. It is quite another issue, he maintained, if we are keeping some of these people -- lecturers, say -- in their positions too long. The answer is not making them members of the faculty automatically, rather, he contended, examining the specific career path involved and addressing that situation.

Professor Howard E. Evans, Veterinary Anatomy, pointed out that university bylaws allow each college to appoint their lecturers, instructors, senior research associates, as members of their faculty. So there already is a mechanism in the bylaws for every college to appoint these people as faculty, and many of them do. Professor Evans said he agreed with Professor Fisher, who he thought put it well, that there is a difference between faculty and staff. The university, he went on to say, saw this clearly years ago and provided the possibility for people who do

teach, even if they are auxilliary, to be members of a college faculty. Members of college faculties are not necessarily members of the University Faculty, but they can be appointed as such if the request is made and if there is a reason for it. Thus, concluded Professor Evans, all these people being discussed here perhaps could be made *ad hoc* members of the University Faculty in other ways.

Professor Bugliari responded that he did not believe Professor Evans' last point is true. He maintained that colleges and departments can elect these people to join their bodies, but there is no way they can become *ad hoc* members of the University Faculty without passage of these motions before us. The university bylaws make it clear that the only people who can be members of this Faculty are those who hold professorial ranks, or are *ex officio* members, such as some persons high in administration.

Professor Urie Bronfenbrenner, Human Development and Family Studies, and Psychology, stated that to him, scholarship was the hallmark of being a faculty member. It was from that scholarly basis, he said, that one drew on as a teacher, as someone working in the field of extension, or one engaged in further inquiry. He asked whether it was not appropriate to have as a criterion for membership in the University Faculty evidence of scholarship? Professor Bronfenbrenner went on to say that he was sympathetic to Professor Fisher's remarks primarily for this very reason: that what distinguishes a member of the faculty is a commitment to scholarship. He proposed that

where members of the staff are engaged in scholarly pursuits, it would be appropriate to establish a procedure for evaluating the calibre of their work, and then consider them for membership on that basis.

Professor Edgar M. Raffensperger, Entomology, noted that passage of this resolution would automatically make the new faculty members eligible for election to the FCR. He believed that the election scheme requires a certain number to be tenured members of the faculty and a certain number to be non-tenured, and wondered how this rule would operate in regard to the new members, who would not be on a tenure track.*

Professor Robert T. Farrell, English, rose to speak in favor of the motion. He referred to teaching as one of the fundamental purposes of an institution such as ours. The role of lecturers and senior lecturers is defined in terms of teaching and they typically do more than twice as much teaching as someone in a professorial rank. If teaching is really important to us, it must be judged invidious and unfair to deny to these individuals the rights that should accrue to those who are carrying out a primary function of the organization.

Associate Professor James M. Burlitch, Chemistry, said he found the collection of categories in these resolutions to be

*The answer, not given in the meeting, is that while a certain minimum number of seats must be held by non-tenured faculty, the other seats are not restricted to tenured faculty. Thus, the new members would be eligible to occupy any of the FCR seats.

puzzling. There are titles present which he said he could easily associate with teaching and/or research functions, but the inclusion of librarian and archivist, in his view, was inconsistent. Professor Burlitch said he would vote against this motion because he did not think that archivists perform any of the functions that have been discussed - teaching and research - any more than do the people who work in the electronics shop in his department, and who are skilled in designing circuitry and making instruments function. They are support staff, he contended, not faculty.

Professor Norton moved the previous question, which was seconded.

The Speaker said by passing this motion with a two-thirds margin, the resolutions would be placed on the floor separately for an immediate vote. On a voice vote, the Speaker declared the motion to have carried.

The Chair then called for a vote on resolution #1 dealing with senior members. After hearing the ayes and nays, the Chair called the motion defeated. Professor Bugliari requested a count. The number of those who rose to be counted in favor of the motion was about 50. When it was observed that the number who rose in opposition to the motion was clearly more than this, the count was not carried to completion (an estimation of the nays by the Dean was about 75).

Resolution #2 next was placed on the floor for a vote. It was also declared defeated by the Speaker.

The Chair then called on Professor Mary Purchase, Design and Environmental Analysis, and Chairperson of a subcommittee

of the Review and Procedures Committee, for a resolution on the Trustee Study Committee recommendations.

4. RESOLUTION AND DISCUSSION ON RESTRUCTURING OF
THE BOARD OF TRUSTEES AS RECOMMENDED BY THE
BOARD STUDY COMMITTEE

Professor Purchase said the subcommittee had made a study of the Kiplinger Committee report and held discussions with Professor Donald F. Holcomb (Physics; former Faculty Trustee, and member of the Kiplinger Committee) and the Review and Procedures Committee. Subsequently, in late July, the Review and Procedures Committee, together with the Executive Committee of the FCR, met with the Kiplinger Committee for an extended session of questions and sharing of views. An outgrowth of these deliberations and of a further meeting with the Executive Committee was the following pair of resolutions, which she moved for adoption by the University Faculty:

RESOLVED, that

1) The faculty commends the Board for seeking greater effectiveness through re-shaping the committee structure of the Board.

2) The faculty supports the concept that the Board seek greater diversity, which the faculty interprets as a wider range of experience, expertise, and perspective. The faculty believes this diversity can be assured by

. the use of non-trustee members on committees

. the decrease in overlap of the Executive Committee

with other Board committees

. continuing the election of faculty, employee, and student trustees by the individual constituencies.

3) The faculty proposes that the Committee on Board Membership consult with a faculty group such as the Nominating Committee in selecting faculty members for non-trustee positions on committees.

4) The faculty submits that a decrease in the size of the Board need not be the prime consideration in increasing its effectiveness, and that the proposed drastic reduction in number of faculty trustees will actually damage the Board's effectiveness. and further, BE IT RESOLVED, that the faculty urges the members of the Board of Trustees of Cornell University to reject any proposal for restructuring of the Board that calls for a significant reduction in the percentage of the seats to be held by members of the student, faculty and employee bodies of the Ithaca community, or that takes away from those bodies the privilege of election of those members who are to occupy the trustee seats.

Professor Purchase said the subcommittee felt that these resolutions would convey to the Board the sentiment of the faculty in favor of the Board's search for greater effectiveness and determination to maintain diversity, but the strong opinion that the attainment of these goals would not be enhanced by reduction in the number of faculty trustees or cessation of their election by the faculty.

The Speaker opened the floor for discussion. A point of procedure was raised as to whether the resolutions would be considered together or separately. The Chair said they are presented as one resolution at this point.

Professor Norton moved to amend the resolution by striking the first parts, points 1 through 4.

The motion was seconded and placed on the floor for debate.

Professor Norton said the Executive Committee felt strongly that the point at issue with the Board Study Committee should not become clouded with excess verbiage. She said the resolution on the floor was much too polite; there was no need to congratulate the Study Committee on doing a good job in some respects. She contended that if the faculty wanted to draw the attention of the Board to the objections the faculty wants to register, the faculty must be blunt and, in effect, hit the Board over the head with these objections. She urged on behalf of the Executive Committee that the first part of the motion, points 1-4, be deleted and only the second half be passed.

Professor Purchase submitted that the first part of the resolution represented a balanced view of the entire report of the Kiplinger Committee in terms of all this committee is trying to do in restructuring the Board to make it more effective. By striking the first half, she held that we would lose the opportunity to encourage the use of non-trustee faculty members on committees. In addition, she said the faculty also would lose its opportunity to speak to limiting the power of the Trustees' Executive Committee, as well as influencing the makeup of their Committee on Board Membership, a most important committee. Professor Purchase stressed that the entire resolution is much more balanced and should represent the faculty's total view of the Kiplinger Report, rather than addressing only points with which we do not agree.

Professor Donald F. Sola, Modern Languages and Linguistics, said he also opposed the amendment. Identifying himself as a member of Professor Purchase's subcommittee, he said the group had tried to put together a balanced statement. He continued, saying that in their reading of the Study Committee report, and through their various meetings, the subcommittee saw an opportunity to have some dialogue with the Trustees, a rather precious opportunity that does not happen often on this campus where the Trustees tend to be isolated from us. We were hoping the Trustees would perceive our faculty as an analytic group that could appreciate the study committee were undertaking a serious matter, and that there were some important, positive elements in their proposals. That is, that the faculty were not simply reacting as if being stuck with a pin, but as a group that understood a serious document from a Trustee committee should be treated as such and not simply as a challenge.

Associate Professor Anatole Senkevitch, Jr., Architecture, said one of the more gratuitous elements in the first resolution is item number one, commending the Board for seeking greater effectiveness. To him, he said, this is most open to question. He suggested that item one might be deleted and the resolution begin with item two which enumerates points we commend, but omits congratulatory phrases. Professor Senkevitch said he did not offer this as an amendment, only as an item for consideration.

Associate Professor Howard C. Howland, Neurobiology and Behavior, said he supported the motion to strike the first resolution, primarily since he is being asked to endorse a

great deal of detail which he does not feel he can comprehend in such a short time. Further, he commented that if the Board of Trustees wishes to engage the faculty in a conversation, they should not start out by trying to disenfranchise us just to get our attention.

Professor Fisher said he wished to speak strongly in favor of the amendment. While there are points in the first half of the resolution which look good, he said he believed it is not effective to rewrite motions on the floor. Professor Fisher said his impression in talking to faculty trustees, student trustees, and from having appeared before the Board once himself, leaves him with the sad conclusion that they are not really interested in a dialogue with anybody, only with getting on with their job as they see it. But if you make a loud noise, they will give you the courtesy of listening to what you say. It is important, Professor Fisher continued, that a very strong message is put across, and he said he particularly liked the last part where the faculty does not just talk about their own disenfranchisement, but also that proposed for the student and employee bodies. He professed to feel very strongly about the faculty speaking out clearly about its concern for these other groups as well as our own.

Offering a point of information, Dean Greisen said that this second part of the resolution is also on the agenda of the Student Assembly and the University Assembly with the identical wording. The Employee Assembly already passed it. If all four assemblies pass the identical resolution, it will speak strongly for the whole community, he stated.

The previous question on the amendment was moved and seconded. On a vote call, it carried, ceasing debate on the amendment.

The Speaker next called for a vote on the amendment which would delete parts 1, 2, 3 and 4 from the resolution. It carried with but few nays.

The Chair announced that the second half of the resolution is on the floor for debate.

Professor Bronfenbrenner said he had a concern and that he would appreciate the help of his colleagues in clarifying it. He explained that he had served as a member of the Board of Trustees, and he is concerned that among the segments which presently send representatives to the Board, there are some who are there clearly in the role of pleaders for special interest groups. Students have been especially prominent in this role, he said; employees have been also, but not quite as prominently, and faculty far less so. For the most part, when faculty members have been elected to the Board of Trustees, they have taken the well-being of the university as their primary concern, which is their duty. Professor Bronfenbrenner continued, saying that the crux of his concern was that in seeking to support other constituencies, the faculty jeopardizes the very strong involvement they have in the Board of Trustees, by perpetuating a situation which Professor Bronfenbrenner felt, as a former Board member, was untenable; that is, a system that introduced into voting membership people who really did not care about the well-being of the university. Professor Bronfenbrenner said when he testified before the Board of Trustees, he suggested

some procedures for bringing people into the role of Trustee in a manner which could increase the likelihood that they would take the well-being of the University into primary consideration. He said he believed the faculty should not move in that direction without doing something like this. Professor Bronfenbrenner concluded, posing the question, "How can I act to preserve the important full membership of the faculty in this, without jeopardizing what I see as the Trustees' proper responsibility to reject some elements?"

Professor Farrell said this appeared to him a simple matter: Those who are governed by the Board of Trustees, should have representation on it. He explained that you could proceed by status and put the faculty first, or by numbers and put the students first, but to have no representation, or to decrease representation for any one of those three groups - faculty, students, employees - would seem rather unfair. Therefore, Professor Farrell said he wished to introduce a friendly amendment to delete the word "significant" from line three of the resolution.

The Chair reminded Professor Farrell that friendly amendments are not allowed in the FCR or in the Faculty. He invited Professor Farrell to offer the change as an amendment, if he desired to do so, in order to place it on the floor for debate and vote.

Professor Farrell then offered his suggestion to delete the word "significant" on line three as an amendment. It received a second.

Dean Greisen said he wished to give some numerical facts as follows. The number of Ithaca faculty now on the Board is four. The number of Board members at present is 62. If the number of faculty is reduced from four to three, and Board membership reduced from 62 to 42, there will be a slight increase in the percentage of Board members representing faculty. He continued, stating that if faculty were reduced to two, as has been proposed, this would constitute a drastic reduction. The same applies to students on the Board, and something similar to employees. Dean Greisen said he favored the amendment because it takes out a meaningless word.

Professor Terrence L. Fine, Electrical Engineering, asked if there would be any advantage to keeping the same resolution which will be before the other bodies?

Dean Greisen replied that he did not think this was a significant change. (Laughter!)

On a vote call on the amendment, it carried. The resolution, as amended, was then placed on the floor for further discussion.

Professor Gordon M. Messing, Classics and Linguistics, said he is going to take an unpopular point of view because it seems to him that the Trustees have been extremely forbearing. Stating that he wished to comment on several aspects of the process for selecting Trustees, he began by saying he did not believe numbers were too important. However, he expressed the opinion that the faculty should extend the Trustees the courtesy of recognizing their attempt to increase efficiency by having a smaller body. Professor Messing said he attached more importance

to the process of electing Trustees, and as far as faculty representatives were concerned, he considered the process had been unacceptable because we merely were providing representatives to do what the Trustees should be doing, that is, guaranteeing some kind of input from the community. While Professor Messing said he was unable to comment on employees, he offered the opinion that students had been extremely annoying from a number of points of view. To understand the situation, he claimed it was necessary to look back in time. Going back to the period of trouble in 1969, Professor Messing contended that faculty and administration put into effect a number of measures, and made certain concessions, which he saw as exceedingly unwise. One of them was the University Senate, which to Professor Messing's mind, was a loser from the beginning. There was never enough interest in it, he claimed; it was something the university stimulated artificially with money and then had to give up because there wasn't enough interest from any quarter. An even worse concession, it seemed to Professor Messing, was the student trustee issue. Here, he pointed out there has not been a year when students voted for their candidates in sufficient numbers to warrant the seating of a trustee. The result, he held, was that those who have been elected student trustees have been the most politicized members of the student body, and by politicized, Professor Messing said he meant actively on the left. There are a number of student trustees who have represented nothing except their own world outlook and all of them have been devoted to activity on behalf of some special cause. In two cases, he

thought, student members ratted on the trustees, deliberately revealing matters being discussed by trustees in committee, for what he considered to be reasons of publicity, self-aggrandizement, and campus politics.

Professor Messing thought it would be a very good idea to reconsider the whole question of student trustees; particularly, to consider whether in order to get student input, it might be better to have some kind of list where a student would put himself forward, perhaps with a list of signed supporters, for consideration from which the Trustees as a whole could make a selection. In other words, Professor Messing said, he favored not only cutting the number of Trustees, but improving the system by which they were elected.

Professor Walter R. Lynn, Civil and Environmental Engineering, and Director of the Program on Science, Technology and Society, spoke as a current Faculty Trustee. He said he wished to respond to the Professor of Classics because he had described student trustees whom Professor Lynn had not seen. Professor Lynn said a distinction should be drawn between the student selection process and the processes used for other members. He held that the student process forces them, in a sense, to take very political positions, which have frequently been ill-advised. This manner of selection, he pointed out, may be contrasted with that of the faculty candidates, who make no statements whatsoever about their positions, and are elected by some strange process. There have been occasional student trustees whose behavior has not been appreciated,

Professor Lynn said, but it would be wrong to project their actions over that total group who largely have been active, contributing members of the Board, as fully as other Trustees have been.

Emeritus Professor John H. Whitlock, Parasitology, moved the previous question, which was seconded, voted on and carried.

The Speaker called for a vote on the resolution as amended, which carried as follows:

RESOLVED, that the faculty urges the members of the Board of Trustees of Cornell University to reject any proposal for restructuring of the Board that calls for a reduction in the percentage of the seats to be held by members of the student, faculty and employee bodies of the Ithaca community, or that takes away from those bodies the privilege of election of those members who are to occupy the trustee seats.

There being no further business to be brought before the Faculty, the Speaker declared the meeting adjourned at 5:48 p.m.

Harlan B. Brumsted

Secretary

February 9, 1983

110 Ives Hall

The Speaker, Russell D. Martin, called the meeting to order at 4:35 p.m. with 53 members present. He asked for any additions or corrections to the minutes of the October 13, 1982 meeting. Hearing none, he declared them approved as distributed. The Speaker said he had two announcements. "First, it's a pleasure to announce that Professor P. C. T. deBoer, Mechanical and Aerospace Engineering, has consented to again be Parliamentarian. Thank you Tobe. And we have a new recorder. I'd like you all to meet Andre Yanoviak. Nice to have you with us. Our first item of business then is an address by the President on issues facing Cornell. President Rhodes."

1. ADDRESS BY PRESIDENT FRANK H. T. RHODES

"Mr. Speaker, Ladies and Gentlemen: I want to talk rather briefly about four or five issues that are now before us. The issue that is most important and occupies most of our time at the moment is the budget issue. And my colleague, Keith Kennedy, is going to be talking about that. But there are some other issues, and it may be helpful to share them with you as we look at the wider picture of Cornell at the beginning of this new year.

"The first of these is the overall federal budget for the fiscal year 1984 and the way in which that affects two very important parts of our campus activities: student aid and research. On the whole, the picture is an encouraging one. It is a picture of relative stability; the kind of cuts that were threatened a year ago have not materialized this year. In general, the total dollars for student aid remain about the same in the proposed budget for FY 1984 as they do in FY 1983. The one exception is that guaranteed student loans will drop in total funding by about 30 percent, but that is largely a reflection of falling interest rates rather than lower levels of support. The work-study program is slated to receive a substantial increase in funding -- about 57 percent -- and that is also going to be accompanied by an increase in the maximum Pell Grant from \$1800 to \$3000 if these proposals are accepted. Less happily, there are some reductions in programs that are of great interest to us -- ones like SEOG, and National Defense Student Loans -- and that is a matter of concern. Another proposal, as you probably know, is that families with students in college be allowed to save up to \$1000 a year with the interest on that and the dividends being tax free.

"On the research front, things look relatively encouraging in all the basic sciences except the biomedical area. The NSF budget is up by a proposed

18 percent, and that is a very important increase for the Ithaca campus. One hundred million dollars of that is for research equipment -- something that the major research universities have been arguing for three years now. Also included is support for more graduate fellowships and a new program for young investigators. There is also a proposed increase in the basic research funding for NASA and for the Department of Energy. On the negative side, the NIH budget is substantially down in real purchasing power. There is a 1.7 percent increase, but that doesn't keep pace with anticipated increases in inflation. And there is the possibility of a major reduction in overhead funding which, if implemented, could cost us very dearly. On the whole, however, the outlook is reasonably stable.

"The second issue I want to talk about briefly is the Right-to-Know Law, because that has been very much in the news recently and it is a matter of concern to every member of the faculty. The Right-to-Know Law became effective in December, 1980, and it concerns information on hazardous substances. It has three essential parts: The first is that any employee may request information about any subject related to materials that they handle. Second, we have to reply to that request within 72 hours, counting working days; third, if we don't reply to their satisfaction, our staff may refuse to handle the material in question. For that reason, we are developing a training program which will provide employees exposed to hazardous substances with comprehensive background information.

"Let me say first of all that we support the intent of that legislation. Our problems are not problems of lack of agreement with the principle, but problems in developing programs in the research areas which will comply with the law. It is not difficult to apply the law in the context of the non-research areas such as custodial services, grounds care and the heating plant, although the effort is substantial and costly. In California, which also has a right-to-know law, legislation was passed with a specific exemption for research labs which were entitled to operate under what is called 'qualified individuals'. When Governor Carey approved the legislation here in New York, he urged an amendment which would recognize the same kind of difficulties in the case of research labs here. To date, that has not been implemented, and so we have attempted, with some difficulty, to comply with the law.

"Let me briefly describe what we have done since the law came into effect. In doing this, I want to pay tribute to Don Cooke who has been responsible for most of the activities that I have to report. At the time that the law came into effect, we already had a unit at Cornell charged with compliance and known as the Office of Radiation Safety. This office originally had a staff of five

people, and it was clear that the scope of the work of the office needed to be expanded. At that time, the name of the office was changed to the Office of Environmental Health and two new individuals were added. During the first year of its existence, the office developed a listing of toxic substances. If that sounds a relatively straightforward procedure, let me say that it turned out to be a computerized list of over 330,000 materials. During the course of the year, while the office also developed training and communications programs, it received between three and four hundred individual requests for information. We are interested in that total because an inquiry by Mr. Cooke of seven other research universities in the state, showed that the highest number of inquiries at any one of them was four.

"Early in 1981, representatives of Cornell met with representatives of the State Department of Health for guidance and we have employed the same consultants that they employ in conducting their own communications efforts. It became obvious, as we moved into this undertaking, that the size of the existing Office of Environmental Health was inadequate, and the staff has now been expanded to 13. Sixty thousand dollars were added to the budget in the first year, \$250,000 in the second year, and for all of us concerned about the growth of central administrative functions, that is an indication of the growing demands with which we are faced.

"We have thus made considerable progress, but, as you know, in a recent meeting with officials of the state, we were found to be in non-compliance with the law. The non-compliance did not involve the quality of training programs or responses, but concerned the speed at which we had been able to implement the training programs. We are continuing to work on the training programs, we have expanded the scope of our efforts, and we hope to be able to comply with the law. But one of our problems, and it is a major one, is that no regulations have yet been issued that define the way in which the law should be applied. And therefore, to some extent, we are working in the dark.

"Third, let me mention a subject of great concern to all of us, and that is the question of admissions for the coming year. We are encouraged at the picture as of today, for both graduate and undergraduate admissions. Total graduate applications are up over a year ago and there are major increases in engineering and in a number of the humanities. We are especially pleased that minority applications are substantially up. In fact the increase in minority applications from this time last year, is around 50 percent, and every minority category shows an increase. On top of this, we have a 28 percent increase in

graduate student minority enrollment in the fall of this year, and that represents a very satisfactory and encouraging picture.

"On the undergraduate side, the picture is essentially stable. We are up marginally by 1.4 percent in overall undergraduate applications, and about the same in minority applications. But when we compare that figure with other Ivy League institutions, we notice that about half of those are down by figures ranging up to 12 percent. So we are encouraged that, on the whole, the numbers and apparently the quality of undergraduate applications have held up very well.

"You have no doubt seen the recent rankings of doctoral programs which have been published. Let me just say that although those show unevenness between the five areas that were covered -- the physical sciences, the humanities, the biological sciences, engineering, and the social sciences -- we are very gratified at the overall standing. Using the informal ranking, involving both program rankings and faculty quality, we estimate that the physical sciences ranked sixth overall, engineering ranked eighth, the humanities sixth, and the social sciences twentieth.

"Let me also mention the coming retirement of Don Cooke as Vice President for Research. Most of you know that Don has served the University for 20 years in various administrative roles. If you combine his services as Dean of the Graduate School, Acting Provost and the 3 years that he has been Vice President for Research, the activity on the campus reflects a remarkable increase -- both in range of activity and level of funding. All of us owe a debt to Don for the leadership he has provided. And as we begin to seek his successor we have decided that that office should be expanded in terms of its overall responsibilities. This is in line with the recommendation that came to us from a committee under the chairmanship of Professor Peter Stein, who looked at the whole organization and structure of the Office of Vice President for Research. Essentially, it has been expanded to include advanced education, and industrial liaison, so far as the latter concerns research funding. We have a search committee in existence under the chairmanship of Provost Keith Kennedy, and if you have comments or nominations or questions to raise about this position, I hope you will get in touch, either with Mr. Kennedy or with one of the committee members. The names were published in the Chronicle a week or so ago.

"Finally, let me say a word about the Institute for Biotechnology, still proposed but not yet in existence. The FCR gave us the authorization to move ahead with that some months ago. Since that authorization, about 30 corporations have been approached and 25 of those expressed some interest. Progress has

continued under the leadership first of Don Cooke and, more recently, Robert Barker, and I am happy to report that three major corporations are now pursuing detailed discussions in what we hope are the final phases of negotiations that will lead to their membership. We would like to get a fourth, but that is not yet certain. What is encouraging is that the outlook for these three looks very good indeed. We have also approached the state for funding for a center for biotechnology, and if that is successful, it would produce significant funding over the next few years. I want also to pay tribute to Dr. Barker and his colleagues who prepared that proposal with a state deadline of about one month. It was fifteen inches thick in total, and that gives you some idea of the speed with which a great deal of detailed information was acquired. We are also expecting to approach the state to provide space for that institute, if and when it comes into existence."

"Mr. Chairman, I'd like to stand down there, but I'd be happy to answer questions if there are any."

The Speaker asked if there were any questions for the President. There being none, the Chair next called on Provost W. Keith Kennedy, for a discussion of the 1983-84 budgetary considerations.

2. 1983-84 BUDGETARY CONSIDERATIONS AND OUTLOOK - PROVOST W. KEITH KENNEDY*

Provost Kennedy began: "Thank you Mr. Speaker, members of the Faculty. Before making a presentation, I would like to recognize Jim Spencer and John Lambert. They are the two that work in the trenches -- some times go over the top of the trenches, with a good deal of fire directed towards them -- and I only want to emphasize that it's my pleasure to present their hard work. In addition to their own work and dedication to bringing together a budget, we've had the benefit of a number of dedicated faculty members meeting on a regular basis, and we've also had students and employees of the Assemblies assisting them. All deserve a great deal of credit.

"What's the situation today as far as the University is concerned? It appears that we will be closing out the fourth consecutive year with a balanced budget -- this has not been an easy task during a period of high inflation. It's not been without sacrifice on the part of you and other members of the University community. Salary increases have been less than the rate of inflation; we haven't allocated as much money as we'd like to the Library. We have also failed to do a number of other high-priority items that we'd like to do. Saying 'No' to many, many worthwhile requests is not easy. But on the positive side, by saying 'No', by having a stringent budget, we have established

* Note: The graphs and charts referred to in the Provost's talk appear as appendix A.

a position which is recognized by the alumni, the Trustees, the foundations and others, that Cornell after some eleven years of deficit budgets, has turned the corner and has learned how to live within its resources. Many of you may not know that a foundation -- a major foundation -- usually will not make a grant to the University without having its financial statement. The same holds for major donors. They're not interested in giving money to an institution that can't manage its resources. Thanks to the efforts of many we were successful in completing our capital campaign of \$230 million with an extra \$20 million.

"Let us turn now to the outlook for 83-84, and I am going to use a series of overlays. This is old news -- over the past ten years faculty salaries have not kept pace with the Consumer Price Index. Some believe the GNP deflator is a better index than the CPI. Which is the better indicator appears to be unimportant. Over the past decade the purchasing power of the faculty has declined. The loss has been greater in the statutory colleges than in the endowed, but I'm not sure that gives anyone comfort when they see both salary levels lagging well behind the CPI. One question that's always raised is how does the CPI for the U. S. compare with that in the Ithaca area? The federal government hasn't chosen to select us as one of the major metropolitan areas of the country, so we have to turn to Buffalo. It has had a lower rate of increase than the U. S. in the CPI, but Cornell salaries still have lagged behind.

"Two years ago I appeared before the FCR and stated that in comparison with peer institutions we were about 6% behind the 80th percentile salary level and that we planned over the next three years to reach the 80th percentile by increasing salaries approximately 2% above the average increase at peer institutions. We didn't define the peer institutions but since 1981 we have selected 27 universities that lead in the production of PhD's. They represent a reasonably good mix of major independent and public universities. The graph shows the comparison of Cornell salaries with those at the 27 universities. In 1976-77 Cornell was at the 55th percentile; we made a modest gain in 1977-78 and a larger gain the following year, and then we dropped back to the 55th percentile in 1979-80 and held at this level in 1980-81. In 1981-82 we made no gain; in fact, we dropped about a half percent. But on the positive side, we did make a significant increase this year and we calculate our present salary level to be about 2 1/2% behind the 80th percentile. We appear to be within striking distance of our objective.

What will it take, however, to make the necessary salary jump? We think something between a 10 and 12 percent salary increase will enable us to reach the 80th percentile. We doubt if we can close the gap this year, but we believe that we will be very near the 80th percentile. Salary figures for 1983-84 are still very tentative. We will be presenting our preliminary estimates to the Board of Trustees in March, with final figures in May. The tentative figure as of today is a compensation pool of at least 8.5% for the faculty, and if possible, we would like to have an additional adjustment or pool of 1½% at mid-year. That would enable us to move our base forward by 10% by the beginning of the next year, and certainly would put us very close to the 80th percentile. The mid-year adjustment remains highly tentative.

"You probably are interested in the Cornell Children's Tuition Scholarship Program. Currently children of faculty and employees attending Cornell receive a scholarship of tuition minus the fees, so it nets out for this year at a cost of approximately \$6000. If children go to another university, it's full tuition but with a maximum payment of \$1000, and even the state-supported institutions frequently are above this level. So, something that was reasonably attractive and represented roughly one-half of Cornell's tuition when it was started in the mid-1960's has now become of marginal value. Currently there is no waiting period for faculty and exempt employees, and ten years for non-exempt staff. We are planning to present to the Trustees in March, a proposal that CCTS benefits for present employees remain unchanged for children attending Cornell. New employees whose children attend Cornell will receive 50% of the total tuition, not excluding the fee. If children go elsewhere, the maximum for present and new employees will be 30% of full tuition at the institution but not greater than 30% of Cornell's tuition. In addition, there will be a minimum level of full tuition up to \$1000. The waiting period is being adjusted; it will remain the same for current employees except for the non-exempt where it will be reduced from ten to seven years. For new employees arriving July 1 or later, it will be zero for associate and full professors, seven years for assistant professors and for exempt and non-exempt staff.

"What will these adjustments in compensation and CCTS mean in terms of tuition increases? Rather substantial, and something that gives us concern. This overlay summarizes our concerns. If we start with an index of 100 in 1972-73, and then compare the increase of Cornell tuition with the increases in the per capita disposable income, you will note that we lagged slightly behind -- although most of the time we were running parallel with PCDI throughout the 1970s. Three years ago our tuition started to move upward

more rapidly than PCDI. We passed the PCDI last year and we are well above it this year. The question is how long can we continue to move tuition up at these rates? I don't have the answer, but we have made comparisons with other institutions. They are considering increases of 10-12% in their tuition rate. At the present time, among the Ivy League schools and MIT, only Columbia has a slightly lower tuition than Cornell. Cornell's tuition, room, board, and other expenses are the lowest of the eight institutions. That doesn't give you much comfort, however, if you're trying to find over \$13,000 for a child to attend Cornell. Our costs are not out of line, but we are deeply concerned. It looks to us as though the tuition increase for this coming year will be some place between 11½ to a bit more than 12% -- perhaps as high as 12½%. Why do we have to increase tuition by that amount when we're talking about a compensation pool of 8.5 to perhaps 9 or 9¼%? This overlay may help to explain the problem. If you look at the increases in expenditures over the past four years, you will see that we have stayed reasonably well within rates of inflation for general expense. Compensation has increased 54%, student aid is up 65%, utilities 72%, and for the critics who say that we are not doing well enough on the library acquisitions, they have gone up 84%. I'm not sure if we still have critics about computer expenditures, but they are up 255%. Unfortunately, even with this large increase we have not satisfied the rapidly growing need for more computer facilities.

"General expense is 15% of the budget, compensation is 57%, financial aid and library acquisitions and computers somewhat less. On the income side -- tuition has increased 70%, overhead recovery from grants and contracts is up 69%. Overhead income has been an enormous help during the past four years and we give the faculty 100% of the credit for maintaining these grants and contracts during a difficult period. The only discouraging note is that we are seeing a falling off in the rate of increase and it is not keeping pace with our projections for 1982-83. While we are disappointed in the decline in overhead recovery, we do not wish to imply any criticism -- the faculty has done a tremendous job and we recognize it. We fear, however, that this source of income which has been keeping pace with tuition, will decline in the years ahead. Gifts have increased 53%, investment income 32%, and Bundy aid only 30% over the past four years.

"Currently tuition has to carry 51%, overhead recovery 11%, gifts 4%, investment income 10%, and Bundy aid only 3% of the general purpose budget.

The large expense items are compensation and financial aid, making up 69% of the total general purpose budget. With several income sources not keeping pace with salary and financial aid increases, tuition has to carry an ever increasing share of these two major expenditures."

A point of information from the floor: "The percentages in the bottom column only add up to about 75% as far as percent of income." Provost Kennedy replied, "The other income is chiefly from accessory instruction and payments by the self-supporting units.

"Financial aid -- with the ever increasing tuition costs, it certainly puts more and more of a burden on students with limited resources. Our problem is to keep pace or meet the competition in providing financial aid. Currently, while we have the lowest student expenses -- tuition, room and board, and other expenses -- we have one of the highest self-help requirements. Because we do not have as much financial aid as we need, we have several alternatives. One is to have a uniform self-help requirement -- this would have amounted to \$3700 in 1982-83 and it would have to be increased to about \$4250 in 1983-84. Another possibility is to vary or adjust the self-help according to the ability to borrow. This would be almost impossible to administer in a fair and equitable manner. The third alternative is to adjust self-help according to our evaluation of the student -- the attractiveness plan. The fourth one is self-help varied by ability to borrow and desirability. Again, determining a family's ability to borrow would be difficult with the rather limited financial information we receive. A fifth alternative is to go back to what we were doing until relatively recently, to admit students that we'd like to have but say to many, 'Sorry, we don't have any financial aid.' And the sixth one is to be aid conscious in making admissions decisions. This alternative is listed only to emphasize that we rejected it immediately, even though it is being used at some institutions.

"After considering six, or more accurately five alternatives, we settled on self-help varied by desirability. After students were admitted, the admissions personnel or faculty committees were asked to rate each student as one, two, or three in terms of desirability. The number of students in the first category and the number in the third category had to be equal. The middle category could be larger or lower than 1/3 as long as the first and third categories were balanced. What were the results of the rating system in terms of acceptances? In the endowed units the overall acceptances of financial aid applicants and non-aid applicants were the same. For students who were

rated number one by the admissions committees, we had a significantly greater yield if they required financial aid (\$3200 self-help) than if no aid was needed. With a \$3700 self-help requirement, students needing financial aid accepted at a greater rate than non-aid students. In the third category those who didn't need financial aid support enrolled at the same rate or slightly higher rate than those who did. Students in the statutory colleges were less sensitive to levels of financial aid than the endowed students. This was probably due to lower total cost of attending Cornell. The students applying to the endowed units that we considered the most desirable were also considered the most desirable by other institutions. Hence, we were competing head-to-head for them and the lower self-help requirement enabled us to be competitive. As we move to the third category the students had fewer alternatives and the higher self-help requirement of \$4200 was sufficiently attractive to permit a higher yield than for the students we rated number ones. In 1982-83 compared with 1981-82 we maintained our enrollment of students from the two low income levels but there was a dramatic drop at the next two income levels, \$20,000 to \$28,000 and \$28,000 to \$36,000, and a modest decline in students from families at the \$36,000 to \$44,000 level. This drop in students from middle-income families causes us great concern. Students from families with incomes above \$44,000 increased in 1982-83 compared with 1981-82. In retrospect we believe the expected parental contribution was set too high for middle-income families in 1982-83. We intend to make appropriate adjustments in expected parental contributions in 1983-84 for those families in the \$20,000 to \$44,000 range.

"To repeat, in 1982-83 the average self-help was \$3700 -- \$2350 from loan and \$1350 from work-study -- but was divided into three levels with the number ones and the number threes approximately equal in size. The self-help levels were \$3200, \$3700, and \$4200 with the work-study being the same (\$1350) for all students. The difference in the self-help requirement was in the size of the loan component. In 1983-84 if we had a 10% increase in tuition, we feel that the self-help would have to average \$4150 per student. As previously stated, the tuition increase is likely to be 11½ to 12+ percent with an average self-help of \$4250. At the present time we are not planning to increase the work-study in that many students still do not make full use of the work-study funds available. While the average self-help requirement will be \$4250, the three levels probably will be \$3400, \$4150, and \$5230 for 1983-84. You'll note that there's a sizeable difference in the percentage

increases among the three levels but the competition is for the number one students. We should be competitive at \$3400 for the most attractive students. Last year many questions were raised about the attractiveness plan as far as the minority and disadvantaged students were concerned. The earlier bar graph showed that at the lower income level we didn't have a falling off. Furthermore, we did rate minority and non-minority students in separate pools. Cornell provides the highest financial aid of any of the Ivy League schools for minority and low income students. For the State program students (EOP and HEOP), those who are educationally and economically disadvantaged, the requirement this year is \$1000 of self-help. We're proposing to go up to \$1250. COSEP students, those Cornell supports, whose family incomes are from 0 - \$10,000, will have their self-help requirement increased from \$1500 to \$1750. If family income is between \$10,000 - \$20,000 self-help will rise from \$2500 to \$2800, and for those from \$20,000 - \$30,000 family income the increase will be from \$3500 to \$3800. \$3800 is the maximum figure because if they received the number one rating for attractiveness, their self-help will be at \$3400. Above \$30,000 family income the self-help is determined by the rating whether minority or non-minority. Cornell has a very attractive plan for minority students; we are proud of our program and we intend to continue with this commitment to minorities.

"In addition to financial aid programs for the low-income and COSEP students, we also have the Cornell National Scholarship Program, and the college administered programs amounting to \$500,000 annually. Looking to 1983-84, we will continue with the low-income, COSEP, and State programs. We'll have the Cornell Nationals, the college programs, and the Cornell Tradition. The latter will amount to about \$1.4 million annually, including the summer employment component and slightly more than \$500,000 during the academic year.

"I have summarized our current thinking on what we intend to present to the Trustees in late March. Overall it's a rather attractive plan in terms of compensation and financial aid for students. It's painful in terms of the increase in tuition, but the University is in a fairly good financial position for 1983-84. Our projections, however, for 1984-85 and 1985-86 are somewhat discouraging. If the rate of inflation remains at 6%, if compensation adjustments for the next two years are 7% to 7½%, if tuition increases are no more than 2% above inflation, or 8%, and if financial aid is 4% above tuition, or 12%, we will have a projected deficit or shortage

of income of \$1.9 million in 1984-85, and \$3.9 million in 1985-86. At this time it appears that the endowed portion of the University will have to go through some of the trials and tribulations currently being experienced by the statutory colleges. The only positive note is that the base reduction can take place over two years rather than in less than two weeks.

"Many of you have seen the headline, 'The money is just rolling in to Cornell,' which appeared about two weeks ago in the Ithaca Journal. If we have all that money what is the problem? Remember, gifts account for 4% of the budget and so even if they do roll in, they represent a minor portion of the required income. Furthermore, many of these gifts, which we deeply appreciate as they are extremely useful, are designated for certain purposes -- endowment, certain facilities, and other capital improvements -- all of which are important but which do not help the general purpose budget. Also, I think it doesn't take much imagination to know that when you have many dedicated people giving money and helping to raise it, the University likes to publicize the accomplishments with a rather enthusiastic news release. We try to recognize faculty members who receive special awards, and departments that receive high national ratings because of the quality of their faculty and academic programs. We believe friends and alumni who make gifts need encouragement and deserve our thanks; hence, a news release which is accurate in content but which may leave the impression that Cornell has received substantial amounts of unrestricted gifts. Unfortunately, 1982 year-end giving did not solve all our problems.

"I recognize that this report has been long but I have a few comments on the statutory budget situation. On the positive side, the Executive Budget recommended a \$9 million, or 12.8% increase for 1983-84. The increase is the highest for any of the units of State University with the exception of the Medical Centers. We were treated well in terms of increases, including full funding for accessory instruction. While savoring the increase, we received word of a reduction of \$4.3 million in personal service funds. This equates to an estimated 180 positions. These adjustments were supposed to be planned between February 1 and today, February 9. The Deans and their colleagues, the department chairpersons and others have been working around the clock and over the weekend trying to make the required reductions with the minimum adverse impact on employees and programs. There's a little relief to a very major problem -- the Executive Budget included about \$1.3 million to fully fund previously authorized but unfunded positions. These vacant positions

now have dollars behind them, and can be used as part of the \$4.3 million cut; but we still have a \$3 million problem.

"We've made several announcements and we mean them. We're going to take advantage of all resignations, retirements, and other vacancies to handle these position cuts. Today, we have sent out an announcement to all of the units of the University that there is a temporary freeze on the filling of all vacant positions in the endowed University until we have an opportunity to see whether there are individuals that need to be relocated from the statutory colleges or wish to be relocated from the statutory colleges to fill vacancies in the endowed units. We view this as being a University-wide problem. We all have to pull together. It should not take very long to determine the number of people and their skills who might need to be relocated within the University. We seek your full cooperation during the next two or three weeks.

"In terms of faculty salaries for the statutory colleges, it is a 10% pool this year (1982-83). Just recently the money was released and is now appearing in the paychecks. Future salary pools in the statutory colleges are 9% for 1983-84, and again in 1984-85.

"In summary, we continue to have many strengths. We seem to have about as many problems as we had a year ago and perhaps a few more, but I think Cornell University will still be operating in 1984 and beyond. Thank you for your patience."

Provost Kennedy received a round of applause at the conclusion of his presentation. The Speaker thanked the Provost and indicated there were two other items remaining on the agenda, but if anyone had any questions for the Provost, he believed he'd be happy to answer them.

Associate Professor James M. Burlitch, Chemistry, said he would like to ask why it was that the overhead rate jumped so high above that predicted, causing much grief for some units like the Materials Science Center, which has a budget that's fixed over a long three-year period. Professor Burlitch said he is especially concerned about this because the recent review from a panel outside of the Center indicated there was a striking lack of support of research compared with other similar institutions. He concluded that this looks like a slap in the face in addition to an already not-so-great situation.

Provost Kennedy replied: "Jim, we do not have a good excuse for the rather sizeable increase. We should have been a bit smarter when we changed from the salary and wage base to modified total direct costs. In retrospect

we probably could have done a bit better in making that adjustment. We are in good company, however, as M.I.T. made the same mistake. We under-recovered by a very significant degree in 1982-83, and I wish that the review panel for MSC were here at the present time so we could point out that the University provided MSC with a sizeable subsidy this past year. In trying to bring us into balance the overhead rate is being increased from 49% to 57%, which is a sizeable percent increase. It causes lots of stress and strain, but it is still one of the lowest, if not the lowest, of all of the Ivy League schools, M.I.T. and others, by one, two, or more percent. From the stand-point of level of charge, the new rate is very reasonable in comparison with other institutions. The percentage increase for the coming year is substantial but we will still have a relatively low rate. M.I.T. is increasing from 50% to 58% or 59%, about the same percentage increase as Cornell."

The Chair again thanked Mr. Kennedy, and called upon University Counsel, Walter J. Relihan, Jr. for an explanation of the policy concerning employee indemnification.

3. POLICY ON EMPLOYEE INDEMNIFICATION (Attached, Appendix B)

Mr. Relihan stated: "The University has an insurance policy with a deductible of \$100,000 regarding each claim, \$500,000 in the aggregate, in each policy year. The University self-insures for losses within those lower limits and University funds pay claims that result from legal actions against the University or against University personnel. Now where the insurance is operative, the insured is defined as the University and any employee acting within the scope of his or her responsibilities for the University. So that even if a claim is brought against an individual by name, a member of the faculty in a performance of University duties, that person would be insured under the policy. Most claims, however, result if at all in a recovery that's more modest than \$100,000, so University funds are or may be directly involved. In that case the question always has been what is the duty of the faculty member, what is the duty of the University? The tradition has been that the University would respond in damages where again, like the insurance policy provision, the act or omission which gave rise to the complaint occurred within the scope of employment. But that position was never recited anywhere with authority, that is, by the Board or by the Administration in any reliable way, so when I came here three years ago, it seemed to me it was important to have that informal tradition reduced to writing and adopted by somebody in authority to do so, so that people could rely on it in future cases and not

leave it to a case-by-case determination. The other reason that it's useful and necessary is this - I can't think there's a great misapprehension about the duty of an employer responding to a claim brought against an employee by some third party. The third party out there who gets run over by a University vehicle or whatever, is entitled to bring an action against the employer for the act or omission of the employee, assuming it's again within the scope of the employee's responsibilities for the employer. However, it is not the duty of the employer to indemnify the employee because under the law, every act or every person who does or omits to do something they ought to do, is responsible for their own acts. The employer is not responsible for the employee's act - quite the reverse. If the employer has to pay damages to some third party out there, the employer, under our law, is entitled to be compensated for that payment and to proceed against the employee to get back what the third party has recovered in a law suit against the University. So to preclude the operation of the normal rule of law, it was thought advisable to have this specific provision that the University would not only not seek to recover the loss from the employee but would protect the employee and would pay that cost, given certain circumstances. The circumstances being the same ones that normally apply in any insurance policy issued to an employer, that is that the act or omission has to be employment related. Again, it is not a break with tradition, it's simply a recognition and a reaffirmation of what has been general practice in the past. While it's important, it is not statistically the kind of thing that happens every day. Right now, our office is defending about 120 odd lawsuits against the University or University employees. Of that whole number, not more than a half dozen are brought against an individual employee, faculty member, whatever. And the reason is obvious that a plaintiff who is making a claim and seeking money damages, wants the deep pocket and the deep pocket is the University in most cases, and not the faculty member. I'm sure there are a thousand questions and I'd be willing to handle a number."

Dean of Faculty, Kenneth Greisen, said: "The indemnification policy mentions indemnification but I do not see where it mentions actual conduct of the defense - the legal defense. Is the University prepared to do that too?"

Mr. Relihan replied: "The indemnification speaks of a judgment or a settlement and related authorized costs, and it is meant to include the cost of defense. In most cases, that defense would be conducted by the University Counsel's office."

Professor Charles S. Levy, English, said: "I would like the clarification of what I think is an ambiguity that has to do with the word 'available' in the very last line."

"Mr. Relihan replied: "The term 'available insurance' does not mean if there is a policy out there in the marketplace that a Faculty member might buy then the University would not indemnify. It does not mean that. It means that if a Faculty member has an individual policy of insurance that covers the issue in hand, that insurance is called upon first before the University's own funds within this deductible limit are called upon. But if there is no such insurance, then the University's funds would be the first call."

Professor Levy asked if Mr. Relihan meant no such insurance in force. Mr. Relihan replied that this was correct. If you don't own such a policy, forget it.

Professor Robert C. Lind, B&PA, said: "I would say on the very positive side, that this indemnification piece corresponds with all things that the AAUP and other bodies that have studied this would recommend as part of a policy." He continued: "One area where you might comment is what you might do administratively in the future - what about those situations that are a bit bizarre. For example, where the faculty members' and the University's interests are in conflict, or where two faculty members are involved and the situation is an unusual one. One of the things that's recommended is an ad hoc faculty committee or the involvement of some faculty in decisions about how to handle these situations. As I understand it now, it's all in your hands and I suggest you employ some such mechanism in situations that are really truly unusual."

Mr. Relihan said "bizarre" situations arise more frequently here than at many other institutions, and he knew exactly what Prof. Lind is talking about. The Administration would rely heavily upon the legal estimate of the situation, but certainly advice and counsel from the faculty would be welcome. Mr. Relihan said he hasn't examined how that can be done, but surely it's a possibility.

The Chair thanked Mr. Relihan, and indicated the final item of business was a progress report from Professor Robert L. Aronson, ILR, the Chairman of the Committee on the Professional and Economic Status of the Faculty.

4. PROGRESS REPORT FROM THE COMMITTEE ON THE PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY

Professor Aronson began by thanking those members of the faculty who had responded to the document of the committee on the salary proposal that was

circulated with the call to this meeting, and he also thanked Professor Jay Orear and others who have been working with him on the question of contributions to the funding of the pension system. He continued: "The Committee on the Professional and Economic Status of the Faculty is faced with some rather difficult, complex issues and issues on which we also recognize not all of us are of one mind. There is a great diversity of viewpoint and interest and so it would be helpful to the Committee if those of you who have some additional information, as happened in one recent instance, or have views which you think the Committee ought to consider, would relay those views to us so that we can take them into account as we go ahead with our work. What I'm going to do here is to try to give you a very brief report on the issues that have occupied the Committee on the Professional and Economic Status of the Faculty during this academic year, and in some cases, over a longer period of time. I hope that in view of the very fine presentations that we've just had before this report from the Provost and the University Counsel that what we have to say won't appear to be an echo. Rather I'm grateful for the fact that Provost Kennedy and Mr. Relihan have laid out in greater detail the context and some of the factual information with which we've been trying to do our work.

"The Committee on the Professional and Economic Status of the Faculty is charged with oversight and recommendatory functions with respect to all aspects of compensation generally affecting the well-being of Cornell Faculty. We assume that adequate compensation is essential to our common interest in a strong and academically vigorous university, and we attempt to evaluate compensation and related issues from that viewpoint as well as from the perspective of more conventional objectives. The Committee's agenda and the degree to which one or another issue has been emphasized have varied from year to year, depending both on the general state of the academic profession and on the pressures of the moment.

"Now I will go into a brief account of the five issues on which we have been undertaking varying amounts of work.

"The salary program this year has probably occupied more of our attention and concern and you received with the call to this meeting a document entitled 'A Resolution of the Committee on the Professional and Economic Status of the Faculty'. That represents the work of several members of the Committee and of course was discussed and has the endorsement of the entire Committee. Along with the academic community generally, as Provost Kennedy's report made very clear, Cornell Faculty compensation has suffered a steady decline in its purchasing power during the past 10-15 years. The Committee's salary recommendation

contained in that document that I just referred to, has as one of its objectives the restoration of Faculty salaries to at least that earlier purchasing-power state, but we recognize that this is a long-term project only partially subject to control by the University. Of more immediate and particular concern is the decline in Cornell Faculty salaries relative to the salaries paid to Faculty in a set of peer institutions with which we are generally in competition for both faculty and students. Our goal is to restore Cornell Faculty salaries in the Endowed division to the 80th percentile of the peer group. On certain assumptions with regard to the expected movement of salaries in the lower tier of the peer group and the probable change in the Consumer Price Index in the year ahead we have concluded that a salary adjustment of about 12 percent might reach the parity goal for Endowed faculty in 1983-84.

"During the Fall semester, the Committee has discussed its concerns about Cornell Faculty salaries with representatives of the University administration, notably Provost Kennedy and Vice-Provost Spencer. We are encouraged that these representatives share the Committee's salary objectives, and we have been assured that, subject to the constraints under which they must function, they will make every effort toward achievement of those objectives. There are substantial technical problems in comparative analysis of academic compensation, but we are happy to report also that the Office of Institutional Planning will be obtaining additional data from the American Association of University Professors and will work closely with the Committee during this and future years in helping to formulate salary recommendations.

"Finally, although the Professional and Economic Status Committee has less direct access to the process of salary determination for members of the faculty in the Statutory colleges, we are maintaining a continuing interest in its salary program through liaison with a committee representing those members. Statutory college faculty generally, but especially in the rank of Full Professor, earn less than their counterparts in the State University Centers at Albany, Buffalo, Binghamton and Stony Brook. The gap continues to widen, and we hope that strong efforts will be made by Cornell to close it altogether in the near future.

"Improvement in the Cornell Childrens' Tuition Scholarship Program is almost a perennial issue on the Committee's agenda, but one on which we hope there also will be progress this year. Provost Kennedy has indicated in his presentation a proposal that will be made to the Board of Trustees. For those individuals eligible to use the program, the main issue is the growing disparity between the value of the benefit for children who attend Cornell and those who

attend other institutions, to the disadvantage of the latter. We feel strongly that a reduction in this disparity will work to the advantage of the University as a tool for recruiting and retaining faculty of high quality.

"Approximately a year ago, the Committee reluctantly voted to continue the present program until consensus could be reached on a more satisfactory plan. Since then the Committee has made several different proposals, including an analysis of their probable effects on school choice and cost. And as I've just noted the Administration will be making a new proposal to the Board of Trustees. Our Committee has not endorsed that proposal but we do agree that it represents an important step in the desired direction, and we will continue to work on this issue as well.

"As a third issue we have been examining, faculties at an apparently growing number of colleges and universities have been exploring various ways of protecting expected benefits under their pension plans against deteriorating purchasing power because of inflation. Indexing is a very costly alternative to the beneficiary, and is not being seriously explored, let alone offered by TIAA, for example. A number of institutions, however, are investigating and, in some cases, have actually contracted with other organizations to permit a wider choice of pension funding alternatives than those presently available under the TIAA-CREF program. Investment in money market funds is one example of several alternatives that promise higher yields on contributions, at varying degrees of risk. The Cornell Medical College staff already have such a program, which involves the establishment of a before-tax contribution plan subject to IRS approval.

"The Committee has met with several interested faculty, who have provided background information on this development. Our special thanks go to Professor Orear in this connection. We have also had a number of discussions with the Administration about such a program and some of the administrative problems or other technical features. In addition we have had a presentation by a firm that specializes in this kind of alternative program and other firms have supplied information on their programs. We hope to give more effort to this issue in the current term, despite the apparent abatement in the rate of inflation.

"The fourth issue is the assumption by the University of the full premium cost of the long-term disability benefit. This has been endorsed by the Committee and we understand agreed to in principle as a high-priority change in the benefit program for faculty. For technical reasons, this benefit could not be implemented for 1982-83. It now appears that there exist some additional

aspects that need to be evaluated and clarified, particularly with respect to faculty in the statutory colleges. The Committee hopes that these questions can be resolved in time to implement the change in 1983-84.

"Finally the Committee has reviewed the indemnification proposal, and I would simply say that while the Committee is satisfied that the new Cornell policy described to you by Counsel Relihan does conform to the guidelines recommended by the American Association of University Professors, we think that there are some problems with implementation and so our Committee will recommend further study of that aspect of the plan.

"That is the end of my report."

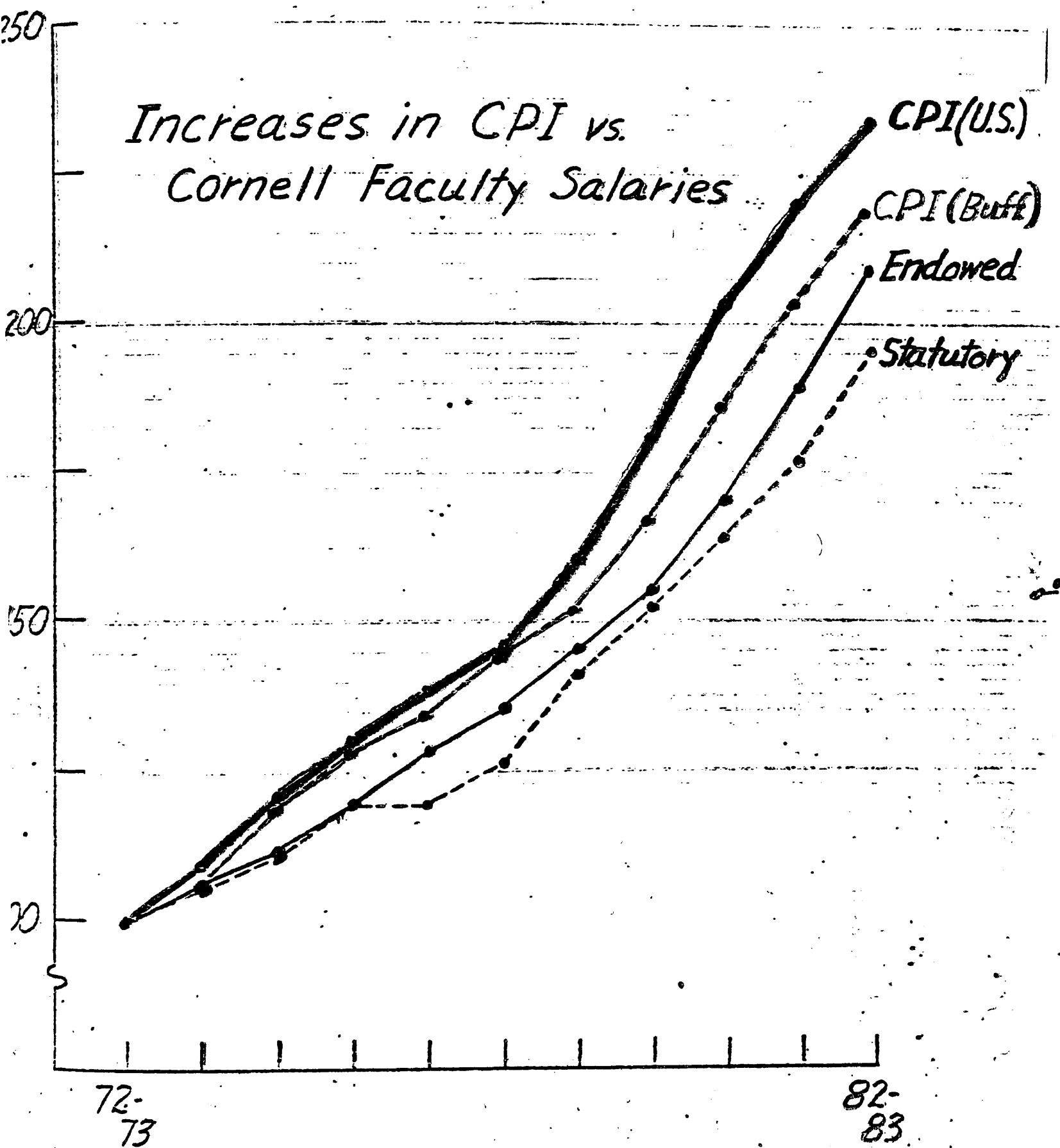
The Speaker asked if there were any questions for Professor Aronson.

Provost Kennedy said: "Bob, that was an excellent report. I would only comment with respect to the issue of the Long Term Disability insurance. We would like to implement it across the board, but we are prepared to consider it for the endowed units as part of the compensation package, if that's what you wish. However, there are also some technical aspects particularly as far as income tax implications. We're discussing these with the Committee, and I only want to indicate that we are still prepared to make the move if the Committee and others feel that this is the right way to go."

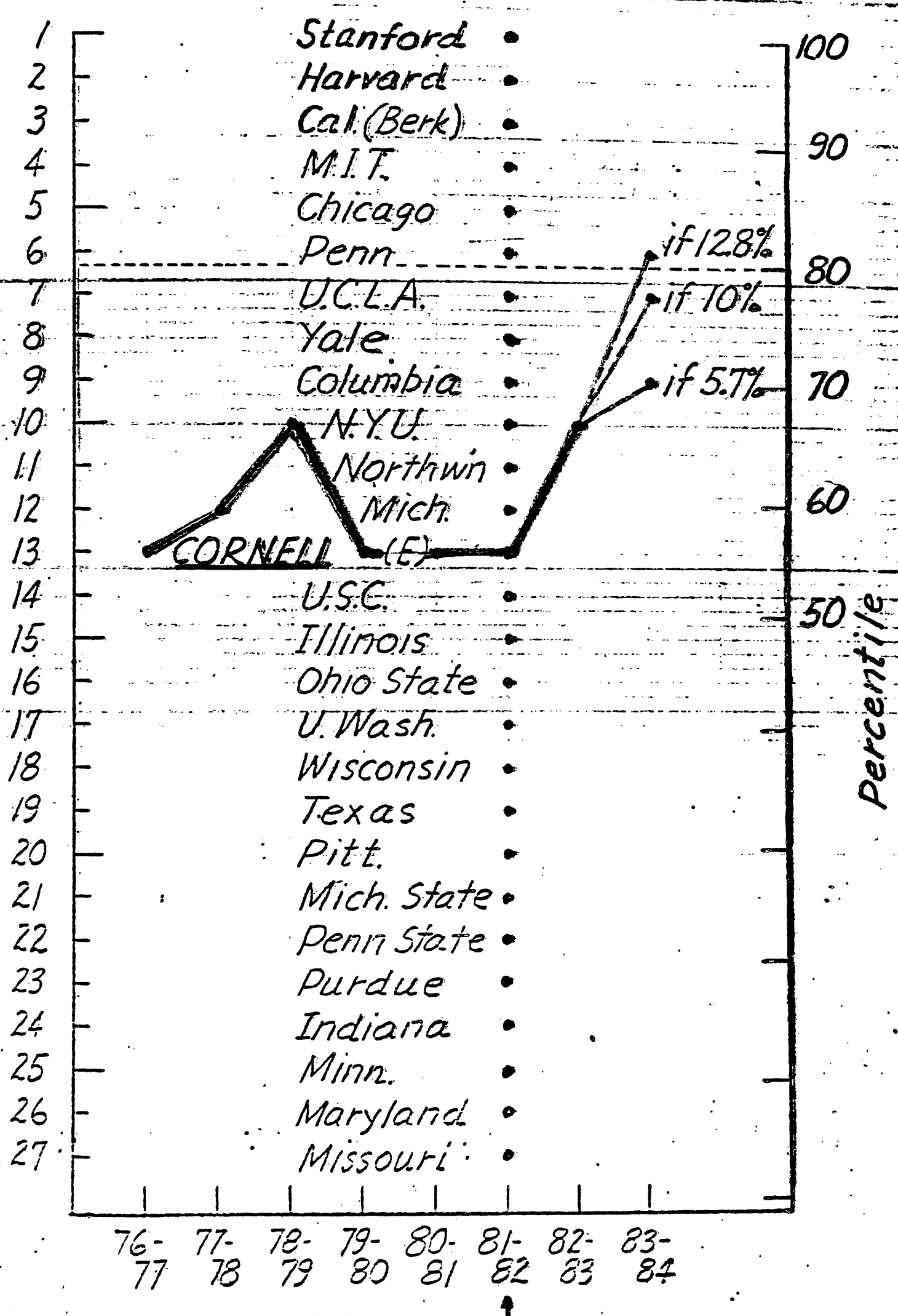
There being no further business to come before the body, the Speaker declared the Meeting adjourned at 5:45 p.m.

Respectfully submitted,

Joseph B. Bugliari
Secretary pro tem



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CCTS Proposal

at Cornell →

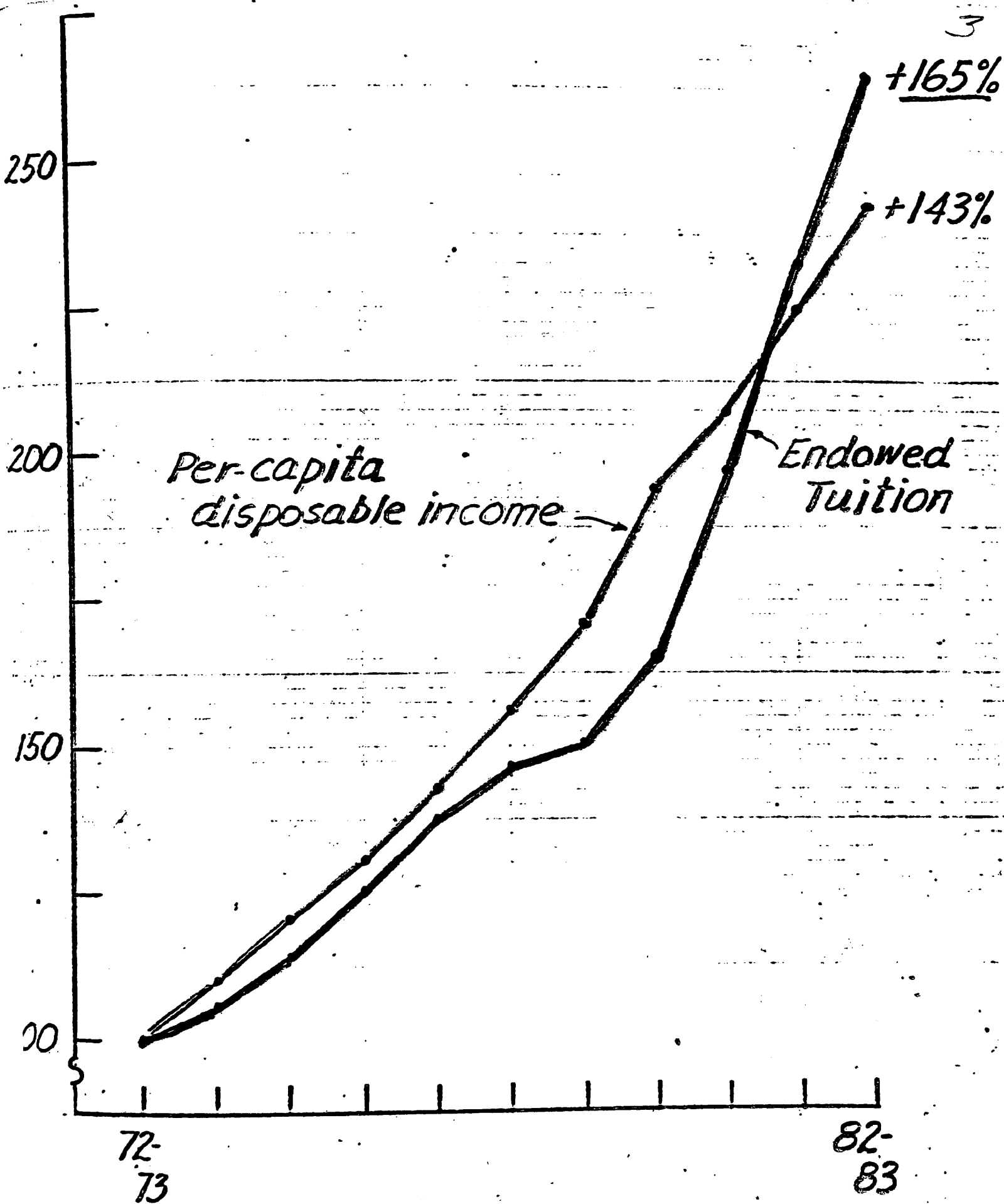
Elsewhere →

Waiting Period

Academic:
 Full & Assoc Prof
 Other

Non-Academic
 Exempt
 Non-Exempt

Current Program	Proposed	
	Present employees	New employees
Tuition minus "fee"	Same as current but not < 50% of full tuition	50% full tuition
Full tuition to a maximum of \$1000	Max. 30% full tuition to max of 80% of CU allowed	
	Min. \$1000, whichever less	
	0	0
	0	7
	0	7
	0	7
	10	7



Expense

General operating expense
Compensation - fac & staff
Student financial aid
Utilities
Library acquisitions/RIG
Computing

+38%
+54%
+65%
+72%
+84%
+255%

15%
57%
12%
6%
2%
5%

% Δ
78-79 → 82-83

% of Budget
82-83

Revenue

Tuition
Overhead recovery on g. & c.
Gifts
Investment income
Bundy aid

+70%
+69%
+53%
+32%
+30%

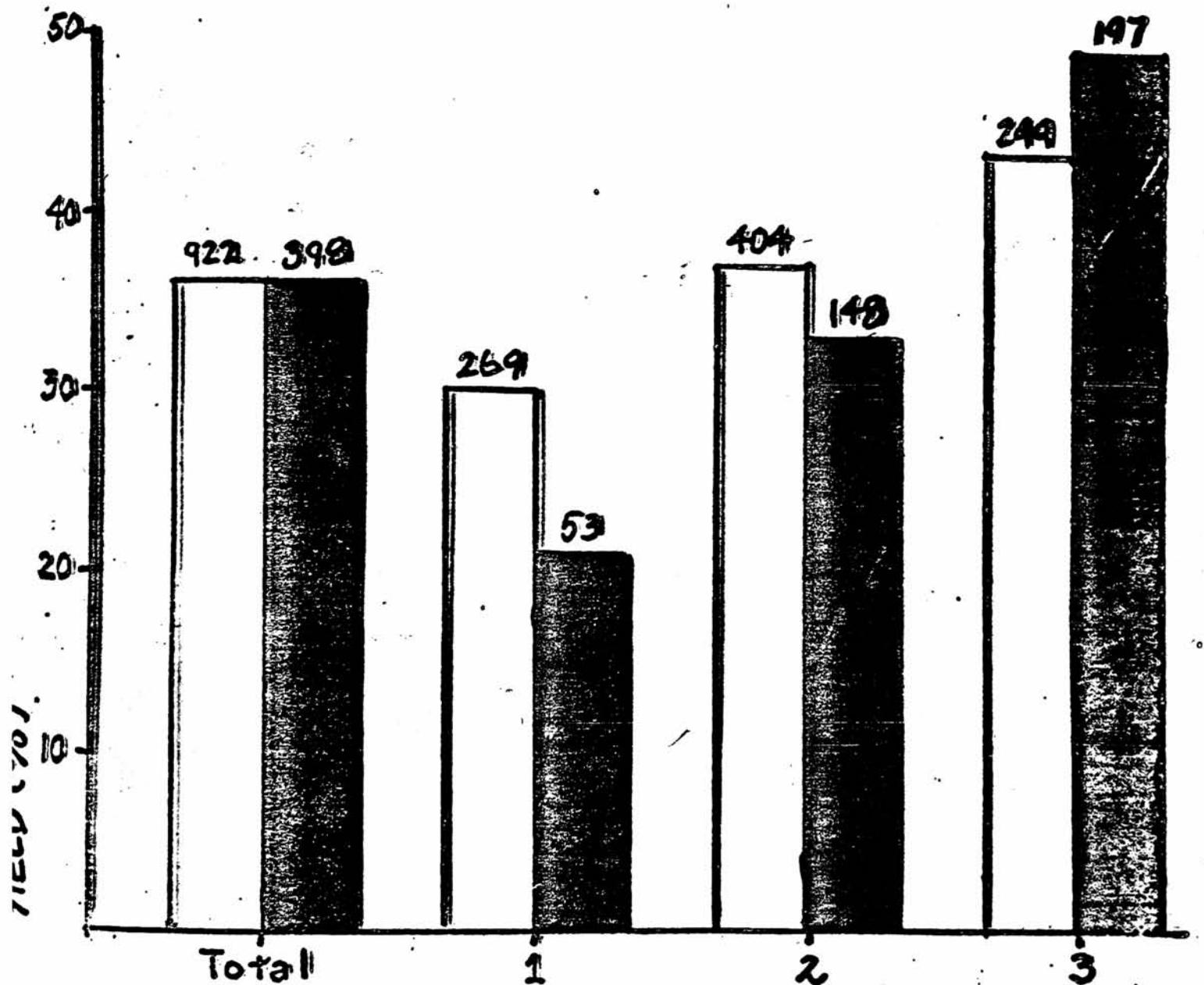
51%
11%
4%
10%
3%

Alternatives

- 1. Uniform self-help**
- 2. Self-help varied by ability to borrow**
- 3. Self-help varied by desirability**
- 4. Self-help varied by ability to borrow and desirability**
- 5. Admit / Deny**
- 6. Aid conscious admissions**

FINANCIAL AID VS. NON-FINANCIAL AID YIELD COMPARISONS

ENDOWED



N = matriculants

All Acceptances Yield (%)

1 = 28.1

2 = 35.8

3 = 45.8

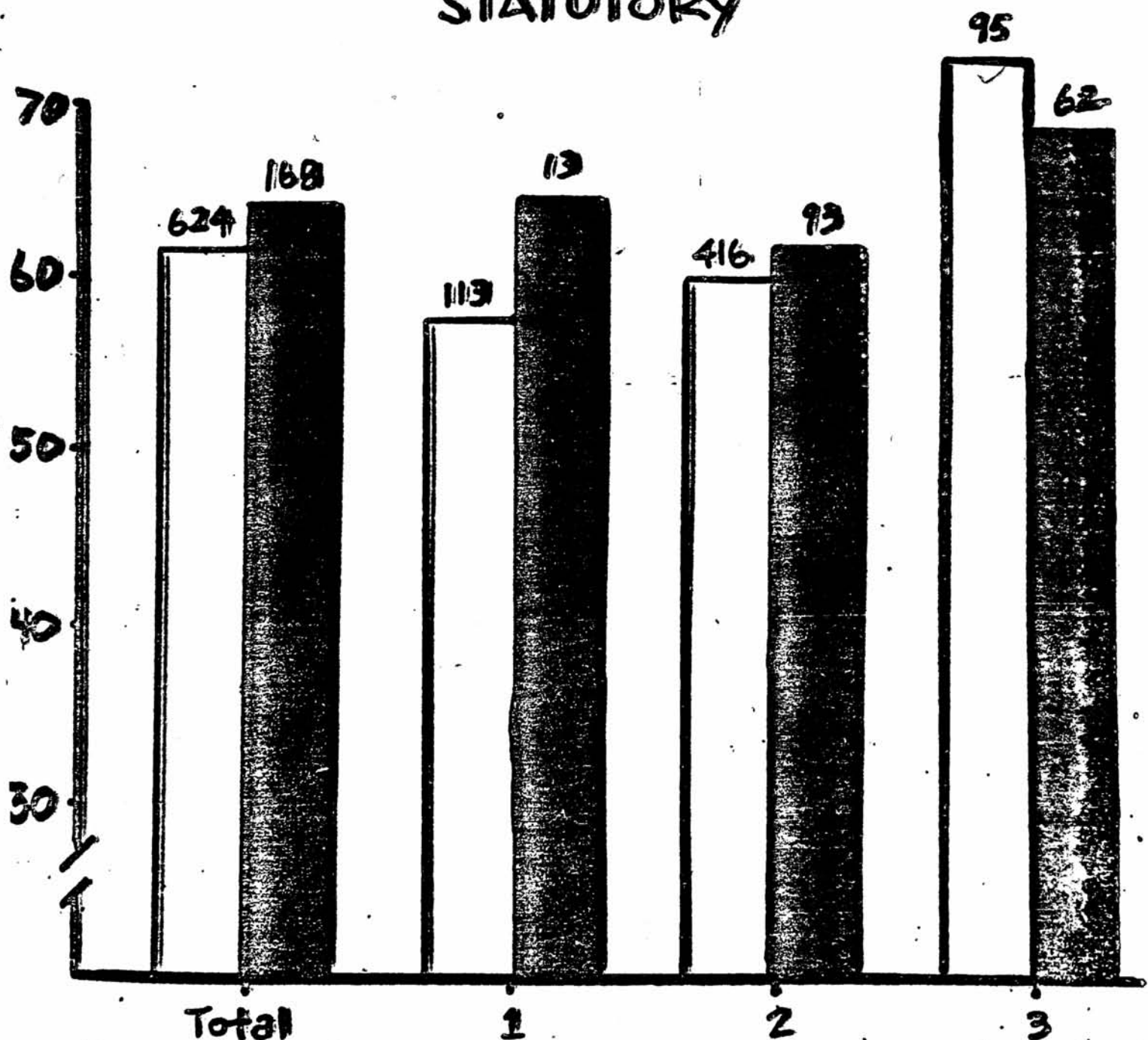
Total = 36.0

□ Financial Aid Applicants

■ Non-Financial Aid Applicants

FINANCIAL AID vs. NON-FINANCIAL AID YIELD COMPARISONS

STATUTORY



N = matriculants

□ Financial Aid Applicants

■ Non-Financial Aid Applicants

All Acceptances Yield (%)

1 = 58.9

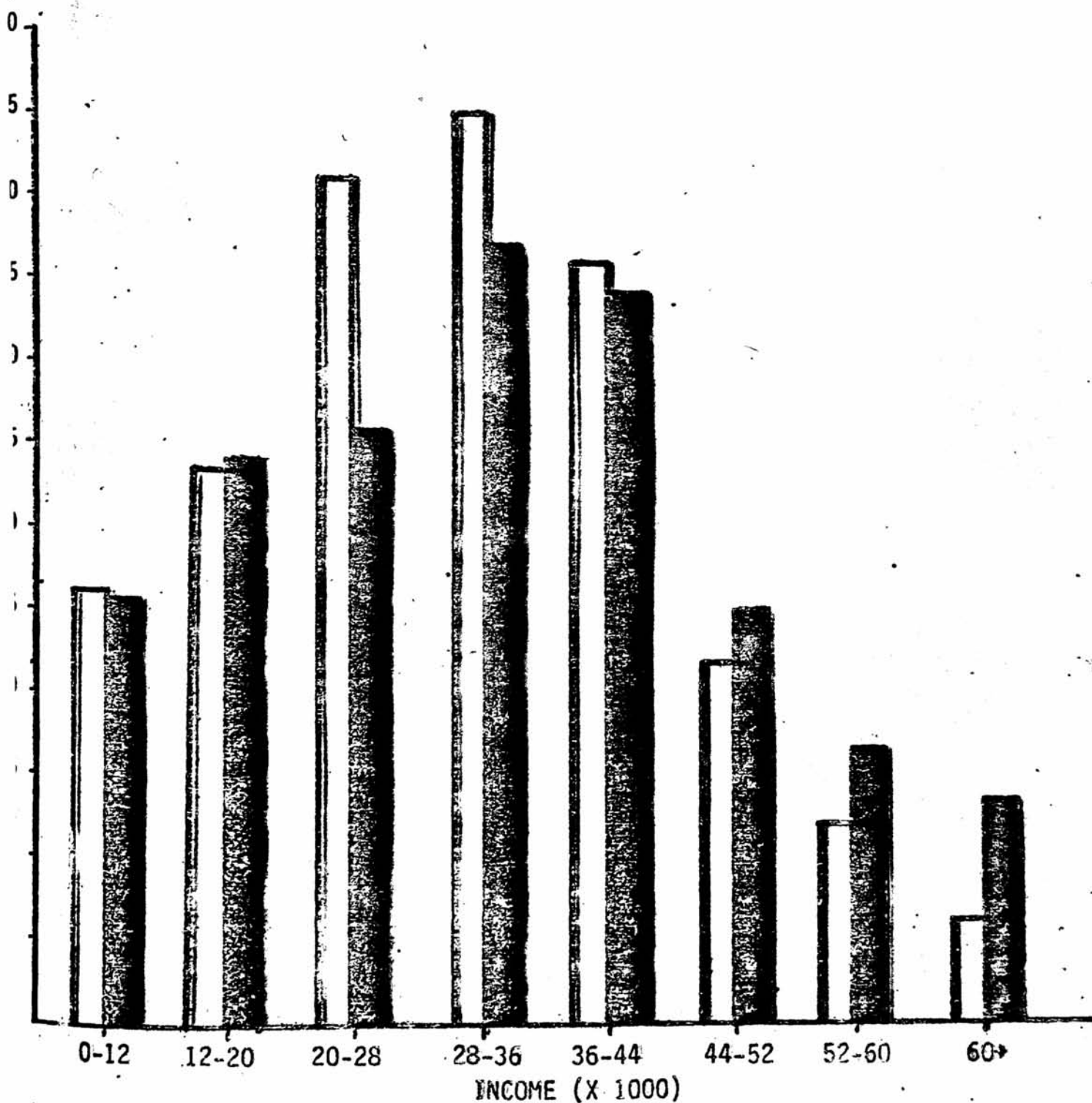
2 = 61.0

3 = 71.4

Total = 62.3

COMPARISON OF FRESHMAN FINANCIAL AID
CANDIDATE INCOME DISTRIBUTION
1981-82 vs. 1982-83

quency



1981-82

1982-83

Source: SPSS Crosstabs
8/25/82

Average Self-Help

Strategy

1982-83

$$\$2350 + \$1350 = \$3700$$

$$\#1 = \$3200$$

$$\#2 = \$3700$$

$$\#3 = \$4200$$

1983-84

if + 10%

$$2800 + 1350 = 4150$$

$$\#1 = 3400$$

% increase
over 82-83

6.25%

if + 11%

$$2900 + 1350 = 4250$$

$$\#2 = 4150$$

12.2%

if + 12%

$$3010 + 1350 = 4360$$

$$\#3 = 5230$$

24.5%

Proposed Low Income, COSEP, and State Programs

Self-Help Maxima

1983 - 84

1982 - 83

1983 - 84

HEOP/EOP

\$1000

\$1250

0-10K
Call dependent
students)

\$1500

\$1750

10K-20K } COSEP
20K-30K } only

\$2500

\$2800

\$3500 (or rating -
whichever is less)

\$3000 (or rating -
whichever is less)

30K +

determined by rating

From Minutes of the Executive Committee meeting, December 7, 1982.

2. **INDEMNIFICATION OF EMPLOYEES:** Voted unanimously to adopt the following policy on employee indemnification:

INDEMNIFICATION

1. Cornell University shall indemnify any employee in the amount of any judgment obtained against such employee or in the amount of any approved settlement of a claim, plus such approved expenses as may be necessarily incurred in connection with such judgment or settlement, provided that the act or omission from which such judgment or settlement arose occurred while the employee was acting within the scope of University employment and in the performance of authorized duties. The University, in its sole discretion, shall determine whether or not the alleged act or omission occurred while the employee was acting within the scope of University employment and in the performance of authorized duties.

2. The term "employee" does not extend to any member of the Board of Trustees, including any employee concurrently serving as a trustee, with respect to acts or omissions arising out of the performance of trustee responsibilities or to any officer of the University corporation. The indemnification of such persons is governed by the New York Not-For-Profit Corporation Law and shall be subject to such procedures as the Board of Trustees may adopt from time to time.

3. The University shall not defend or indemnify an employee where the injury or damage resulted from intentional wrongdoing, gross negligence or recklessness or in the event that the action or proceeding is brought by or on behalf of Cornell University.

4. The defense or indemnification of an employee shall be conditioned upon (a) delivery to University Counsel of the original or a copy of any summons, complaint, process, notice, demand or pleading within 10 days after service of such document, (b) a specific request that the University represent the employee, and (c) the continuous full cooperation of the employee in the defense of such action or proceeding or any other action or proceeding against Cornell University based upon the same act or omission.

5. The benefits of this resolution shall not enlarge the rights which would have been available to any plaintiff or other claimant in the absence of this resolution. These benefits shall not be available to an employee to the extent that the damage or loss is indemnifiable under any insurance coverage available to the employee.

April 13, 1983

110 Ives Hall

The Speaker, Russell D. Martin, called the meeting to order at 4:30 p.m. with 54 members in attendance. The Speaker announced that he had been requested to act as a liaison to enlist faculty members to participate in the fall orientation for new students. He stated: "The aim is to have new students, when they arrive, picture a faculty member as a human being rather than somebody on a pedestal that you aren't supposed to touch or talk to. At the close of the meeting, I hope faculty members will sign up to indicate their willingness to participate to help the Orientation Committee accomplish that specific objective for next fall. For example, faculty might perhaps be willing, instead of students greeting the parents and the students when they come on campus, to themselves meet the parents and even carry the suitcases. Events such as the softball tournament, the freshman olympics, the family orientation workshops, co-op lunch with some of these new students early in their career and even the square dance would be ways the faculty can become involved and let these students know that we are glad to have them here, that we are human beings, and would like to get to know them."

The Chair next called on Kenneth Greisen, Dean of Faculty.

1. ANNOUNCEMENT BY DEAN GREISEN

"This is a small but very important speech. You all know that we've been holding an election. I'm very proud of the slate of candidates that was offered from which to select my successor. I think any one of the three would have made an excellent dean, but the faculty has made its choice - a fine choice - it gave the most votes to the Professor of Agricultural and Business Law, Joseph B. Bugliari, and I wanted to introduce him formally to the faculty, even though he doesn't need an introduction. You can address all your complaints to him next year instead of me."

The Speaker said the body was privileged to have both the President and the Provost present, and that they have indicated that they would attempt to answer any questions that you may have either now or throughout the meeting. The Chair next called on Associate Professor George F. Scheele, Chemical Engineering, and Chairman of the Committee on Academic Programs and Policies for a resolution.

2. RESOLUTION TO REESTABLISH THE COMMITTEE ON ADMISSIONS AND FINANCIAL AIDS

Professor Scheele began: "On behalf of the Committee on Academic Programs and Policies, I should like to move that the Committee on Admissions and

Financial Aids of the Faculty Council of Representatives be reestablished, using as its charge the legislation adopted on December 1, 1971 and amended November 13, 1975, with the further amendment that two student members be added - one from the endowed and one from the statutory colleges, appointed for one-year, renewable terms by the Student Assembly."

The Speaker said the floor was now open for discussion, and asked, for the benefit of the Secretary and the record, that members give their name and area when speaking. There being no discussion, a vote was taken and the resolution carried unanimously as follows:

The Committee on Admissions and Financial Aids of the Faculty Council of Representatives (FCR) is hereby established.

The FCR reaffirms the established roles of the faculties of the individual colleges and schools of the University in admitting students and in awarding financial aids. It also recognizes that certain aspects of admissions and financial aids are of concern to more than one college, school or program and may have basic effects upon the educational policies and the total educational character of the University. The University Faculty and the FCR, therefore, have a basic concern and responsibility for policies affecting admissions and university-wide financial aids.

The Committee on Admissions and Financial Aids shall:

- 1. Recommend to the FCR policies and procedures for admissions of students.*
- 2. Recommend to the FCR policies and procedures concerning allocations of general University funds for financial assistance to students. In recommending policies and procedures the Committee will take into account the effect of such aid upon the makeup of the student body and upon the kind and quality of education at Cornell.*
- 3. Report and make recommendations concerning admissions and university-wide financial aids to the FCR at such times as it deems advisable, but shall report at least once in each academic year.*

Membership shall be as prescribed by the Rules and Procedures Governing Standing Committees of the FCR with the provisions that, in addition, the Dean of University Admissions and Financial Aid shall be invited to serve as an ex officio, voting member of the Committee and that two student

members be added, one from the endowed and one from the statutory colleges, as appointed for one-year, renewable terms by the Student Assembly.

The Chair next called on the Dean of Faculty to present the slate of candidates.

3. APPROVAL OF SLATE OF CANDIDATES

Dean Greisen began: "I am presenting this slate on behalf of our Committee on Nominations and Elections. We distributed all that was available about the slate with the call to the meeting, and I will not read the names of those people. However, since the time when this was mailed, there have been a few additions and changes, and I would like to announce just those. If you have the materials that were sent with the call to the meeting, you'll be able to follow this a little better. There are no changes until we get down to the next to the last Committee on the first page - the Committee on Academic Freedom and Responsibility. We had to fill two vacancies, not just one, and so one more candidate was added to the list of three that were there before. The addition is Victor T. Rendano, Jr., Associate Professor of Clinical Sciences in the School of Veterinary Medicine. Then on page 2, under the Committee on Admissions and Financial Aids which was established by the previous motion, we need a lot of candidates because we have to elect the whole committee, and one more candidate was added to the list of five that were there before, namely, Francis W. Saul, Associate Professor of Architecture. For the Budget Committee, farther down the page, one more candidate was added, namely, John B. Knight, Associate Professor of Hotel Administration. On the Minority Education Committee, we have one more candidate who is Elizabeth A. Oltenacu, Assistant Professor of Animal Science. The Physical Education Committee was listed as having one vacancy, it has two vacancies, but we did not add to the number of candidates. For the University Assembly - John Knight who was a candidate there has been eliminated since he has become a candidate for the Budget Committee and two candidates were added, namely, Andy L. Ruina, Assistant Professor of Theoretical and Applied Mechanics and Joe M. Regenstein, Associate Professor of Poultry and Avian Sciences. Those are all the changes."

The Speaker thanked the Dean and asked if there were further nominations from the floor for any of these positions. There being none, the slate was approved as follows:

FACULTY TRUSTEE - 5-year term

Malden C. Nesheim, Professor and Director, Nutritional Sciences

Mary Beth Norton, Professor, American History

Sidney Saltzman, Professor and Chairman, City and Regional Planning

Yervant Terzian, Professor and Chairman, Astronomy

AT-LARGE MEMBER, FCR - 3 vacancies, 3-year term

Frederick T. Bent, Associate Professor, Business and Public Administration

Wesley W. Gunkel, Professor, Agricultural Engineering

William N. McFarland, Professor, Zoology, Ecology and Systematics

Charles A. Peterson, Professor, Chinese History

Robert H. Silsbee, Professor, Physics

REVIEW AND PROCEDURES COMMITTEE - 3 vacancies, 3-year term

Ellis R. Loew, Assistant Professor, Veterinary Physiology

John Keith Moffat, Associate Professor, Biochemistry, Molecular and Cell Biology

Richard H. Penner, Associate Professor, Hotel Administration

Gerard Salton, Professor, Computer Science

George J. Wolga, Professor, Applied and Engineering Physics

NOMINATIONS AND ELECTIONS COMMITTEE - 3 vacancies, 3-year term

Joe P. Bail, Professor and Chairman, Education

James A. Boon, Professor, Anthropology and Asian Studies

Ferdinand Rodriguez, Professor and Acting Director, Chemical Engineering

Richard H. Thaler, Associate Professor, Business and Public Administration

Lawrence K. Williams, Professor, Organizational Behavior, Industrial and Labor
Relations

MEMBERSHIP OF THE UNIVERSITY FACULTY - 1 vacancy, 3-year term

Carol L. Anderson, Associate Professor, Human Development and Family Studies,
Associate Director, Cooperative Extension

Joseph D. Novak, Professor, Science Education and Biological Sciences

ACADEMIC FREEDOM AND RESPONSIBILITY COMMITTEE - 2 vacancies, 3-year term

Leopold W. Gruenfeld, Professor, Organizational Behavior, Industrial and Labor
Relations

Richard L. Liboff, Professor, Electrical Engineering and Applied Physics

Victor T. Rendano, Jr., Associate Professor, Clinical Sciences

Sydney S. Shoemaker, Susan Linn Sage Professor, Philosophy

ACADEMIC FREEDOM AND RESPONSIBILITY COMMITTEE - 1 non-tenured vacancy, 3-year term

Stephen J. Ceci, Assistant Professor, Human Development and Family Studies

H. Dean Sutphin, Assistant Professor, Education

ACADEMIC PROGRAMS AND POLICIES COMMITTEE - 2 vacancies, 3-year term

John S. Bowers, Associate Professor, Modern Languages and Linguistics

Paul L. Houston, Associate Professor, Chemistry

David B. Lyons, Professor and Chairman, Philosophy, Professor of Law

Thomas A. Sokol, Professor, Music

ADMISSIONS AND FINANCIAL AIDS - 4 vacancies, staggered terms of 1, 2 and 3 years

Vernon M. Briggs, Jr., Professor, Personnel and Human Resources Management,
Industrial and Labor Relations

John W. DeWire, Professor, Physics, Assoc. Dir., Lab of Nuclear Studies

Benjamin Nichols, Professor, Electrical Engineering

Jerry M. Rivers, Professor, Nutritional Sciences

Francis W. Saul, Associate Professor, Architecture

Helen L. Wardeberg, Professor of Education, Associate Director, Instruction

ADMISSIONS AND FINANCIAL AIDS - 1 non-tenured vacancy, 2-year term

Philip D. Nicholson, Assistant Professor, Astronomy

Stephen H. Zinder, Assistant Professor, Microbiology, CALS

BUDGET COMMITTEE - 2 vacancies, 3-year term

John F. Burton, Jr., Professor, Collective Bargaining, Labor Law/History,
Industrial and Labor Relations

Eugene C. Erickson, Professor and Chairman, Rural Sociology

Peter J. Kahn, Professor, Mathematics

John R. Wiesenfeld, Associate Professor, Chemistry

BUDGET COMMITTEE - 1 non-tenured vacancy, 3-year term

Gregory S. Ezra, Assistant Professor, Chemistry

John B. Knight, Associate Professor, Hotel Administration

Dale A. Oesterle, Assistant Professor, Law

FREEDOM OF TEACHING AND LEARNING COMMITTEE - 1 non-tenured vacancy, 3-year term

David S. Powers, Assistant Professor, Near Eastern Studies

Gregory Page, Assistant Professor, Art

MINORITY EDUCATION COMMITTEE - 1 vacancy, 3-year term

1 vacancy, 2-year term

Anne A. Graves, Assistant Professor, Africana Studies and Research Center

John T. Hsu, Old Dominion Foundation Professor of Music

Elizabeth A. Oltenacu, Assistant Professor, Animal Science

F. Michael Waters, Assistant Professor of Hotel Administration

PHYSICAL EDUCATION COMMITTEE - 2 vacancies, 3-year term

Christopher Hart, Assistant Professor, Hotel Administration

John E. McMurry, Professor, Chemistry

Ritch Savin-Williams, Assistant Professor, Human Development and Family Studies

PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY COMMITTEE - 1 vacancy, 3-year term

E. Scott Maynes, Professor, Consumer Economics and Housing

Arnim H. Meyburg, Professor and Chairman, Environmental Engineering

PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY COMMITTEE - 1 non-tenured vacancy,
3-year term

Hollis N. Erb, Assistant Professor, Preventive Medicine, Veterinary

Charles S. Henry, Assistant Professor, Hotel Administration

RESEARCH POLICIES COMMITTEE - 2 vacancies, 3-year term

Ronald G. Ehrenberg, Professor, Labor Economics, ILR and Economics, Arts & Sciences

Peter J. Gierasch, Professor, Astronomy, Associate Director, CRSR

Bertha (Betty) A. Lewis, Associate Professor, Nutritional Sciences

Michael L. Thonney, Associate Professor, Animal Science

UNIVERSITY-ROTC RELATIONSHIPS COMMITTEE - 2 vacancies, 3-year term

Daniel P. Loucks, Professor, Civil and Environmental Engineering

George Lust, Professor, Veterinary Microbiology

Peter L. Minotti, Associate Professor, Vegetable Crops

William B. Streett, Professor, Chemical Engineering, Associate Dean, Engineering

COUNCIL ON PHYSICAL EDUCATION AND ATHLETICS - 1 vacancy, 3-year term

John D. Reppy, Professor, Physics

Virginia Utermohlen, Associate Professor, Nutritional Sciences

UNIVERSITY ASSEMBLY - 2 vacancies, 2-year term beginning June 1, 1983

James M. Burlitch, Associate Professor, Chemistry

Joe M. Regenstein, Associate Professor, Poultry and Avian Science

Andy L. Ruina, Assistant Professor, Theor/Appl. Mech.

Stanley A. Zahler, Professor, Microbiology, Genetics and Development

The Chair next called on the Dean of Admissions and Financial Aid, James Scannell, for an update concerning the coupling of Selective Service Registration and Federal Student Financial Aid.

4. COUPLING OF SELECTIVE SERVICE REGISTRATION & FEDERAL STUDENT FINANCIAL AID

Dean Scannell stated: "The report I have to make to you is one that is changing on a daily basis at this time. Tomorrow the House Education Committee

is marking up an amendment to the draft registration law to delay its implementation for one year. All of this activity surrounds an amendment that has been called the 'Solomon Amendment' signed into law on September 8, 1982 by President Reagan, which would require all students, if they're receiving Title IV Federal financial aid funds, to indicate whether or not they have to register for the draft, and if they are required to register to prove that they have in fact done so. In late January, Secretary of Education, Terrence Bell, produced a series of proposed preliminary regulations. The higher education community was given approximately a month to respond to those proposed regulations. Cornell University through President Rhodes did respond. First he indicated that the coupling of federal financial aid with the requirement to register for selective service draft was an inappropriate linkage of two very different programs in the federal government established for different purposes. However, since we have a law, President Rhodes commented on the regulations, indicating that they did not capture the intent or spirit of Congress in passing the law since there would be an increased administrative burden on institutions to enforce the law and students would be jeopardized in receipt of federal aid if in fact they had met all the requirements. Since that time, the added dimension of a court case in Minnesota has arisen. Three students have indicated that they felt the amendment was unconstitutional in that a violation of due process and self-incrimination were involved. The federal district court judge in this case ruled that it was likely that the plaintiffs had a very sound case and as a result issued a preliminary injunction on March 10. That preliminary injunction has since become a permanent injunction. The Justice Department attorneys have indicated this week that the injunction in Minnesota applies to the rest of the country. Therefore, although the Department of Education continues to prepare for the release of the final regulations in the first week of May, the law itself cannot be implemented until the court case in Minnesota is resolved. You begin to get a sense of the confusion as to this issue. The position that Cornell has taken to date is actively, through our associations and with our congressional representatives, to insure that the law, when it's implemented, does not put the institution in a situation of having to enforce federal regulations, which is certainly what would have been the case if the preliminary regulations were adopted. We would have had to go through a validation process for students and the likelihood of delays in the delivery of aid would have been significant. The Department of Education has now backed off that validation requirement - at least for the first two years of the law - indicating all we would have to do is to have

students certify on their statement of educational purpose, which is a form that they have to fill out for receipt of federal aid, that yes, they are eligible if they are a male between the ages of 18 and 23, and yes, they in fact have registered. There would not be that extra step of validation, which was one of our major concerns. At this point, we also would like to support the idea of delaying the implementation of the law because we are faced with incredible confusion and it's unlikely that the implementation in July will be a smooth transition under the present set of circumstances. We would, therefore, very much like to see the implementation delayed for at least a year. All of that is up in the air. If and when the law becomes a fact, and if and when we are in a position of having perhaps some of our students - both females as well as males, because if a female does not sign that form indicating that she isn't required to register, she also would be ineligible for federal aid - Cornell will have to face the question of what role if any it should play in the replacement of lost federal aid with some form of institutional funds from some sources. But that, at this point, is quite a bit off in the distance. With any luck, we may never get to that point, especially if the Minnesota court case rules that the law is unconstitutional. It would then probably be taken to the appeals court and from there possibly even on to the Supreme Court. The feeling is that the Federal government may well back off if it goes all the way to the Supreme Court. So, though I'm sure this is a confusing update, so is the issue itself. I will try to answer any questions that you may have."

The Speaker asked if there were any questions for Dean Scannell. There being none, he called on Professor Terrence L. Fine, Electrical Engineering, and member of the Executive Committee, for a resolution.

5. RESOLUTION FROM EXECUTIVE COMMITTEE RE DRAFT REGISTRATION/STUDENT FINANCIAL AID

Professor Fine said the resolution from the Executive Committee of the FCR is as follows:

WHEREAS, the FCR believes that universities should not bear the responsibility for enforcing a link between draft registration and student financial aid, a link it finds entirely inappropriate;

BE IT THEREFORE RESOLVED, that the FCR urges the University Administration to continue to work for the repeal or modification of this law in conjunction with other colleges and universities.

Professor Fine said he thought Dean Scannell's remarks were sufficient to explain the Committee's motivation in bringing this resolution before the body.

The Speaker opened the floor for further discussion.

Professor Yih-Hsing Pao, Theoretical and Applied Mechanics, asked if the aid was general aid or federal aid?

Professor Fine replied: "Federal aid."

Professor Pao indicated that he then wished to speak against the resolution because he did not see how we could object when the federal government imposes a restriction on the aid given by the federal government.

Professor Thor N. Rhodin, Applied and Engineering Physics, said: "It may be obvious why this body would want to pass this resolution but I would like to ask just what is envisaged as being accomplished should this resolution be approved? What will we achieve by it? What usefulness will it serve except to go on the record that we are supportive of the effort that's being made by the Administration?"

Professor Fine replied: "I don't speak for the committee, but I would like to make two comments. First to Professor Pao, I don't think that just because the federal government wants to put things together, they actually stand together. With regard to what we accomplish with this, I think we put ourselves on record as supporting the Administration and, in fact, encouraging the Administration to ask for modification of a law which is probably inappropriate. The issue, of course, is not one of the appropriateness of draft registration. That is not the issue we are dealing with. The issue is whether the University should become part of the compulsory process for draft registration, and to me, it should not be. That is not a role for the University. And I would like to have, if FCR agrees, the Administration encouraged to act in that direction."

Associate Professor Mary H. Tabacchi, Hotel Administration, wished to speak for the resolution. She continued: "I remember the days, and many of you do too, that before you could get financial aid, you signed a little form that said you were not a communist, and I'm not sure I even knew whether I was or was not."

There being no further discussion, the motion carried with but few nays. The Chair called on Professor Vernon M. Briggs, Jr., I&LR, and Chairman of the Minority Education Committee for a resolution.

6. RESOLUTION RECOMMENDING INCLUSION OF AFFIRMATIVE ACTION IN THE
CONSIDERATIONS FOR PROMOTION IN THE ACADEMIC APPOINTMENT MANUAL

Professor Briggs began: "As chairman of the Minority Education Committee, having been a member for the last three years, we have been concerned with a number of issues pertaining to the quality of education available to minority students on this campus. One of these concerns all the three years that I've been on the committee has dealt with the issue of minority faculty - the number of minority faculty on our campus. We have commented about this in some of our preceeding reports to the faculty - our annual reports - but as this year began, you may recall, the issue of the number of minority faculty was brought to the attention of the academic community by newspaper reports of a massive loss of minority faculty and administrators from the campus. We, of course, immediately tried to pursue this, as the initial reports stated in the neighborhood of 21 minority faculty had left the University. In the process of following up on whether that number was correct and what the circumstances were, we decided to pay a great deal of attention to this issue, rather than the multiplicity of issues that have come before the committee - that is, to focus on this one and bring a recommendation specifically to the faculty. In the process of reviewing of what actually happened, it did turn out that we lost a total of 21 black faculty and non-academic members, but only four of these turned out to be faculty losses; the others were members in administrative posts, which is also of concern to our community. But nonetheless as we pursued it further, the loss of four, while it may seem not to be numerically significant, it turns out that this four represented about 18% of the total black members of our faculty. So that it is a significant number even though the absolute number is small. This we believe takes us to what is really the fundamental problem and that is the low number of minority faculty available in our entire faculty community. Our minority faculty mandate is to include faculty who are Asian, Black, Hispanic and Native American. That percentage of the faculty as of last year - the figures we had available to us in the fall - were about 5.7% of the total faculty. That comes out to an absolute number of 88 minority faculty on our entire faculty. Of that number, the largest single group are Asian faculty - they represent close to 60% of all the minority faculty. We had 27 black faculty, which was about 30% of the minority faculty and the remaining eight Hispanic totaled only 9%; Native Americans less than 2%. We began to go over the administrative practices, the administrative concerns, and in many ways we were convinced that the administrative regulations and rules

establishing that affirmative action is an important objective for our University are in place. We're basically satisfied with the machinery and with the conviction and commitment of our administrators. The question then falls squarely upon us who are the faculty who in many ways must bear ultimately the burden and the responsibility for addressing this issue, since we are the ones who make the final decisions out of pools of people who are submitted to be hired and pools of people who are to be promoted. It ultimately is going to be a faculty issue, whether or not we wish to be concerned about the racial, gender, ethnic composition of our faculty. Technically our committee does not concern itself with the issues of women on the faculty other than if they are minority. We felt, however, since most of our committee - I guess all of our committee was in general agreement that the same issue pertained to women faculty members, we included them in the resolution. Technically our concern is with the minority faculty. I think all of us are committed to the idea of a diverse faculty but we used to think of that usually in terms of diversity of ideas. The question might now come up as to why it is important, as we believe it is, to have a diversity that also includes characteristics that relate to the gender and to the race and ethnic backgrounds of the faculty. We believe that in a school that stresses autonomy as much as Cornell does, diversity - race and gender diversity - can contribute significantly to the quality of education. This diversity by race and sex can be reflected in the fact that we have a great deal of discretion over what types of courses are created - what it is we wish to teach - far less choices are available to faculty at many other universities. We're also affected by the emphases that are given to certain courses, and the race and gender of the faculty may affect not only what courses are offered but what emphases are given in established courses. We also believe that perhaps even more important for a University of the quality of Cornell is the fact that faculty are expected to engage in research - what topics are likely to be given priorities and attention in research may be related - in fact we believe are related - to gender, and the racial background of the faculty. I would suggest, although this is my personal view, that for example we would know a lot more about sickle cell anemia if we had had more black faculty at our universities - not just Cornell but universities nationwide. Any disease that affects one tenth of the population, if it were applied to the majority population, would receive the highest of urgency. Now this concern about sickle cell anemia has surfaced only recently. Maybe our faculties nationwide would have been more convinced of the importance of sickle cell anemia research had we had more black faculty. I think we can say the same thing about breast cancer, for example with women on the faculty. It would have received perhaps a higher

priority and attention, and perhaps less drastic means would have been developed as appropriate remedies had we had a faculty made up of more women scholars. I think we perhaps in psychology would have a better understanding of what we mean by rage than we now do, had we had more black, more minority faculty in our universities. Perhaps even in my field of labor economics we would have had a better theory of discrimination than the baroque one we have now had we had more black faculty making those theories. It affects, in other words, the quality of courses; it affects the content of courses; it affects the content of research - what we do and what we don't do; and it can have implications beyond simply our own faculty itself, but also for the society of which we are a part. It is true that white males - non-minorities - could and do perform research and do teach courses in these areas, but the fact is they're less likely to. They're perhaps less likely to approach these topics with the same intensity and dedication than people from these groups. There is another consideration. In our work it has become extremely clear that many black faculty, Hispanic faculty, minority faculty perhaps in general, have extra burdens placed on them that those of us who are not from minority groups don't have to carry. And that is the responsibility to serve on a broad number of committees, with only a small number of people available, which means many people are forced to serve on committees and they feel expected to serve on committees. I served on minority education committees here at Cornell and also at other universities, and I've been overwhelmed by the fact that on all those committees, sometimes I'm the only non-minority member on the committee and also quite often one of the few people who are tenured. That tends to be the case because there is such a shortage of minority faculty. Therefore the ones that are there usually carry higher responsibilities of committee participation and are also given other assignments at quite early stages of their academic development - at the assistant professor level - more than is placed on many of the rest of us. We don't get those responsibilities quite often till we're associate or full professors with tenure. It's also clear from a lot of interviews we conducted last year with minority students and from the minority faculty we have talked with or who have been on our committee in the last couple of years, that minority faculty carry also a much heavier burden of counseling and advising of students than is placed on non-minority faculty. They're asked quite often to handle a much broader array of concerns than simply which course should I take or what's the prerequisite for entering some program. There are social adjustment questions, community adjustment questions, participation in extra activities that are placed on them. We also feel that in some ways the number of minority faculty we have may affect

the student number - both the recruitment and retention of minority students which we believe is a vital part of our commitment at Cornell. To some degree the paucity of minority faculty may also impinge upon our effort to recruit and retain further minority faculty. We have been told on occasion, and this is what prompted part of this resolution, that some committees, departments and deans when approaching the question of promotions, believe affirmative action principles should no longer apply and to the degree that we have affirmative action, it should only apply to recruitment and once people are recruited, then people should play all by the same standards. We believe that affirmative action for the reasons I've outlined before, has a place in the promotion process as well as in the recruitment process. Again, in conclusion, we feel that the administrative machinery is pretty much in place. We've spoken twice at our committee meetings this year and had presentations by the Associate Provost, and found her commitment a firm one to look over the recruitment that is done by every department, to look for affirmative action, watch what the affirmative action pools are. We don't feel we could ask much more from the administrative machinery. We find no lack of dedication by the administration to the question of affirmative action. The basic gap that's left in my view and I believe I speak for the committee, is the need for the faculty itself to internalize the objective that affirmative action is a desirable principle both in recruitment and promotion. That's the purpose of this amendment, to try and add this final plank in the fulfillment of our responsibilities to have a diverse faculty ethnically, racially and in respect to gender - to put this resolution as a recommendation to the administration, that this be added to the Academic Appointment Manual. I therefore move the following resolution:"

Be it resolved that the Faculty Council of Representatives recommends to the Administration of the University that the following underlined sentence be added to the existing paragraph (i.e., paragraph 3, 2.3 of the section entitled "University Criteria") of the academic appointment manual:

"The department, the chairperson, and the dean have the responsibility of weighing the different roles of each faculty member and evaluating the strengths and weaknesses of the candidate for tenure, taking into account the mission of the department and the college and the needs of the unit. In accordance with the University's commitment to racial, ethnic, and gender diversity in the education experience, it is appropriate and desirable that

affirmative action considerations also be taken into account in the evaluation of faculty for tenure and promotion. But regardless of how the department weighs the relevant factors in any particular case, the decision must be based on overall excellence."

("University Criteria," paragraph 3, 2.3 Updated 9/78, 6/79, 3/80).

The Chair opened the floor for discussion.

Associate Professor James M. Burlitch, Chemistry, wished to speak against the motion. "I believe that if it is enacted, we will compromise standards that the University has long stood for and which our students come to expect of us. I think that once a faculty member is admitted or is on the staff, then only excellence in teaching and research should be the proper measures for deciding promotion. And I don't think it should make a darn bit of difference whether that person's background is Spanish, Black, or whatever, as to how that excellence in teaching and research should be judged. I think we would be selling out our students who pay a large amount of money to come to Cornell for its excellent reputation if we lower our standards in this way."

Professor Briggs responded: "There is no compromise on excellence, as the statement clearly says excellence shall remain the overall consideration. All we're saying is this factor could be included amongst the factors to be considered. Certain faculty members have duties that others don't have and perhaps contribute to the education of our students, conduct of research, quality of the research that's being done and that factor should also be included among the criteria if the committees wish to include it. It doesn't say that affirmative action shall be the concern or the only concern, and there's no reason in my view and there's no contradiction whatsoever between the pursuit of excellence in teaching and in research and the pursuit of affirmative action. It's just simply saying that there are responsibilities that may transcend a particular academic responsibility and we may consider that among the factors. If there's a deficiency in teaching, a deficiency in research that's serious, as far as a committee's concerned, we wouldn't expect affirmative action to counter that. All we're saying is that it should be included as a positive objective and that it does make some difference as we see it, what is the gender, the ethnic background, the racial background of the faculty, can affect the quality of education, the quality of research."

Professor Fine said: "The extra values of minority and female faculty which you have described, should appear in their achievements at the time they

are reviewed for promotion. Criteria of research and teaching, choice of topic, of service to the University, to your department, to your college, what have you, when you talk about the extra efforts that people make in advising or in counseling: these all are typically taken into account, though with different weights in different departments. What is it that the affirmative action consideration would add to this evaluation? Because, to me, affirmative action means primarily providing an equality of opportunity, that is a real effort made after recruitment so that people have the opportunity of being seen and being considered for a position - not just getting lost in the crowd. Now that they're here, that opportunity is already there. They've been studied, they've been here for a certain period of time, they've got a record. Why should not that record be the only basis for a decision? In fact in your own arguments, I don't hear you going much beyond the usual service, research and teaching. I'd like to be told what is the additional affirmative action consideration."

Professor Briggs responded: "The concern here is one that somewhat transcends the issue of particular departmental concerns that determine the overall faculty that we recruit, promote and retain. That is the racial, ethnic, and gender composition of the faculty, and that these factors may be considered among the factors to be included. I firmly believe it is not true that all people once they come in are treated equally. Minority faculty, we're convinced of it, have added responsibilities placed on them for which they must comply. That is, the social pressure, the expectations that they must comply, that others don't have. And all we're saying is that these considerations should also be recognized where they occur, and I think possibly one could say that our recognition of other things besides research and teaching that are already in the criteria may already encompass this. Maybe that's what you're suggesting. All we're saying is let's make it explicit."

Associate Professor Steven B. Caldwell, Sociology, said Professor Briggs was blurring the point that Professor Fine was making, and which he'd like to support. "There's a difference between voting on someone's record, which may include committee service, and may include the courses a person is teaching, and voting on a person purely because of race or sex or whatever, And I'm in favor of taking account of the record apart from the race or sex, and not taking account of the race and sex in addition. So, I would strongly be against this motion. I'd also like to point out that it seems to imply that there might have been some race, sex negative bias in the past, and you haven't shown any

evidence of that. I would certainly be more persuaded of the need for this were there some evidence that promotion to tenure was not completely unbiased in respect to race and sex."

Professor Briggs said: "When we're dealing with social policy, I don't think we necessarily always have to limit ourselves to reacting to unmistakable abuse. We are suggesting instead, let's be positive, let's try to avoid situations before they occur. The number of minority faculty, especially black and Hispanic faculty, is so chronically low that it seems to me that it should almost be an objective in and of itself to increase the numbers. All we're saying is that this is a condition that could become a problem. We looked into the four cases of the people who did leave. All of them seemed to be justified on reasons other than denial of promotion. It did not seem to be a factor this year in these cases. What has happened in the past, what will happen in the future, of course no one knows. Our statement simply is that we believe that it's good to be on record affirmatively in saying that we are in favor of race, gender and ethnic diversity and that these are positive goals that are greater than simply microexamination of the record of a particular individual. That it is important to increase this number for the sake of increasing it, for reasons I hope I was able to lay out before. This may be a factor, that's all."

Assistant Professor Simon Williams, Theatre Arts, wished to speak against the motion also. "I find myself very much in favor of the spirit, but like it or not, what is actually being said here is that in fact there are other criteria - other than excellence - that we take into consideration. And it seems to me to be tremendously important that there's only one criterion which is considered and that is excellence in teaching and research. Therefore, it seems to me that what you're trying to get at is that in some way prejudice is maybe being shown against certain members of minorities. Now if this is the case, I agree one hundred percent that something should be done about this, but I can't see how this - just a statement put into a manual - is really going to solve that problem. It seems to me that it's inadequate. But if you've really got that problem and minorities are not having a fair deal here then we have to go much further than this. So I'm going to vote against it, but at the same time, I'm very much in favor of the spirit, but I just don't think it goes far enough."

Professor Briggs said there is good reason to go further if you really are concerned about the racial, gender and ethnic composition of the faculty. "We

should go further. In many ways, we feel this is the least the faculty could do - to pass this resolution. In fact, I must say the only embarrassment I have in standing up here as chairman of the committee, is that this is all we have to offer, and I'm sorry about that. But I think this is the minimum and I would hope that people would take this in the spirit in which the committee is offering it. No law in itself is ever going to prevent things from happening, but it does set the tenor and I think that's what we're trying to say here - that affirmative action is a desirable thing for this University to consider among the factors, and I dare say this is the least we could do. In many ways I think the question is well put, why didn't we say more? And I think there is more that should be said. But if we can't get this through, why say more?"

Professor Phil Schoggen, Human Development and Family Studies, said he thought it was time someone spoke in favor of the motion. "Nobody has to be told that this is a very delicate, sensitive issue on which people have very strong feelings. On the other hand, none of us wishes to be aligned with the point of view which says we're going to sacrifice excellence for some other kinds of values, yet none of us wishes to be identified as not being sympathetic to the interests of persons of ethnic backgrounds other than our own. In my own view, this statement as formulated is about as viable and sensible a statement as I can imagine. It does nothing other than extend to the level of advancement in rank the same principles to which we've all been committed in original searches. Now I don't know what all the fuss is about. It seems it's a perfectly natural and reasonable thing to do to say that all down the line we're going to be seriously interested in taking into account the special factors that are going to change this University from virtually all white to one that has a better balance. And to see better evidence that we are in trouble on that, I ask you simply to visit the Rathskeller on any day of the week, or simply stand up and look around this room or any other gathering of the faculty and see how many persons other than those of us who are white, are present."

Dean Greisen also wished to speak on the same side. "It is easy to make some simplistic statement about having a single criterion which is excellence. I don't think that statement can be supported by a logical demonstration of how one would apply that. It's true that we regard excellence very highly and this motion doesn't presume to suggest that that be set aside, but excellence is very complicated. There are many aspects of it, many facets of it, many facets of the talents that a particular person may have, and I submit that we have not promoted entirely on the basis of a single concept of excellence. We have gone seeking and hiring people and retaining them somewhat on the basis of need.

That is, suppose, for instance, that there's some area of scholarship that's been established and it's recognized as being understaffed. So that to pursue that program, it's clear that one needs to enlarge and strengthen the faculty in that area. Well, being talented in that particular area is taken as a special virtue among the applicants that are sought to fill the positions. We don't seek applications from people in all areas of scholarship, and then hire the one with the highest excellence. We do give special consideration to needs of the University - both to teaching and research - and we do give special weight to membership in a category or having skills in an area which is understaffed and where we need to enlarge the faculty. But we're speaking of classes which are outstanding in that respect. They're grossly under-represented and for the quality of education, need to be enlarged and all that's being recommended is that one say, therefore, having those particular properties should at least deserve some consideration in the retention of the faculty person, without setting aside in any sense the requirement that also they measure up with regard to excellence of teaching and research."

Associate Professor Robert G. Bland, Operations Research and Industrial Engineering, spoke next. "There is presently in the Appointment Manual, at least one and I think several passages that read something like the following: Such factors as race, color, creed, religion, national or ethnic origin, sex, age or handicap, must not be a basis for such decisions. I presume that the framers of this motion wish to delete such passages."

Professor Briggs replied: "I think the way that reads - I don't have it right in front of me - is that they can't be dismissed for those reasons."

Professor Bland replied, no. "It says that they must not be basis for such decisions and also at one point, it says that they must not even be considered in accordance with University policy of no consideration for discussion on the grounds of sex, race, ethnic background, religion or age."

Professor Briggs responded: "Well, I was under the impression that that section - I don't have a copy of it with me - but that the section we were talking about dealt with the fact that those things could not be taken into consideration in the denial of tenure or denial of hiring."

Professor Bland said these are charters to committees and charters to departments.

Dean Greisen asked what section of the manual this appeared in.

Professor Bland replied: "The first passage I read is from the same page on which the amendment would be inserted - the bottom of page 2.3. The second passage is on page 2.11, the third paragraph."

Dean Greisen said he could respond a little. "The same basis of opposition in a single quotation was raised a couple of years ago when the same committee with different membership - presented another resolution again urging that affirmative action be a real consideration on the part of the faculty and that there be some consideration of it in the search for candidates for positions. The current resolution concerns the retention and promotion aspect of it. And you may remember that the faculty debated and there was considerable dissension over that and brought up that sort of particular quotation. Of course those quotations got into manuals of hiring to counteract negative bias which had existed earlier and to make them illegal. But what the committee urged then and what it's urging now, is that the University has a need. There are certain values that pertain to the quality of the education we can give to students here, that are related to having a diverse faculty instead of all one color and one sex or almost all. I think that with changing times, one has to change the way of regarding those old statements. I think it's very appropriate. In any case, ultimately this body, after several meetings of discussion on that, adopted that form of resolution and I don't think that it would be really inconsistent to have the statement you read remain in the Academic Appointment Manual while this modification of the particular paragraph in question exists also."

Professor Bland said he was speaking neither for nor against the motion. "I find it difficult to read these words and not find them in direct contradiction of what the Committee on Minority Education requests."

Professor Ronald G. Ehrenberg, ILR, said he had a question on the intent of the resolution, as follows: "Professor Briggs defined at least two separate objectives. One objective was essentially to recognize that minorities and women might have extra responsibilities and that that be taken into account in the tenure reviews. The second objective was independent of any actions which they might have to perform - that they be given extra credit, as it were, in the tenure review process. And so the question is, would the intent of this motion be that if you had a woman or a minority person who refused to behave like a woman or a minority person, and in fact behaved like a white male in terms of their actions at the University, should this person be given consideration in terms of the affirmative action criteria?"

Professor Briggs replied: "They say you should never answer a 'what if' question. I can't answer that question directly. I suppose the review committee would take that into consideration if that were a factor amongst the many factors that it has to consider in terms of a promotion."

Professor Ehrenberg continued: "The thing that is disturbing to me about the motion is that I really do agree with Professor Fine's comments that to the extent the faculty and University value excellence in research, teaching and service, these other dimensions we are talking about are viewed as service to the University and will be taken into consideration. But I fear the way the motion is framed is that we are explicitly saying that independently of differences in performance you should give extra credit to people strictly because of their race, or gender or ethnic background. This I cannot support."

Professor Briggs replied: "Our concern is simply to try to bring the issue to the faculty that there is in our view a need, a positive goal that resides in having a diverse faculty and that we should commit ourselves at least to including that consideration where it seems appropriate among the other factors. I know that Professor Fine is not satisfied with the answer. The possibly conflicting passage in the Appointment Manual was read to our committee early in our deliberations and unfortunately that was in February or when we first passed this resolution and our present memory of it is dim. Our interpretation at the time was that it did not conflict with this motion that we had because those were factors that could not be considered in turning people down - that was the way we interpreted it. That people could not be turned down on those grounds, but there may be other members of the committee who are here that may have other recollections of that particular thing. That was the paragraph we were originally going to amend, but then we decided that it was more appropriate to express our intent as a separate paragraph and a separate statement. Again these are simply recommendations to the administration that these be included in the manual. Whether the administration wishes to do it or not, whether the faculty wishes to recommend it, of course is at their own discretion. But we did take it up. I'm sorry that I can't answer it any better than this. We thought this resolution was necessary and it did not conflict with the spirit of the existing Manual."

Professor Fine again spoke: "Even after listening to the discussion, listening to the Dean, listening to Professor Briggs, again I cannot discern what is really being intended here if not in fact a violation of affirmative action spirit by putting this in. That is to say, we have a rhetoric for appointment and promotion, and that rhetoric involves that tripod of research, teaching and service. Everytime I've heard somebody defend or speak for it, they've tried to explain how making such and such an appointment would in fact be in the right spirit - on the basis of one of these three legs of appointment merit. It would be good for the University because of service in some fashion

or teaching or doing research in the right direction. When I remove that, what is it that's left over? If you are going to say to me, that a positive argument for promotion is the identification of a minority ethnic background, or racial background or gender, and that by itself will be a positive argument, I must absolutely vote against this thing. And yet I fail to hear how when you try to defend this issue, you do not fall back on arguments which we're all in agreement with, that if this person is producing service and doing something that needs doing, then of course we would like to recognize that. Affirmative action does not seem to me to encompass promotion because of race or sex."

Professor Briggs responded that he agreed with Professor Fine. "This does not say that this should be the only factor by any means."

Professor Fine: "I mean only to be perfectly clear that that is not acceptable to me as a positive argument in and of itself - that a faculty member is a member of a minority and that is to stand as one of the components of an argument for promotion. That is not acceptable to me. To say that this person is doing something in the community that is worth doing, that is. But to identify them and say here by itself is an argument for promotion, whether it's subsidiary or not, that is not acceptable."

Professor Briggs again responded: "Many minority faculty would qualify under the existing standards without such consideration: just excellence in teaching, excellence in research, the normal criteria. Others would fail for lack of meeting those criteria. The possibility is there may be some on the margins, where this factor might be an extra element that might assist, given the low numbers which we are working with. At these low numbers we are working from, one or two people make a big difference, and it's under those circumstances that this might be a legitimate factor to take into consideration in terms of the other things I've tried to lay out for you. In terms of what types of courses, the type of research, the recruitment of minority students, the other purposes which Cornell has amongst its many."

Professor Tabacchi spoke as a member of some kind of a minority. "I can't decide whether I'm insulted by this or not. And I'd like to hear some other women or minorities speak to this, because I would not like to think that I made tenure by the mere fact that I was female. I would not like to be told that being female had any relation, plus or minus, on my gaining tenure. Thus it bothers me somewhat, even though the spirit of this motion is good, and I think it insults me. I'd have to think about it some more to conclude whether what is being said is offensive."

Associate Professor Frank C. Keil, Psychology, said it seemed to him that Professor Fine's argument had merit - that the minority faculty should be given credit only for contributing in those three areas - research, teaching and service. "But there's been clearly an appalling lack of faculty there reflecting the natural population quotients, and I think we have to call attention to that problem. I don't think we're asking for them to be compared on any different grounds in terms of this tripod of dimensions. It seems to me there's an amazing lack of faculty in those areas and in the minority population, and we have to do something about it. I don't see how this can help but be to our benefit."

Professor Benjamin Nichols, Electrical Engineering, spoke: "The question was asked why we need such a motion at all - what does it accomplish, and Professor Fine made it very clear to me why it is needed, because we happen to be in the same department and might be considering such a case together, and I'd like to have this behind me when this question comes up - if and when we ever have a black member in Electrical Engineering, and subject to the tenure and promotion procedures we conduct. We happen to have an increased number of black students. I think it would be a great asset to our department to have them on the faculty as well - I'm not blaming our department for not having any - I want to make that very clear - but if the issue of promotion came up at such a time, I would think that it would not be out of order to take this factor into consideration. We take a lot of factors into our discussion and we know a lot of factors that get taken into account in our decisions. I would certainly not like it to be said that the fact that a particular person was black and playing an important role in the counseling and the improved work of our black students, that that should not be taken into account as one factor. Clearly not the overriding factor, but a factor. And I think that's all this resolution says and I'd like to have it in place."

Assistant Professor David H. Holmberg, Anthropology, wished to make a few comments about the process of giving tenure besides service, teaching and scholarship. "These are not transparent values and are often very hard to decide. Other things come into play in a very subtle way. They're often referred to as collegiality, and I would just submit that collegiality tends to select from white males like myself."

Associate Professor Robert L. Harris, Jr., Africana Studies and Research Center, said he has been sitting and observing the discussion, thinking of where he stands in this issue. "I'm sympathetic to the resolution and support its adoption. I think like Professor Tabacchi, that I would not like to think that

my tenure at this University is based solely on the question of race, but at the same time, I'm not going to delude myself - I'm black, that's the way I'm perceived - I know that regardless of my credentials, background, accomplishments, achievements, I'm going to be seen as a black person. This society has not reached a race-neutral position. I'd like to see that day arrive. We can't fool ourselves till that day. Race is something that has to be taken into consideration. My position here at Cornell University, my educational background, the way in which I'm dressed, the amount of money that I have in my pocket, do not make me immune to discrimination in society. Two months ago I got into a cab right outside the Cornell Club, and was insulted by the cab driver when I told him where I wanted to go. My credentials did not protect me from discrimination within the society. So that I see no harm in saying that is one of the criteria, period."

Professor Burlitch said: "After listening to the discussion, I would just like to say that I too support the spirit of this motion, but I think it's misdirected. It seems to me that we do need to do something about this problem, and I would be far happier with a motion that would call upon the University administration to find funds to create more positions and hire more people on our faculty to give them an opportunity to do this. But the means recommended by the motion are just in the wrong direction - the wrong method of implementation in my view."

The Chair reminded the body that there is another matter to come up before the mandatory 6 p.m. adjournment.

Assistant Professor Hollis N. Erb, Veterinary Preventive Medicine, said when she comes up for tenure, she wants very much to be judged on the quality of her record, but she also wants to state aboveboard: "Hey, folks, will you recognize please that the extended service that I have been requested, ordered and encouraged to do, has been because I am at the Veterinary College, a minority; and therefore I am in favor of this motion."

Associate Professor Russell K. Osgood, Law, spoke next: "I think the answer that I would make to Professor Ehrenberg's question is that if a black decides that he doesn't want to perform these extra services, I still want to give him some unquantified credit - call it affirmative action credit - in deciding whether to promote him or give him tenure."

Professor Madison J. Wright, Agronomy, said he doesn't perhaps retain the wording well enough, but he is still troubled by the fact that it seems that the passage that was read from the existing manual, and the wording in the resolution, are in conflict and perhaps until he could see them side by side in print, he wouldn't know how to regard them.

There being no further discussion, and the question called, a vote was taken. The Chair first called for a voice vote, and then ruled that a standing vote would be taken, and requested the Dean and the Secretary to count. The resolution was passed by a vote of 35 affirmative and 22 negative votes.

The Chair said the final item of business is a resolution from Professor Emeritus Gwen J. Bymers, Chairperson of the Committee on Freedom of Teaching and Learning.

7. RESOLUTION ON THE REVISION OF THE STUDENT-ACADEMIC STAFF GRIEVANCE PROCEDURE

Professor Bymers began: "I'm going to bring a resolution on behalf of the Committee on Freedom of Teaching and Learning. You have had a rather lengthy rationale in the distribution of the materials, plus a detailed description of the changes that we are proposing in the procedures that have been in existence since 1977 for handling grievances that arise over discrimination cases involving students and academic staff. I move the following resolution:"

RESOLVED, that, subject to endorsement by the Student Assembly, the Student-Academic Staff Grievance Procedure, adopted by the Faculty Council of Representatives on May 11, 1977, be amended as follows:

(additions underlined, deletions in brackets)

STUDENT-ACADEMIC STAFF GRIEVANCE PROCEDURE

Purpose:

This [grievance] procedure provides a means whereby any student of the University at Ithaca [who believes himself or herself, and] who has reasonable evidence to [support such belief] believe himself or herself to be the victim of legally prohibited discrimination¹ by an academic staff member or assistant in the execution of his or her designated academic responsibilities, can seek redress of [his or her] such grievance. This procedure encourages informal resolutions, but provides also for more formal steps to protect students from illegal discrimination or sexual harassment by academic staff and assistants, while guarding against the possibility of injustice resulting from false and malicious charges.

Definitions for this Purpose:

Student: For application of this procedure, Student will refer to [any person] anyone registered in the University at Ithaca [and receiving academic credit], whether part time or full time, extramural or regular, graduate or undergraduate.

Academic Staff [Member - any person employed by the University to instruct students. Included, but not limited to, persons holding appointments as Professor, Associate Professor, Assistant Professor, Visiting Professor (all ranks), Adjunct Professor (all ranks), Instructor, Senior Lecturer, Lecturer, Senior Research Associate, Research Associate, Senior Extension Associate, Extension Associate, Postdoctoral Associate, Teaching Assistant, Research Assistant, Extension Assistant, Graduate Research Assistant, or similar positions as may be established.]

: In the application of this procedure, academic staff will be considered to include all those who exercise any authority or power over the student's academic work: i.e., not only professors of all ranks, and lecturers, instructors, research personnel, librarians and other academic staff, but also graduate and undergraduate students who may be acting as teaching or research assistants.

Administration of Procedure:

This procedure will be administered by the [Dean of the University Faculty] University Ombudsman.

General Provisions:

1) Any party to a grievance shall have the right to be accompanied at any conference or hearing by an advisor [or counsel,] who is a member of the Cornell community. [Any necessary expense of the hearing shall be borne by the University with the exception that if the aggrieved wishes to retain a representative or counsel, he or she shall bear the expense of such representation. If the aggrieved is represented by another member of the University, the representative will be allowed reasonable time to perform his/her functions without loss of pay.]

2) All conferences and hearings shall be private and not open to the public. All records shall be treated as confidential and returned after the last step of any formal case to the Office of Equal Opportunity.

3) The aggrieved may appeal recommendations or decisions at each step.

4) No student shall be discriminated against or otherwise adversely treated because [he or she filed] of filing a grievance. [In the event] If an individual claims discriminatory treatment for [grieving,] initiating or participating in any [a] grievance [for any purpose], the claim will be heard immediately at Step Two of this procedure.

5) The deadlines described in the procedure are recommendatory and presume normal operating conditions. However, the parties in the grievance procedure should be permitted reasonable flexibility given the unusual nature of the academic schedule, calendar, and vacation periods of the University.

6) Information on the existing legislation and policies of the University relevant to the grievance may be obtained by the parties from the Dean of the Faculty.

First Step:

[Within fifteen (15) days of the occurrence giving rise to his/her grievance, the aggrieved student shall submit a written complaint to the academic staff member involved, which complaint shall clearly set forth the facts and] Within a time appropriate to the incident or situation, the aggrieved shall make a complaint to the Ombudsman's Office, which shall provide counseling if necessary. It shall keep a record of the circumstances, including time, date and place of the occurrence, nature of the grievance, and the relief requested. [The student shall also deliver a copy of the complaint to the academic staff member's department or division chairperson² and to the Dean of the Faculty.] Within a reasonable time (e.g., 10 days) of the receipt of the complaint, the [academic staff member shall contact the student and arrange a conference with him/her in an effort to resolve] Ombudsman's Office shall try to arrange a resolution of the complaint. [At the time of the conference an independent witness may be present. The independent witness shall be a student or faculty member appointed by the division or department chairperson (or by the Dean of the College if the division or department chairperson is the object of the grievant's complaint).]

Second Step:

If the grievance is not resolved at the first step, the matter shall be promptly referred [to the department or division chairperson] by the Ombudsman's Office, with a written complaint made by the aggrieved, to the department chairperson or division director², who shall investigate the matter and ascertain the facts. The Office of Equal Opportunity shall also be notified in writing at this stage.³ The chairperson shall [contact the student and] arrange a conference with [him/her] the aggrieved within two weeks in an effort to resolve the complaint. The accused [academic staff member] may or may not elect to be present, but the chairperson must provide the [academic staff member] accused with an opportunity for a personal hearing.

Third Step:

If the matter is not resolved at the second step, it shall be referred to the Dean of the College. Within two weeks, the Dean [may] shall either review the matter and make a decision as to the disposition of the grievance, or [he/she may choose to] impanel an advisory board of three persons whose responsibility shall be to find fact in the case and make a recommendation for a solution of the problem. If an advisory board is to be established, members shall be selected as follows: one [member to be designated by the student, one to be selected by the academic staff member, and the third to be selected by the first two appointed] student to be chosen from a list of three students submitted by the Dean of Students, one academic staff member to be chosen from a list of three academic staff members submitted by the Dean of the Faculty, and a third member (either academic staff or student) chosen from a list of three further names submitted by the Dean of the College. Both parties will indicate their preferences within each list in numerical order, and the candidate from each list with the least total points will be designated as a panel member. If all three candidates from a list are tied (which can happen only if they are ranked in reverse order by the two parties), the one ranked second by both parties will be designated as a panel member. Other ties will be settled by coin toss.

[If an agreement cannot be reached on the third, then the Dean will submit five names to the student and to the academic staff member, and they shall indicate their preferences for a neutral in numerical order, and the one receiving the lowest total points will be designated as the third member and chairperson of the panel. Ties will be settled by coin toss.]

As promptly as possible (e.g., 10 days) after its selection, the panel shall hold a conference of the parties and attempt to use its good offices to bring about a settlement between them. Failing this, it shall make a statement of its findings of fact together with recommendations and transmit them to the Dean of the College, with copies thereof to the parties and to the Dean of the Faculty. The Dean of the College shall review the recommendations of the panel and issue a decision to the parties with a copy to the Dean of the Faculty. The College Dean shall alert the pertinent department chairperson to any results that are relevant to the chairperson's duties.

¹Categories as of November, 1976 include, but are not limited to: age, race, color, creed, religion, national or ethnic origin, and sex. The prohibition

includes sexual harassment, as defined by EEOC guidelines in the following way:

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature...when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (3) such conduct has the purpose of substantially interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

"While the EEOC guidelines are stated only in the context of employment, sexual harassment of students by academic staff and/or assistants has been held to present an analogous and equally intolerable situation. A federal court has declared such harassment to violate Title IX of the Education Amendments of 1972."

Letter from Michael J. Montgomery to W. Keith Kennedy,
December 22, 1981.

²In the event the academic staff member is the division or department chairperson, a copy of the complaint will be delivered to the Dean of the College, and the Dean of the College then becomes the point of referral in Step Two, with the Dean of the Faculty then being the point of referral in Step Three. Also, if the academic staff member's responsibilities are under the direction of a higher ranking academician (e.g., teaching assistant supervised by a faculty member), the grievance should be reviewed first at that level, before proceeding to the department or division chairperson.

³"In the event the grievance alleges a violation related to Cornell's policy forbidding sexual harassment, the Office of Equal Opportunity will be notified to assist in the investigation and, where appropriate, any subsequent action."

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Professor Bymers continued: "The Committee on Freedom of Teaching and Learning was given this responsibility - to review the procedures. We agreed with certain issues raised by the Women's Studies Committee more than a year ago, and felt that it did need to be reconsidered in light of changes in the rulings on what constitutes legal discrimination. We also feel this time that the proposal that's before us needs to be approved by the Student Assembly as well as the Faculty Council of Representatives, so we're asking you to vote approval on this with the provision that it must also be approved by the Student Assembly. If there are any changes presented in the procedures, it will necessarily have to go back through the mill once more. We're hoping that there are not changes. The Committee, in the reviewing process, had three rather simple premises that we operated on: One, that a clear procedure needed to be in place; two, that it needed to be one that would not allow for delays of any length; and three, that the equity of both parties involved must be protected. What you have before you is our attempt to deal with the questions coming up under illegal discrimination issues that occur between a person defined as a student and a person defined as academic staff."

The Speaker opened the floor for discussion.

Dean Greisen wished to mention the objections to the unmodified procedure that were called to attention by the Women's Studies group. "The procedure when it was first developed was conceived in terms of other types of discriminatory behavior and without cases of sexual harassment in mind particularly. It was pointed out that in modern times this is an important kind of case to be able to cover and that the first step in the previous procedures called for a face to face meeting between the presumably violated party and the violator, that is the accuser and the accused to be arranged as the very first step. In an instance of that sort, this was regarded as a particularly inappropriate first step in the process. So it was important to change that. Another thing that was regarded as unsatisfactory in the old procedure was that if it gets to the stage of appointing a committee to resolve a matter that hasn't been resolved in the earlier stages, the process of appointing that committee would have assured a polarized one in the first place. Under that procedure the grievant would choose one person and the accused person choose another and then those two choose a third with the decision coming down to the third person. The committee had some suggestions made to it of ways of achieving a more neutral and impartial sort of arbitration committee in case one gets to that point, and devised a process where in the very first stage there would be an effort at informal resolution - not necessarily involving confrontation between

the accuser and the accused, and putting it in the hands of the Ombudsman because that office is so thoroughly accepted on this campus as being a neutral, impartial place with counseling as one of their major activities, and the quiet, behind-the-scenes sort of resolving of conflict situations as their strong point. "

Prof. Bland said he had two questions: "First of all, was it your intention that the responsibility for disseminating information relative to the grievance remain with the Dean of the Faculty or that it be also placed in the hands of the Ombudsman?"

Prof. Byrners replied: "That function should remain with the Dean of the Faculty."

Prof. Bland continued: "As I read it, there's no explicit requirement that the staff party to the grievance - the subject of the grievance - be notified at the first step. Presumably when the Ombudsman tries to arrange a resolution, he would contact that person."

Prof. Byrners replied: "I think it would be quite impossible otherwise to arrange a resolution that was satisfactory to both parties."

Prof. Bland responded: "It's conceivable, I think, although it wouldn't be wise, I imagine that the Ombudsman could go to the department chairperson and it seems there should be an explicit requirement that the person accused be notified."

Prof. Byrners said: "I can't imagine the Ombudsman doing what Prof. Bland is suggesting and any agreement must be agreeable to both parties..."

Prof. Bland said it doesn't say agreeable to both parties - it says a resolution of the complaint.

Prof. Byrners said that that is what a resolution means to her.

Dean Greisen added: "Step one does not even require that the grievance be expressed in a written complaint. Step one might often arise, as other sexual harassment cases now do, with a very upset person coming to the Ombudsman's office for counseling and advice. It could be in that form. And the initial operation of that office would vary depending on the circumstances, but again it could be just a matter of verbal interactions between that office and the principal parties. If the affair gets to step two, it is required that there be a written expression of the complaint and that it be delivered to the various parties."

There being no further comments, a vote was taken. The Grievance Procedure was adopted. (Appendix A, attached.)

The Chair asked if there were any comments from the President or the Provost. There were none. Before adjourning, the Speaker said he promised he would call Sandy Stein in the Dean of Students' Office the day following the meeting, to tell her how big a list he received of faculty members who would be willing to become a part in the Orientation program. He hoped to get a good sign-up.

The meeting was adjourned at 5:55 p.m.

Respectfully submitted,

Joseph B. Bugliari

STUDENT-ACADEMIC STAFF GRIEVANCE PROCEDURE

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Definitions for this Purpose:

Student: For application of this procedure, Student will refer to anyone registered in the University at Ithaca, whether part time or full time, extramural or regular, graduate or undergraduate.

Academic Staff: In the application of this procedure, academic staff will be considered to include all those who exercise any authority or power over the student's academic work: i.e., not only professors of all ranks, and lecturers, instructors, research personnel, librarians and other academic staff, but also graduate and undergraduate students who may be acting as teaching or research assistants.

Administration of Procedure:

This procedure will be administered by the University Ombudsman.

General Provisions:

- 1) Any party to a grievance shall have the right to be accompanied at any conference or hearing by an advisor who is a member of the Cornell community.
- 2) All conferences and hearings shall be private and not open to the public. All records shall be treated as confidential and returned after the last step of any formal case to the Office of Equal Opportunity.
- 3) The aggrieved may appeal recommendations or decisions at each step.
- 4) No student shall be discriminated against or otherwise adversely treated because of filing a grievance. If an individual claims discriminatory treatment for initiating or participating in any grievance, the claim will be heard immediately at Step Two of this procedure.
- 5) The deadlines described in the procedure are recommendatory and presume normal operating conditions. However, the parties in the grievance procedure should be permitted reasonable flexibility given the unusual nature of the academic schedule, calendar, and vacation periods of the University.
- 6) Information on the existing legislation and policies of the University relevant to the grievance may be obtained by the parties from the Dean of the Faculty.

(over)

First Step:

Within a time appropriate to the incident or situation, the aggrieved shall make a complaint to the Ombudsman's Office, which shall provide counseling if necessary. It shall keep a record of the circumstances, including time, date and place of the occurrence, nature of the grievance, and the relief requested. Within a reasonable time (e.g., 10 days) of the receipt of the complaint, the Ombudsman's Office shall try to arrange a resolution of the complaint.

Second Step:

If the grievance is not resolved at the first step, the matter shall be promptly referred by the Ombudsman's Office, with a written complaint made by the aggrieved, to the department chairperson or division director², who shall investigate the matter and ascertain the facts. The Office of Equal Opportunity shall also be notified in writing at this stage.³ The chairperson shall arrange a conference with the aggrieved within two weeks in an effort to resolve the complaint. The accused may or may not elect to be present, but the chairperson must provide the accused with an opportunity for a personal hearing.

Third Step:

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As promptly as possible (e.g., 10 days) after its selection, the panel shall hold a conference of the parties and attempt to use its good offices to bring about a settlement between them. Failing this, it shall make a statement of its findings of fact together with recommendations and transmit them to the Dean of the College, with copies thereof to the parties and to the Dean of the Faculty. The Dean of the College shall review the recommendations of the panel and issue a decision to the parties with a copy to the Dean of the Faculty. The College Dean shall alert the pertinent department chairperson to any results that are relevant to the chairperson's duties.

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affecting such individual, or (3) such conduct has the purpose of substantially interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

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Letter from Michael J. Montgomery to W. Keith Kennedy,
December 22, 1981.

May 18, 1983

120 Ives Hall

The Speaker, Russell D. Martin, called the meeting to order at 3:05 p.m. He then called on Provost W. Keith Kennedy for an announcement of faculty deaths since the last meeting.

1. ANNOUNCEMENT OF DEATHS

"Mr. Speaker, members of the Faculty, it is my sad duty to read the names of our colleagues who have died during the past seven months:"

Howard L. Gilman, Emeritus Professor, Veterinary Bacteriology, October 27, 1982

Howard G. Smith, Emeritus Professor, Electrical Engineering, October 28, 1982

George B. Winter, Class of 1912 Professor of Engineering, Emeritus, November 3, 1982

Edwin Ray Hoskins, Emeritus Professor, Rural Education, November 8, 1982

George J. Raleigh, Emeritus Professor, Vegetable Crops, November 16, 1982

Cedric Hay Guise, Emeritus Professor of Forestry, November 23, 1982

Lemo D. Rockwood, Professor Emeritus, Child Development and Family Relations, December 16, 1982

Paul L. McKeegan, Budget Director, Emeritus, and former Vice Provost, January 2, 1983

Walter H. Burkholder, Emeritus Professor of Plant Pathology, January 31, 1983

Lowell C. Cunningham, Emeritus Professor of Farm
Management, February 20, 1983

Karl H. Fernow, Emeritus Professor of Plant Pathology,
March 30, 1983

William M. Woodward, Emeritus Professor of Physics,
April 22, 1983

Frederick H. Stutz, Emeritus Professor of History of
Education, April 23, 1983

At the Provost's request, the Faculty stood for a moment
of silence.

The Chair next called on Kenneth Greisen, Dean of Faculty,
for an announcement concerning results of the recent election.

2. RESULTS OF ELECTION

Dean Greisen read the results of the election as follows:

FACULTY TRUSTEE

Mary Beth Norton

AT-LARGE MEMBERS, FCR - 3 seats

Frederick T. Bent

Wesley W. Gunkel

Robert H. Silsbee

REVIEW AND PROCEDURES COMMITTEE, 3 seats

Ellis R. Loew

John Keith Moffat

Gerard Salton

NOMINATIONS AND ELECTIONS COMMITTEE, 3 seats

Joe P. Bail

Ferdinand Rodriguez

Lawrence K. Williams

MEMBERSHIP OF THE UNIVERSITY FACULTY COMMITTEE, 1 seat

Joseph D. Novak

ACADEMIC FREEDOM AND RESPONSIBILITY COMMITTEE, 2 seats

Richard L. Liboff

Sydney S. Shoemaker

ACADEMIC FREEDOM AND RESPONSIBILITY COMMITTEE, 1 non-tenured seat

Stephen J. Ceci

ACADEMIC PROGRAMS AND POLICIES COMMITTEE, 2 seats

David B. Lyons

Thomas A. Sokol

ADMISSIONS AND FINANCIAL AIDS COMMITTEE, 4 seats

Benjamin Nichols, 3-year term

Helen L. Wardeberg, 3-year term

John W. DeWire, 2-year term

Vernon M. Briggs, Jr., 1-year term

ADMISSIONS AND FINANCIAL AIDS COMMITTEE, 1 non-tenured seat

Stephen H. Zinder

BUDGET COMMITTEE, 2 seats

Peter J. Kahn

Eugene C. Erickson

BUDGET COMMITTEE, 1 non-tenured seat

Dale A. Oesterle

FREEDOM OF TEACHING AND LEARNING COMMITTEE, 1 non-tenured seat

David S. Powers

MINORITY EDUCATION COMMITTEE, 2 seats

John T. Hsu, 3-year term

Elizabeth A. Oltenacu, 2-year term

PHYSICAL EDUCATION COMMITTEE, 2 seats

John E. McMurry

Ritch Savin-Williams

PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY COMMITTEE, 1 seat

E. Scott Maynes

PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY COMMITTEE,

1 non-tenured seat

Hollis N. Erb

RESEARCH POLICIES COMMITTEE, 2 seats

Peter J. Gierasch

Bertha (Betty) A. Lewis

UNIVERSITY-ROTC RELATIONSHIPS COMMITTEE, 2 seats

Daniel P. Loucks

Peter L. Minotti

COUNCIL ON PHYSICAL EDUCATION AND ATHLETICS, 1 seat

John D. Reppy

UNIVERSITY ASSEMBLY, 3 seats, 2-year terms

James M. Burlitch

Joe M. Regenstein

Stanley Z. Zahler

The Dean continued: "Many of you will shortly find yourselves participating in a further election because each of these committees is required to have a couple of members who are from the FCR and elected by the FCR.

"I also choose this opportunity to make a quite different announcement. When we were conducting the recent election of a new Dean, we sent out the description from our constitution,

the Organization and Procedures of the University Faculty. We got back a few of those copies marked up and pointing out that in line after line, the Dean was referred to as 'he', and all the duties were 'his' duties. The writing style of O.P.U.F. is quite out of date, inappropriate and offensive. I would like to announce that it is my intention to revise that writing in the sense of correcting these gender specific pronouns, so that it is in language that is no longer considered offensive. I don't consider this an amendment of the document, and so I don't propose to go through the procedures of calling Faculty meetings and taking votes on approval of the precise wording. I'm announcing it now so that if anyone in the Faculty wants to object, this is the opportunity. Otherwise we will preserve a copy of the old form of the document in case anyone wants to be able to examine the undamaged wording, but in the future when we give copies of that document to people, it will be with improved verbiage."

The Speaker again called on the Provost.

3. RECOGNITION OF RETIRING FACULTY

The Provost began: "It's a great pleasure each year to have an opportunity to participate in the recognition of faculty members who have served long and distinguished careers at Cornell. There are 49 faculty members retiring this year. I do not know the total years of service, but I think it's conservative to estimate 30 years and so that's close to 1500 person years this group has contributed to the University. We are indeed very grateful. We will proceed as we have before by calling

upon the deans or representatives of the deans in the alphabetical order of the colleges. The first is the Dean of the College of Agriculture and Life Sciences, David Call."

Dean Call began: "Unless somebody gets the wrong idea, I want to make it clear that this is not a situation where I am embarrassed. I will introduce this afternoon 18 faculty members who have announced their retirement; 17 others could not be here. That's a little less than 10% of our total faculty. And I know they average, Keith, 30 years, at least. It's impossible, even if I only had one person, to do proper justice in any reasonable amount of time to the career of that individual. And so I will ask the 17 faculty members' indulgence as I make very brief comments before this faculty. I just wish the Provost would get things straightened out in Albany so it would be possible for us to replace all 35 faculty members.

"First, Harry R. Ainslie, from the Department of Animal Science. Professor Ainslie has had a distinguished career in the extension area, working with dairy herd improvement cooperatives. He's probably done more than anybody else in that department to contribute to America's dairy surplus.

"Donald W. Barton, Professor of Seed and Vegetable Sciences, from the Geneva Experiment Station. Don Barton is retiring after 22 years of most distinguished service as the Director of the Geneva Agricultural Experiment Station.

"Professor Gordon C. Cummings, Department of Rural Sociology. Professor Cummings has been active in teaching and in research, particularly on the concerns of the rural areas of the United States and New York State, with particular emphasis on health care systems.

"Professor Herbert L. Everett, Plant Breeding and Biometry, University Ombudsman, and distinguished professor of plant breeding. Herb has been very active in the breeding of better corn varieties. The influence of his work can be seen throughout New York State.

"Professor William C. Kelly, Vegetable Crops. Outstanding teacher, outstanding adviser, researcher, and the man who had enough gumption to teach a course on organic farming methods. For that we are eternally indebted.

"Professor Carl C. Lowe, Plant Breeding and Biometry. Particularly interested in perennial forage crops. If you travel to the northern part of New York, you will see the results of his long standing research program.

"Professor William F. Mai, Liberty Hyde Bailey Professor of Plant Pathology. One of the country's, if not the world's, outstanding hematologists, former president of his professional association, outstanding trainer of graduate students. We are very proud of Professor Mai.

"Professor Russell D. Martin. Well-known to those who attend faculty meetings. Well-known to a multitude of students for his teaching in the area of parliamentary procedure and 'Effective Listening', a course which is particularly recommended to the Dean by Professor Martin. He's had an outstanding career in the Department of Communication Arts.

"Professor James C. Moyer, Food Science and Technology, Geneva Agricultural Experiment Station, a long and distinguished career in the area, particularly in the engineering aspects of

food preservation. Well-known to both this State's and the nation's food processing industry.

"Professor Roger F. Sandsted, Vegetable Crops, has done a great deal of research on the yield and quality and breeding of dried beans and other crops. Also very well-known to the farmers of this State and many other states.

"Professor Ernest F. Schaufler, Floriculture and Ornamental Horticulture, has had a long and distinguished career, particularly working with youth extension programs, is known to thousands of youths throughout New York State and to, of course, all the 4-H agents in this very important part of our program. The only man I know who designed a living plant model to be used in youth educational programs.

"Professor Edward H. Smith, from the Department of Entomology. Professor Smith has been director of Cooperative Extension, Chairman of the Department of Entomology, and a distinguished professor in the Department of Entomology. A long and distinguished career.

"Professor Noland L. VanDemark, from the Department of Animal Science. Professor VanDemark joined us from Ohio State as Director of Research in the College of Agriculture and Life Sciences - served ten years in that position, and then returned to the Department of Animal Science, where he has been conducting a very interesting program with graduate students on the enhancing of creativity in research.

"Professor Roger G. Young, Department of Entomology, insect physiologist or insect toxicologist, I'm not sure which,

because he does both, a distinguished teaching and research program.

"Professor Henry M. Munger, from the Department of Vegetable Crops and the Department of Plant Breeding. Professor Munger's work in the breeding of vegetables is probably evidenced in most of your gardens, if you have one, because he has had a major influence in this important area. Also an outstanding teacher.

"Professor John G. Seeley, Department of Floriculture and Ornamental Horticulture, a triple threat, a very strong teaching program particularly for undergraduates in Floriculture, a strong research program, and through extension he knows most of the greenhouse operators in New York State if not the whole United States.

"Morrill T. Vittum, Professor of Seed and Vegetable Sciences, Geneva Agricultural Experiment Station, Chairman of the Department of Seed and Vegetable Sciences for longer than he likes to admit - close to 15 years. Again, a distinguished citizen of our college.

"If there are others or any of the 16 who are here, and would stand, I am prepared to make comments.

"How could I miss the Chairman of the Department of Animal Science, Bob Young? Robert J. Young, Professor of Animal Nutrition, Professor of Poultry Nutrition and/or Animal Nutrition, 15 years as department chairman, chairman of a department that is larger than several colleges in this University, and he's done an outstanding job. I'm sorry, Bob."

Professor Young replied: "I gather you want me to stay on."

At this point, those retirees from Agriculture and Life Sciences were given a round of applause.

Provost Kennedy said: "Best wishes from all of us to all of you. We will now turn to Arts and Sciences. Dean Seznec is in Europe promoting the well-being of Cornell University and we have three representatives from the Dean's Office. I first call on Professor Elledge."

Professor Scott B. Elledge, Goldwin Smith Professor of English Literature, spoke on the retirement of Professor Meyer H. Abrams, Class of 1916 Professor of English. "So far the career of Professor Abrams has been splendid, and has only added lustre to the glory of Cornell. Nor is there any reason to doubt but that the promise he has shown during his first 38 years in Ithaca will in due time be amply fulfilled. A star in the literature of philosophy, he has produced two books whose scope of originality won him world-wide fame as well as the two most coveted prizes in America for works of literary scholarship. As a teacher of graduate students, he's been a mentor of young scholars now shining in the constellation stretching from New Haven to Pasadena. And as a general editor of the most widely-read anthology of English literature in the history of publishing, he has helped thousands of undergraduates everywhere - even at Yale - to discover the far reaches of their literary heritage. As an institutional innovator, he's helped found the Society for the Humanities and the Andrew D. White

Professor-at-Large Program at Cornell, as well as the National Humanities Center in North Carolina. As a Cornell faculty member, he's served on committees to foster music, the fine arts and the University Libraries, and he's been a valued counselor of eight Arts College deans, five Cornell presidents, and four Cornell football coaches. In the name of Dean Seznec and hundreds of colleagues, I say, good luck, Mike, and thanks for your genius, generosity, congeniality, and for your hearty devotion to Cornell."

Professor Abrams received a round of applause.

Provost Kennedy asked if the advice he gave the Presidents was more successful than that given to the football coaches.

Professor Abrams replied: "The reason my advice to the football coaches has not been more effective, is that the President would never install the direct red telephone line that I asked for from the box."

Provost Kennedy replied that Mike has also agreed to help with the Library Associates Program, which is being developed to generate more support for the library. He then called on Donald Holcomb.

Professor Donald F. Holcomb, Physics, began: "I'd like to speak on behalf of Dean Seznec, marking the retirement of Professor Paul L. Hartman, from the Department of Physics and the Department of Applied Physics. You will hear from Dean Everhart as well. Paul came to Cornell as a graduate student in 1934 and joined the faculty in 1946. He's been in on a lot of experimental and observational science. His intellectual

curiosity is unquenchable. He was, for many years, a sparkplug of an advanced laboratory course taught in our department which has acquired a certain amount of fame around the country and served as a model. His graduate students from Cornell went out in many directions. Paul's research program in short wavelength spectroscopy in the 1950's and 60's produced, perhaps, ten Ph.D. theses. His pioneering in the study of the characteristics of electron synchrotron radiation in the 1950's with Professor Tomboulion was the beginning of what, over the years, has become a very active area in this country. He has had the pleasure of watching the CHESS facility of the present synchrotron develop into a major facility based in considerable measure on his earlier studies. Tom Everhart will have some more to say. Paul's service to the University has appeared in many and various ways, most recently as Secretary of this body from 1976-78. Some of you may remember his minutes. Straight-forward and pungent. Above all, I think, his modesty, enthusiasm, good spirits and persistent intellectual curiosity will be remembered by many generations of faculty and students. Paul, thank you."

Professor Hartman received a round of applause.

Provost Kennedy called upon Professor David Wilson.

Associate Professor David B. Wilson, Biochemistry, Molecular and Cell Biology, began: "It's my pleasure to represent Dean Seznec in honoring the retirement of Dr. Leon A. Heppel from the Section of Biochemistry. Dr. Leon A. Heppel came to Cornell in 1967 after a very distinguished career at

the National Institute of Health. He pioneered in the study of enzymes which act on nucleic acids and made important contributions to ribonucleic acid biochemistry. Later this work was extremely useful in the studies which others carried out on determining the genetic code. He also devised the osmotic shock procedure and became the leader in the study of proteins present in the periplasmic space of E-coli and other gram negative bacteria. When Dr. Heppel came to Cornell, he did not rest on his laurels but rather tried to set a good example for the young faculty by working ten hours a day, six days a week. But I'm afraid we did not follow his example. His efforts have continued and he has become a leader in such fields as the study of binding protein transport systems, the energy coupling mechanism, and most recently the study of the effects of external ATP and other agents on the permeability of transformed and normal animal cells in tissue cultures. His honors include election to the National Academy of Sciences, two Guggenheim Fellowships, and the 3-M Life Science Award of the Federation of American Societies for Experimental Biologists. Dr. Heppel has had a major impact on biochemistry and on the institutions where he has worked because of his abilities, hard work, and quiet charm. It is my hope and belief that as Professor Emeritus, Dr. Heppel will continue to be an inspiration to the rest of the department. Thank you."

After the round of applause given to Professor Heppel, the Provost again gave best wishes to the three faculty members retiring from Arts and Sciences. He then called on Dean Thomas Everhart, College of Engineering.

Dean Everhart began: "It is indeed a pleasure to be able to speak to you today on behalf of the College of Engineering for three people who are retiring from our college this year. The first is Associate Dean Malcolm S. Burton, who joined the faculty 37 years ago as an assistant professor of chemical metallurgical engineering. When metallurgical engineering was separated from chemical engineering and joined to engineering physics, Mal went along and two years later when engineering physics and metallurgical engineering were separated into the Department of Materials Science and Engineering, which still exists, Mal became its first acting director. He in many ways supervised the construction of Bard Hall where the Materials Science and Engineering faculty are now ensconced doing some world-famous research. And I think he can take a great deal of satisfaction from knowing how well that facility has been used. In 1970, he became associate dean of the College of Engineering, and in that capacity, he has been supervising in one way or another, the undergraduate students of the College ever since. He's probably talked to more undergraduate engineering students than any other faculty member in the College - at least in recent years - sometimes under rather trying circumstances if they were trying to work out a problem with Cornell or in their personal life. Mal has been my mentor in teaching me about Cornell since I came here four years ago, and I'm sure all of us would like to wish him a very happy retirement as he and his wife, Hazel, travel west to join their three children who are in California.

"I might add, Mr. Provost, the three people whom I'm describing today have 110 years of combined experience with the College of Engineering and Cornell University."

The Provost said: "I'm going to revise my estimate to 1750."

Dean Everhart continued: "One of the advantages, or disadvantages, of being in two colleges and two different departments is you get recognized twice as much. You get to go to twice as many faculty meetings throughout your career; you have to deal with twice as many colleagues; and you have to have at least two people talk about you on an occasion such as this. Don Holcomb has told you a lot about Paul Hartman. I'm only going to add a couple of things. Paul did his bachelor's degree in electrical engineering, which I think is something Don didn't tell you, as well as his Ph.D. in physics from Cornell. He spent seven years at Bell Laboratories and one of the things that is significant about Paul is he writes sparingly and pointedly. Out of his work at Bell Laboratories, came an article with Fisk and Hagstrom on the magnetron as a generator of centimeter waves, that was not just a single article of the Bell Systems Technical Journal but was an entire issue of the Bell Systems Technical Journal, and became in many ways a bible to many of us who worked thereafter in the microwave amplification field. Paul came to Cornell after his experience with Bell Labs and has been here ever since. He's the first Cornell professor I ever met. I met him in 1953, when he was out in Southern California at the Hughes Research Laboratories doing some

research work on a microwave tube called the klystron. He and I shared a lab for a brief time, and as a beginning graduate student, just graduated from college, he had probably a greater effect on me than he realized at the time. I was very pleased, when I became interested in coming to Cornell, to find that he was still here, and even more pleased to know the regard with which he was held in both the College of Engineering and the College of Arts and Sciences. I could tell you more about Paul, but I'll stop with this. Generally when a person is in two colleges, or two departments, each figures they have lost a little bit because the person is spending time elsewhere. Paul is the only case that I know of where both units felt they had gained a great deal by having him there. He's served the University very well.

"Finally, I'd like to speak concerning Henry McGaughan, Electrical Engineering. Henry graduated in physics from the University of Michigan in 1941, the year some of you remember, and went to Naval Ordinance Lab immediately after graduation. He was there during World War II and came to Cornell for graduate work following that and stayed on the faculty. He rose through the ranks - became a professor in 1960, and has served Cornell in that capacity for the last 23 years. He's been a visiting professor at the University of California and also at Chiao-Tung University in Taiwan. He served the University in a great many ways, but he's noted most in the College of Engineering for the committees he served on over the years in his department and the college. He is really best known to the students for the twinkle in his eye as he lectures or advises them through

some particularly difficult times. It's that twinkle I think that all of us will remember in the College of Engineering."

The Provost again wished those from Engineering the best in their retirement, and called on Dean Clark from the Hotel School.

Dean John Clark, Hotel Administration, said: "There is an advantage in coming from a small school since only one person is retiring this year, but that one person is quite notable. Stan Davis - I'm convinced is too young to retire. Let me just mention a few of the highlights of Stan's career. He started out as an applied psychologist in operations research at Johns Hopkins University, became associate dean of the College of Arts and Sciences, and was Dean of Students during the nice days of 63-67 here on campus. He then went to Ithaca College where he was Vice President for Student Affairs, and finally came to the Hotel School in 1972, where he's been a professor of applied psychology, teaching fundamental and other courses in applied psychology to this industry. He's well-known, probably best known to our students as the founder of the professional masters' program, which was founded about ten years ago and now has received fame across the country. Stan is also going to be remembered as an advisor to students. I will miss several things. One is the smiling face and second is the wise ability he's had in the past to counsel both me and others. I wish him every happiness as he proceeds to San Diego."

Provost Kennedy said: "Stan certainly must have been one of the wiser person on this campus to leave in '67, wait for a few years and then return. We now turn to Human Ecology, and Dean Ziegler."

Dean Jerome Ziegler, College of Human Ecology, said it was a pleasure to recognize Professor Ethel W. Samson, Cooperative Extension, who retired on September 30 of last year after 35 years at Cornell. "Before coming to Cornell, she served as a Cooperative Extension agent in Ulster and Rensselaer Counties. She was appointed in 1956 as assistant professor in the College of Human Ecology and in 1972 was appointed staff development officer for Cornell Cooperative Extension - both for our College and the College of Agriculture. She's had a distinguished career at Cornell and throughout the State. She's served as treasurer and president of the New York State Home Economics Association. She's been assistant state leader of home and demonstration agents. She's been responsible for improving and upgrading the quality of our field agents throughout the State, and all field programs and field people in cooperative extension - which is close to a thousand in our State - owe her a great debt of gratitude for the commitment that she has made to improving the quality of cooperative extension in our state over these 35 years. As you all know, extension is one of the three major missions of Cornell University and particularly important to the College of Human Ecology and the College of Agriculture. We wish her great fortune and pleasure in her retirement. Fortunately for those of us who know her well, and her colleagues in this College and Agriculture, and in Cooperative Extension, she will remain in Ithaca to be with us and give us her advice."

The Provost next called on Dean Charles Rehmus, Industrial and Labor Relations. Dean Rehmus began: "Three of our colleagues

are retiring this year - only one of whom, I believe, is able to be with us today. The three are Professor Matthew A. Kelly, of Extension and Public Service; Professor Felician F. Foltman, Personnel and Human Resources Management; and Professor Robert L. Aronson, of Labor Economics and Income Securities. Bob Aronson is one of those individuals whose field has had its name changed during his lifetime. Originally his research and teaching were devoted largely, though not exclusively, to what was known as 'Manpower' and now by the less sexist name of Human Resources. And in those endeavors, he worked in the fields of training, labor mobility, self-employment, and the planning and effective use of human resources. He also served two five-year administrative sentences - one as editor of the Industrial and Labor Relations Review, and the other as our director of graduate studies. All three of these individuals will remain with the ILR School in limited capacities in the years to come and for that we are grateful. Bob, are you here today?" A round of applause greeted Professor Aronson.

Provost Kennedy said he believed the faculty might be interested in other individuals who are retiring and who could not be present, and read their names:

Arthur Bing, Floriculture and Ornamental Horticulture
James W. Boodley, Floriculture and Ornamental Horticulture
Max Brunk, Agricultural Economics
Alexander C. Davis, Geneva Experiment Station (Director)
James E. Dewey, Entomology
W. Harry Everhart, Natural Resources (former chairman)

Marvin D. Glock, Educational Psychology

James E. Lawrence, Communication Arts

Gilbert Levine, Agricultural Engineering (Director,
Center for Environmental Research)

Siegfried E. Lienk, Entomology - Geneva

Robert R. Morrow, Natural Resources

Adrian M. Srb, Jacob Gould Schurman Professor of
Genetics and Development

Victor R. Stephen, Communication Arts

Emil F. Taschenberg, Entomology - Geneva

Haruo Tashiro, Entomology - Geneva

John P. Tomkins, Pomology

Roger D. Way, Pomology and Viticulture - Geneva

Robert F. Wilkinson, Plant Pathology

Ralph W. Crump, Architecture

Helen Y. Nelson, Human Service Studies

Phyllis E. Stout, Cooperative Extension

The Provost continued: "We have one more retiree, whom it is my privilege and pleasure to recognize - Kenneth I. Greisen. He's not known to many of you (laughter) but a few of you have had the pleasure of working with Ken. He obtained his doctoral degree in '42 at Cornell. Our predecessors were wise enough to immediately appoint him to the faculty as an instructor, assistant professor, and full professor since 1950. He has served in a variety of committees, and also in other roles - one of them being the Ombudsman from 1975-77. He's been chairman to the Astronomy Department and Dean of the Faculty for the

past five years. His area of research is cosmic rays. He helped to found the High Energy Astrophysics Division of the American Astronomical Society. He was its first chairman. He was elected to the National Academy of Sciences in 1974 and he's an Adjunct Professor of the University of Utah and in a very short time, he'll be an emeritus professor at Cornell University. Ken, we all wish you very well."

Dean Greisen received a hearty round of applause.

The Speaker next called on the Dean of Faculty, Kenneth Greisen, to present a motion for nullification of a previous action of the FCR.

4. MOTION TO NULLIFY AFFIRMATIVE ACTION CONSIDERATIONS
IN EVALUATION OF FACULTY FOR TENURE AND PROMOTION

Dean Greisen said: "On behalf of the Review and Procedures Committee of the University Faculty, I wish to make the motion for nullification of the action of the FCR taken on April 13 of this year in adopting a resolution on affirmative action considerations in the evaluation of faculty for tenure and promotion. This motion is placed on the floor without a recommendation by that Committee. As a matter of fact, it has no choice in bringing this resolution to you. Following the meeting of the FCR at which that resolution was adopted and within the limit of 20 days provided by O.P.U.F., a sufficient number of signatures of members of the faculty who are not members of the FCR participating in that action, was received in the Dean's Office, and it is therefore incumbent on us to see to it that the University Faculty would meet and vote on

the issue of nullification of that FCR action. This is the purpose of this part of the Faculty meeting."

The Speaker said before the floor would be opened for debate, it is requested that those wishing to speak would give their name and department for the records, and for the benefit of the Secretary. He also suggested alternating debate between those in favor of nullification and those opposed.

(Note: Portions of the recording of the following discussions are inaudible. For this reason and in the interest of brevity, the minutes present a somewhat condensed version of the statements made rather than a verbatim transcript.)

The Speaker called on Associate Professor James M. Burlitch, Chemistry. Professor Burlitch presented statistical information showing that the number of women faculty had gone from 7.7 to 11.1% of the total faculty during the years 1974-75 through 1982-83 and that in 1982-83, the percentage of women in the tenured faculty had reached 7.7% of the tenured faculty. He also presented figures on minority faculty and educed a showing for both women and minorities of "some general although small increases". He then noted that 45% of the students are female and 18.7% are minority. He continued: "First of all, one thing that's clear from these figures is that there are quite a few more female and minority students than faculty. In fact the ratio of student proportions to faculty proportions in these categories is roughly seven to one. So I'm in complete agreement with the FCR committee that passed the resolution that it's very likely that female and minority faculty members do in fact have

a rather larger burden than the rest of us. Just the numbers clearly say that. Moreover, if one makes a linear projection of the data, limited as it is, you can estimate that in the year 2000 roughly 18% of the faculty will be women. And based on this information, the number of women faculty will equal the number of students, percentage-wise, about 2064. That's a long time from now. It's 80 years and for my money that's too slow a rate to move. Now you might think that on the basis of what I've just said that I might be in favor of the FCR-passed resolution. In fact, I'm very much in favor of the goals of that resolution which are to increase the numbers of women and minorities on the faculty. But there're two basic problems. First, let's be clear about what the resolution is about. It proposes to include affirmative action considerations in the tenure promotion process. What do we mean by affirmative action considerations? It's not spelled out in the resolution. But what is clearly meant from all the discussion that's gone on, both in the FCR meeting and in various parts of the press, is that members of these special groups, namely female and minority, get bonus points when the time comes for the decision on promotion because they belong to these groups. Now, when I explained this to my twelve-year old stepson, Mike, his reaction was 'but that's not fair', and that's my reaction. It's not an equal opportunity to allow certain members to have an advantage just because they belong to a particular group. Now the proponents of the FCR resolution claim that the inclusion of the affirmative action principles doesn't diminish the importance of

excellence. In fact three reasons why this is so were given by Professor Briggs in a recent article in The Point, a student newspaper. These are that the gender and race of a teacher can make a critical difference in both the types and content of courses, and our students have the right to be exposed to diverse teachers. That a racially and gender-diverse faculty will undoubtedly change some of the research priorities from those that currently exist. This may well be the case. It's actually testable because I think we have a large enough number of female and minority faculty now to test that, but nothing really has been shown for sure that that's the case, but it might be. The third reason is that extra burdens of counseling and advising are placed on some of these under-represented components of the faculty and therefore they may be forced to sacrifice some of their professional life. But all of these reasons can be measured objectively. The performance of any candidate in any of these areas can be evaluated and credit given where due. So why not promote on accomplishment rather than on color, gender, or ethnic background? Why not have guidelines which define more explicitly excellence in service to the University or to society or to students? I think I could be in support of such a resolution. But when the time comes to make a career decision, don't ask whether the candidate is white or black or female, but rather whether the accomplishments of that individual have met the high standards of Cornell University."

Professor Vernon Briggs, ILR, indicated he wished to speak on the other side. "I appreciate your attention on this very critical issue. I realize on a very beautiful afternoon and

evening and a day on which we're here to thank many of our professors for past service that to get suddenly quite serious takes a little bit of extra effort and I hope you'll bear with me as I go through this issue. I've been chairman of the Minority Education Committee for the past year and I've been a member of the committee for the past three years. I'd like to also say that we are a seven-member committee made up of people from the ILR School, Department of Chemistry, Department of Human Service Studies, Human Development, Africana Center, Electrical Engineering and that our recommendation to the FCR was unanimous. I realize that this is a very important issue for the faculty but unfortunately I believe our conclusion about status of minority education at Cornell is grim to put it mildly at this point. In the fall there were reports of a massive exodus of black faculty and black administrators and staff from our University. The Committee found that 21 black persons had left the University. On closer study, we found that four of these were black faculty - the others being administrative and staff persons carrying administrative responsibilities. Many of the administrators had very high responsibilities; for instance, one was Assistant Dean of the Graduate School. Moreover, although four resignations may not seem significant in terms of the numerical size of our faculty of over 1500, those four resignations collectively represented 15% of our entire black faculty. In reviewing these resignations we did not find that any of the persons left the University for any particular reason of prejudice per se. That should be clear. In fact, none of the four black faculty members who resigned made any mention to our

committee or to the affirmative action officials who spoke to us, that prejudice per se was a factor in why they decided to leave. If prejudice were the issue, we could confront it very easily. Rather the lack of progress stems largely from the more difficult issue of indifference - who cares - rather than opposition to the goal of having a more racially and gender diverse faculty. And indifference is a far more difficult and subtle obstacle to try to address. To overcome indifference it's necessary to ask the faculty to at least consider the objective of affirmative action when it makes personnel decisions. Now, we all know, and I'm sure we are all deeply devoted to the idea that the faculty of this great University enjoys immense latitude in the selection and retention and promotion of those who comprise its members. It's only on very rare occasions that decisions of college faculties are overturned by University administrators. It's so exceptional that it makes headlines in newspapers when it occurs. Hence it seems obvious that if any changes are going to occur in the gender and the racial, ethnic composition of the faculty, it's only going to come about through action by the faculty itself. There's no one else who can make it happen. If there is no opposition to the idea of a racial, gender and ethnically diverse faculty, as a principle, other than just a general indifference about what it might take to accomplish that goal, the logical conclusion is that there is a need to internalize the objective - to build affirmative action into our personnel practices. Affirmative action implications of a tenure decision, we feel, are at least worthy of mention during tenure review. The

Committee's recommendation was that affirmative action objectives be included, not supersede, and nothing in our recommendation calls for bonus points to be given to minorities, only that it be included among the multiple criteria used to make a tenure decision. The other factors of demonstrated research ability, public service, University service, advising and committee work - those would be retained. In looking at those criteria, however, it's never expected that any one person would excel in all, especially in the few years preceding a tenure decision. Moreover, the expectation given in the University manual on promotions simply says that a person must meet overall standards of excellence and we're simply asking to include this objective within the overall evidence of excellence. The determination of excellence itself is seldom a very easy decision for faculties to make. Usually decisions produce split votes. In many that I've been involved with in 23 years as a college teacher, there have been strong dissents about the excellence of certain candidates. Research work is often highly specialized and faculties themselves of course, quite diverse in their expertise. Information on teaching is often spotty, often highly subjective. Public service is open to various interpretations. It is a process in which reasonable people may reasonably disagree. It is not precise or predictable; it's not a mechanistic procedure. In fact the University criteria for promotion provide considerable latitude to the separate departments and colleges in choosing their members to foster 'a collegial relationship'.

Our committee believes that if Cornell is to fulfill its mission as a useful institution in American life, it must attract and hold qualified minority or female students. To do this, we feel that it must have more minority and female faculty members. If this resolution were able to contribute to the retention and promotion of just two or three people, it would make a considerable difference. It is in this context that the assistance of these additional criteria might make some difference in the composition of our future faculty. Four years ago, when President Rhodes spoke before the Faculty Council on affirmative action, he spoke of the need to reward the potential, and perhaps we should include the potential of a minority faculty member as well as proven accomplishments in the factors for promotion. I see this recommendation as being nothing more than the codification of that Presidential statement. Universities are part of the institutional structure of this nation. As such they can and they do affect and influence the course of the future. They simply cannot be excluded from the nationwide effort to keep the past patterns of exclusion of minorities and women from the mainstream of American life from being replicated into the future. Thank you for your time."

Professor Peter Stein, Physics, spoke in favor of nullification. "Mr. Speaker, it's not an easy issue to speak on. Let me first start by saying to answer Professor Briggs that I care. It's important for Cornell to increase its numbers of minority faculty and particularly the sub-class of black faculty. I must, however, speak for nullification because I believe that

the proposal is a bad one, that it will have bad effects and that in a sense it's degrading to the classes that it's trying to assist. The classic explanation that is given for affirmative action is that one is not supposed to change the standards, but rather make a special effort to go out and find those people who meet the standards of this University but who because of the traditional education patterns would not have normally come to the attention of the people who are doing the hiring. That seems to me to be an excellent thing to do, but I believe that the University has to be committed both to diversity and to excellence. I hate to use the word excellence - it's an overly used phrase - everybody uses the word excellence to support both sides of this position. Nonetheless, it does seem to me that despite what Professor Briggs says, the only way to interpret the idea of affirmative action in this particular resolution is a changing of the standards for a tenure appointment. I'm sorry, there's no other way to interpret it. Professor Briggs speaks of the fact that there are additional burdens on minority faculty members. But those additional burdens are well taken into account in the three traditional criteria that are used for making tenure decisions. The notion of having to serve on committees, of having to advise large numbers of students, is what is normally meant by the word service. And we've always been asked to consider service as one of the criteria on which to make tenure decisions. Likewise, we are asked to consider a person's teaching contributions, and teaching contributions can be construed widely or narrowly.

They may be construed narrowly as the scores you get on student evaluations. They might, however, also be construed to include the diversity brought to the teaching program for one reason or another. This is a legitimate factor to take into account when one is making a tenure decision. On the other hand, I would say that all of the legitimate factors that are brought up are well included in the notion of teaching, service and research. If I then take those apart and ask what is here meant by 'affirmative action', it seems to me that what is meant is very different from what we have always meant when talking about affirmative action in seeking out new appointments. What is meant is that we must now say that a person is to be given tenure because of the fact that they're in one of the protected classes. I see no other way of interpreting this legislation, and as far as I'm concerned, no amount of words can change the fact that we are redefining what is called excellence, that we are changing the standards. I find it difficult to believe that one cannot be simultaneously deeply committed to the goals of affirmative action and deeply committed to the goals of excellence at the University. I myself believe that I'm committed to that and I think that others are also. Then why am I opposed to this? One could take the position, what harm does it do since it expresses in words the feeling that we have that we should have more minority and women faculty members? One thing I have discovered is that the things that one writes in the Appointment Manual are not just innocuous phrases but can and will acquire legal significance in subsequent legal suits. I believe that if

one puts a phrase like that in the Appointment Manual, a member from a protected class who's been turned down for tenure, can appeal that decision and say Cornell instructs its faculty members to lower the standards for a protected class because affirmative action in this context can only mean a lower standard, therefore, Cornell has the burden on it to prove not only that I was below the standard but that I was enormously below the standard because even if I'm a little bit below the standard, I'm supposed to get tenure by Cornell's own internal procedures. My belief is that adopting a statement of this sort we will create a legal battleground which will make it extremely difficult to ever sustain a negative decision on tenure in a case involving a member of a protected class. Therefore, despite the fact that I really believe strongly that Cornell must make great efforts to increase the number of women and minority faculty members, I will vote to sustain Professor Burlitch."

Professor Simone Clemhout, Consumer Economics and Housing, spoke against nullification. She recounted two situations from her personal experience, one involving recruiting in her department and the other involving her own promotion to illustrate her position.

Professor Gordon M. Messing, Classics, suggested that no matter how the voting at this meeting came out the issue should be sent for a referendum to provide a larger Faculty vote on so important an issue. He then indicated that he found himself "in great agreement" with Professor Stein and that the

proposed change could be characterized as an "entering wedge" or "playing with fire" or "a can of worms" or "opening Pandora's box".

Professor Mary L. Jacobus, English, spoke against nullification. She indicated that while it was admirable to increase our efforts at recruitment and to maintain the criterion of excellence, it was also necessary to increase the awareness of equal opportunity. She then stated: "I think this is a commitment to address the inequities that presently exist in the representation of women and minorities. I also would note the very different ways that we use the word 'excellence'. I think somebody observed in the previous debate that excellence involves a multitude of interests. One of those interests is that we identify excellence as looking like ourselves, and that usually means white, male, elite. The legislation, modest as it is, suggests that we need to take other criteria into account."

Associate Professor Steven B. Caldwell, Sociology, said: "If I understand the intention of the legislation it is to bring about changes in faculty tenure voting behaviors so that a significant number of 'close calls' on minority and female candidates for tenure will turn from negative to positive votes. To the extent that this goal is achieved, the promotion of minority and female faculty would increase. It's a goal that virtually all of us desire. If this outcome, without substantial negative side effects, were to occur, I would certainly support this resolution enthusiastically. But the history of well-intentioned attempts to bring about change is littered with

unanticipated, sometimes damaging side effects. The potential of damaging side effects I have in mind would be cases of possible stigma unintentionally affixed on senior female and minority faculty by officially encouraging the perception that a different standard is being used for their promotion irrespective of whether in fact it is being used. If a woman receives tenure without sex per se having been a factor, which is true presumably in most of the cases, only those directly involved will know. For any other observer, within or without the University, they may reasonably infer from the official University policy that sex may have played a role. Thus this resolution, I think, undermines the legitimacy in many eyes of senior minority and female faculty with perhaps no official outcome. This resolution may, I fear, be a classic example of a big symbol, little action, resolution. Unless it succeeds in changing a substantial number of actual faculty tenure votes it will have little or no impact on promotion decisions. Yet by sending a loud symbolic message to the community it risks creating perceptions that decisions based on sex or race per se are in fact occurring. I suggest a better path in this case is for soft talk, big action. Individuals who believe that race and sex per se can be relative to tenure, apart from accomplishment, can continue to so act. The University should in turn stress the importance of accomplishment in terms of relevance to the minority and female community. So to conclude, I worry about the danger of claiming more than we are actually doing. Symbols do have consequences - not always the intended ones. I'm worried that this resolution is in that category."

Professor Isadore Blumen, ILR, wished to make a motion. "Mr. Speaker, I think in the interest of fair and full debate and also so that we can come to a vote, I would like to make the following motion, that each speaker hereafter be limited to three minutes and that we come to a vote at 5:30 p.m."

The motion was seconded. The Chair said this requires a two-thirds vote. A point of order was raised as to whether it was permissible to divide the motion into two parts and consider the three minute limitation and the 5:30 limitation separately? The Speaker replied "yes". It was so moved to divide the vote. On a vote to divide the motion, it was carried. The vote on a three-minutes time limit per person then carried unanimously. On a call for the 5:30 vote motion, it also carried.

Professor Benjamin Nichols, Electrical Engineering, felt Professor Stein's comments hit at the heart of the issue. He continued: "The question that Professor Stein addressed is the one of lowering standards. I don't see this happening at all and I'd like to tell you why. It seems to me there are two processes that we go through in deciding on either appointment or tenure. One of them has to do with the measure of the individual, per se, and if it were possible to put everybody in a rank and give them a number, we would do that, without regard to anything else. The other has to do with the needs of the University, the department, the college, the University at-large. These two factors must then be balanced. Someone might rank higher on an individual scale but for some reason or

other because of his or her areas of research or scholarship would not fit what we saw as our present needs and we would not choose 'the man or woman at the highest level', we would choose the man or woman that most fit our needs. What the committee is saying is that one of the measures of 'need' should be racial, ethnic, and gender diversity. It is not the sole measure; it is one of the measures and has nothing to do with lowering standards."

Associate Professor Robert Harris, Africana Studies and Research Center, was next to speak. "There have been a couple of remarks made about so-called protected classes and I think those individuals should speak for themselves. I'm here to bring attention to a position statement by the Minority Faculty and Staff Forum. I'm not going to read the statement, but would point out some of the issues that we think are important. First of all, Cornell University is already committed to affirmative action in recruiting and hiring, and it's our hope that there's no less reliance on excellence in that process than there would be later in review for tenure and promotion. We're really talking about basically the same issue here, at least it seems so to us. Secondly, we draw a distinction between affirmative action and equality of opportunity, knowing that affirmative action means positive measures and a reconsideration of practices that have led to the present situation. I spoke in favor of this change in the Appointment Manual before the FCR meeting and the Executive Committee of the Minority Faculty and Staff Forum and I thought that it might be more effective if a

black, female, tenured faculty member came and introduced this particular statement but no such person exists at the University. We would also point out that there are difficulties in peer judgment in determining excellence. And that the more diverse a faculty, the greater the probability of moving to equality of opportunity. I think everyone agrees that there should be equality of opportunity, but we can't kid ourselves that it exists now. Affirmative action is necessary to move us to that stage. Finally, we support the change in the Appointment Manual to broaden traditional judgments of excellence."

Professor Donald F. Sola, Modern Languages and Linguistics, spoke as a member of the Review and Procedures committee of the Faculty. "I'd like to express appreciation to the Minority Education Committee of the FCR for the hard work that they've done bringing this to the FCR. I'm very glad. Speaking as a minority faculty member, I was especially appreciative to see something happening in this faculty. I had the opportunity to see what has happened in student recruitment and affirmative action programs in the University, where we are not all shy about being explicit. Furthermore, as a member of the Review and Procedures Committee, I had the opportunity to sit with a committee of Trustees who were working last year on the restructuring of the Board itself and they were not the least bit reluctant to include explicit language that said we want a diverse board, we want a diversity by sex, by region, by culture. I think we need that, because for many years and decades, there has been an unwillingness to be explicit. The result has been

that some institutions that are full of excellent professors, if measured by diversity are not very excellent institutions. We have an excellent institution, above all, and I would vote against rescinding this legislation."

Professor Michael C. Latham, Nutritional Sciences, said: "I think we're all concerned about the excellence of the faculty. One speaker spoke against this motion and said it was simply a symbol. Symbols are sometimes important. If the faculty votes for this resolution to rescind the affirmative action statement, it is in fact flagging the fact that the faculty is not in favor of an affirmative action statement and that is a regressive step and will be a regretted step on the part of this faculty. On the other hand, defeating this nullification resolution I think will show that we are concerned with affirmative action, willing to protect excellence, that when there are people of equal excellence, we are willing to recognize diversity as a factor. I think we really need to recognize that our action will be talked about beyond Ives Hall."

Professor Mary Beth Norton, History, said she spoke as a minority of a minority. "I am one of the very few female full professors at this University. I have two things to say and I'll be very brief. The first is that I do not need to be protected by Professor Caldwell from whatever stigma he believes might fall on me. I regard it not as a stigma but as a joyous moment to see this faculty go formally on record in favor of affirmative action in all areas of involvement of the choice of this faculty. The second comment I have to make is as a

historian, and as a historian of women in this country. I was the first woman member of the History Department. I was hired in 1971. This University had existed for more than 100 years before that time. Does this faculty seriously believe that there were never any excellent women historians produced in this country before I received my appointment? I find that impossible to believe and know that in fact it was not true since Cornell University itself produced many excellent female scholars in history. It just never saw fit to hire or tenure any one of them. I think that given the history of this faculty which has been overwhelmingly white and male, for over 100 years, it is absolutely essential that we uphold this legislation and defeat the resolution before us."

Assistant Professor Edward Kain, Human Development and Family Studies, spoke against nullification. He described coming to the realization that at every stage of advancement in his own career, he had had the advantage of position expectations on the part of those who would judge his performance, because he was male and white. Females and minorities have the disadvantage of lesser expectations. And so it is only right that this prejudice be countered, at times of evaluation for promotion, by acknowledgement that it is harder to gain recognition if you are black or female.

Professor Michael Fisher, Horace White Professor of Chemistry, Physics and Mathematics, indicated his opposition to the resolution now before the body. He stated that the tenuring process in different fields is not the same and that if diversity

is a desired goal of the University we must at least take it into some account in awarding tenure.

Professor Sandra L. Bem, Psychology and Director of the Women's Studies Program, was next to speak. "It seems to me that in a clean world - and maybe we like to think we live in a clean world - it is somehow apparently unclean to 'introduce' considerations of race and sex into decisions. I'd agree with that in a clean world, but I cannot stand here and say everything is done nice and clean and pure now. In subtle, or sometimes not so subtle ways, we have always taken into account these extraneous considerations of race and sex and ethnicity. We don't do it in an obvious manner anymore. I think when a really outstanding candidate comes along, we appoint them and give them tenure even if they're the wrong sort. And when they're clearly bad, we don't appoint them and don't give them tenure even if they're the right sort. But that leaves all those long-lost masses in the middle, and I would contend that's where most faculty are. It is that middle range where considerations of sex and race have always had an enormous impact and when they've always gone against sorts like me. I think the time has come to realize that this resolution does not introduce a 'dirty' consideration. Rather it puts out into the open a fact that has always tilted decisions in one direction rather than another. I do not know that I want mediocre men or women to get tenure, but I see lots more mediocre men than I see mediocre women who have tenure. The test is not that some female Albert Einstein finally gets to be an assistant professor, it's when a female with the same abilities gets just as far as her male counterpart."

Professor William Tucker Dean, Law School, said: "I may be a little sensitive about litigation, since I'm a defendant in a lawsuit asking \$20 billion. Fortunately, the University is defending me. I would, however, like to second the suggestion made by Professor Stein that if this resolution stands, it will enormously increase litigation wherever tenure has been denied to one of the covered groups. And an effort will be made in such litigation, at great expense of money and time, to interject this resolution into the deliberations of the department or the college which makes the decision."

Assistant Professor Jeremy A. Rabkin, Government, wished to speak to what seems to be the underlying premise of this resolution which a lot of people have said is shared by both sides. "People are saying of course we want a lot of diversity on this faculty. I'm not sure why we want diversity on this faculty. As an empirical matter I do not think it is true that most people are very much in favor of diversity on this faculty, depending on how you measure diversity. One thing I believe we should think very hard about before we accept the resolution which the FCR proposed, is exactly what we mean by diversity and how far we really want to push it. People are saying that if we have more women and more minority candidates, they will contribute different points of view. It's not my impression at all that this University is particularly concerned about having a great diversity of points of view. If that is what it is concerned about, it seems to me it should go out and recruit more republicans, more opponents of the ERA, more opponents of

affirmative action. I don't hear anyone calling for that. I say this because about two weeks after I came here, I realized that a lot of people were looking at me as Pearce Williams' understudy. Pearce Williams has a certain role in this University - it is to speak up for views which are shared by, it seems, at least half of our fellow citizens out there in America. That's one person. From my experience, I could get called in as his understudy. It seems that there's him and then there's one backup. I don't see anybody complaining about that. I myself am not particularly indignant about that, but I really want to tell you that nobody said that we ought to have a faculty which precisely mirrors the United States. I don't even understand the notion that we should have a faculty which mirrors in some direct way the Cornell student body. I think people should think hard about what an ugly business this can be if we start questioning people's backgrounds and not their work. In my own department there's been some talk about our not being indifferent and raising our consciousness. Let's raise consciousness. In my own department, the Department of Government, we have starting next year, five people teaching courses in American Government. There's not a Christian among them. Isn't that strange? Is one saying that a religious background does not affect your perspective at least as much as sex or race? I should think so since religious background really does involve training in certain kinds of opinions and outlook, but I myself would be quite disgusted and outraged if there was some big movement to add diversity to the Government Department by bringing in a few

more Christians. I do think our sensibilities to this have been very much dulled because there's so much affirmative action out in this country which has been accepted without question. When a university starts saying that it will now tenure people on the basis not of their work, not of their achievements, but for some background characteristic, it is well on the road to talking, it seems to me, about Jewish science, which was done not very long ago to put people in physics. Although we're told this will affect people's perspectives on different kinds of problems, it is going to be applied to a whole range of departments and you will really have a somewhat astonishing and I think rather disgusting, spectacle of women's physics or maybe it will be black study of German literature. I don't think that's something which this University ought to stand for."

The Speaker said it was now 5:30, and time for the vote to be taken. He first asked how many were in favor of nullification - that is, to overrule the action taken by the FCR at their last meeting. And then he asked all those opposed to nullification to stand for a count. The motion to nullify was defeated by a vote of 81 affirmative, 170 negative.

The Speaker said one more item of business remained, and he called on Dean Greisen.

5. REMARKS BY OUTGOING DEAN

Dean Greisen said: "You've all been very patient, and I've been hearing remarks from others in the audience that this kind of a difficult issue does bring out some of the best features of the faculty. It's been an excellent discussion this afternoon.

Thank you all for it. I'll dispense with the rest of my remarks, except to say that one of the things that has made my five years as Dean a rather stimulating experience, has been the civility of the discussions and the reasonableness of the arguments, even though you can't win them all. Often you come out voting on the weaker side of an issue - the side that doesn't get as many votes. But usually the faculty pulls together anyway and they come out again for another heated, intelligent discussion the next time there's an issue. Thank you very much." (The Dean received a standing ovation that continued for several minutes.)

The meeting adjourned at 5:45 p.m.

Joseph B. Bugliari

September 14, 1983

110 Ives Hall

"Remarks are not literature."

Gertrude Stein

The incumbent Speaker, Russell D. Martin, called the meeting to order at 4:32 p.m. He then introduced Dean of the Faculty, Joseph B. Bugliari.

As a first order of business, Dean Bugliari asked Professor Mary Beth Norton, History, and Chairperson of the Executive Committee of the FCR, for nominations of candidates for Speaker, and she submitted a single name, that of Professor Russell D. Martin, Communication Arts, for another one-year term. Upon hearing no further nominations, the Dean declared nominations were closed, and proclaimed that Martin was re-elected Speaker by acclamation, a selection warmly applauded by the Assemblage.

Speaker Martin noted the "amazing competition" for the job, and declared his delight at having "the privilege of again serving as Speaker," in light of the fact that the "salary, this year, was doubled, too."

The Speaker then declared the meeting of the FCR at an end -- "the shortest [one] on record!" -- and he pronounced the meeting of the University Faculty in session.

The Speaker asked President Frank H.T. Rhodes to make some announcements.

ANNOUNCEMENT OF DEATH OF FACULTY MEMBERS

The President began with a list of Cornell colleagues who had died since the last report to the University Faculty,

with the observation that such a list "... is always one that represents a sense of our separation and loss. I will read their names and then invite you to join me in standing to recognize and remember them."

John Raven Johnson, Todd Professor of Chemistry,
Emeritus, May 25, 1983

Benjamin Edward Clark, Professor of Seed Investigations,
Emeritus, Geneva, May 26, 1983

Jason Seley, Professor of Art, Dean, College of
Architecture Art and Planning, June 23, 1983

C. Arnold Hanson, former Professor of ILR; former
Dean of Faculty, June 29, 1983

Kurt L. Hanslowe, Professor of Law and Industrial
and Labor Relations, July 7, 1983

David M. Simons, Associate Professor of Architecture,
August 19, 1983

Ung Jun Han, Visiting Fellow, Agricultural Engineering,
September 1, 1983

A moment of silent tribute followed the President's
announcement.

RECOGNITION OF DISTINGUISHED TEACHING

AWARD RECIPIENTS

The President then announced the Distinguished Teaching
Awards given by the University and its Colleges.

Agriculture and Life Sciences:

Emeritus Professor of Floriculture and Ornamental
Horticulture, John G. Seeley; Edgerton Career Teaching Award -
by the State College of Agriculture and Life Sciences.

Professor of Marketing, Agricultural Economics,
Dana C. Goodrich; Professor of Merit Award - by the State
College of Agriculture and Life Sciences, Cornell, given by
Ho-Nun-De Kah (Agricultural Honor Society).

Architecture, Art and Planning:

Associate Professor of City and Regional Planning,
Richard S. Booth; Burnham Kelly Award for Distinguished
Teaching.

Professor of Architecture, John P. Shaw; Martin Dominguez
Award for Distinguished Teaching.

Arts and Sciences:

Associate Professor of English, Kenneth A. McClane;
the Clark Award.

Associate Professor of Romance Studies, Enrico M. Santi;
the Clark Award.

Professor of History, Joel H. Silbey; the Clark Award.

Engineering:

Associate Professor of Chemical Engineering,
Raymond G. Thorpe; Excellence in Teaching Award - by Cornell
Society of Engineers and Engineering Tau Beta Pi.

Human Ecology:

Associate Professor of Human Service Studies,
Constance H. Shapiro; Chancellor's Award for Excellence in
Teaching - by the State University of New York.

Associate Professor of Human Service Studies,
Robert J. Babcock; Distinguished Teaching Award - by the
College's Alumni Association and Omicron Nu Honor Society.

Industrial and Labor Relations:

Associate Professor of I&LR, Cletus E. Daniel;
Undergraduate Student Government Award for Excellence in
Teaching.

Veterinary Medicine:

Associate Professor of Pharmacology, Wayne S. Schwark;
Norden Distinguished Teacher Award.

The assembled faculty greeted the announcement with
applause.

Speaker Martin thanked the President, and next he called
upon Dean Bugliari for his first report as Dean of the University
Faculty.

REPORT OF THE DEAN

After thanking everyone present for coming to the first
meeting of the 1983-84 year, Dean Bugliari noted that during
the summer, Associate Professor Harlan Brumsted, Natural
Resources, had resigned as Secretary of the University Faculty,
and that the position would be filled during the 1983-84 year
by Associate Professor Francine A. Herman, Hotel Administration.

The Dean then reported on the election held during the
Spring. He explained the results briefly: "As you know, we
have a bifurcated system. Everybody participates in the first
election and then we hold a second election exclusively from
members of the FCR." Thereupon, the Dean announced the election
results:

EXECUTIVE COMMITTEE - 3 seats

Alice Davey

Ronald G. Ehrenberg

Raphael M. Littauer

EXECUTIVE COMMITTEE - 1 non-tenured seat

Gary M. Dunny

ACADEMIC PROGRAMS AND POLICIES COMMITTEE - 1 seat

Charles F. Wilcox

ADMISSIONS AND FINANCIAL AIDS COMMITTEE - 2 seats

Jacques Bereaud, 3-year term

Yih-hsing Pao, 2-year term

FREEDOM OF TEACHING AND LEARNING COMMITTEE - 2 seats

Alex Rosenberg

Ruth Schwartz

MINORITY EDUCATION COMMITTEE - 2 seats

Robert H. Silsbee

Bettie Lee Yerka

PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY
COMMITTEE - 1 seat

Richard D. Aplin

RESEARCH POLICIES COMMITTEE - 1 seat

Wesley W. Gunkel

A new Faculty Handbook was in the making, the Dean reported, and he expressed cautious optimism that it would become available "in the spring".

Finally, the Dean noted that this was the third year since the establishment of the Appeals Procedures based on the report

of the Stein Committee. "According to the legislation, in the third year we are to review the procedures. To that end, an ad hoc committee will soon be appointed by the FCR Executive Committee. If you have any comments or input concerning the operation and effectiveness of the procedures," the Dean urged, "please forward those comments to me, or to the Committee when their names are made public." The Dean concluded: "We really want input on how the process has worked." And the Dean promised that the report would be issued early, so that it can be discussed well before the last meeting of the body in April of 1984.

Speaker Martin thanked the Dean, and then asked for questions from the floor. There being none, the Speaker announced: "It is next our privilege to have an address by President Rhodes."

ADDRESS BY PRESIDENT RHODES

"Mr. Speaker and Colleagues: I want to spend a little time with you sharing a review of the year that's just closed, and some prospects for the year that is about to begin. In doing that I expect to be questioned and challenged, and I hope you will take the opportunity to enter into conversation and not regard this as a one-way approach.

"The year, 1982-83, was a remarkable one for the University. And for that, I have to thank you and congratulate you because universities, as institutions, do not have great years except in the most limited sense. It is you, the faculty, who have great years, and by any standard '82-'83 was a remarkable year. It was remarkable, for example, in the number of awards received

by members of the faculty. Cornell faculty received 11 Guggenheim Fellowships, the highest number awarded to any University in the nation. Cornell also led the nation, tying with three other institutions, in the number of Sloan Fellowships received -- five. And I was particularly pleased about those because, as you know, they go to younger members of the faculty. That these awards range from number one in Guggenheims, which tend to go to more senior people somewhat later in their careers, to Sloan Fellowships, which mark success at an early stage, is something to be proud of. Add to that the delight that all of us felt when Kenneth G. Wilson, the James A. Weeks Professor of Physical Science, won the 1982 Nobel Prize in Physics, and the year has been a remarkable one.

"It is fine faculty, of course, who produce fine programs and those, in turn, attract superior students, at both the undergraduate and the graduate level. Cornell students won seven of the newly instituted Fellowships in the Humanities provided by the Mellon Foundation, placing the University first among the nation's colleges and universities receiving these awards. Yale was second with five, and Harvard, Bryn Mawr, and Berkeley, ranked third, with three each. We owe our colleagues in the humanities particular recognition for the achievement that represents.

"I have no doubt that if Mellon gave fellowships in other disciplinary areas, the success would be equally remarkable. In fact, Cornell ranked first in the number of NATO Postdoctoral Fellowships in science awarded this year.

Fourteen Cornell graduates and nineteen graduates of other institutions coming to Cornell for graduate study received the very competitive NSF Graduate Fellowship Awards. Together these students account for about 8 percent of the 450 or so fellowships awarded nationwide. It is a remarkable achievement that one university can claim such a collection of talent.

"Our strength in graduate education was also reflected in the rankings that were published during the year for program quality. In two collective areas, the humanities and the physical sciences, Cornell ranked sixth in the nation overall, and I like the combination of those two areas. Cornell ranked seventh overall in biological sciences, eighth in mathematical sciences, and eighth in engineering, and twentieth in the social sciences. We've some work to do in some areas, but overall that's a remarkable record of distinction, and it reflects, obviously, recognition of the ongoing contribution that you make to your fields of scholarship and to training of graduate students.

"It's also been a remarkable year for recruiting new faculty, and some of us who met with new members of the faculty on Saturday morning in an orientation session had an opportunity to see that at first hand. From a dazzling variety of institutional backgrounds and disciplinary interests and from many different parts of the world, 66 men and women have joined the faculty. Personally, I find it very reassuring that of 96 vacancies, only about two-thirds were filled by the beginning of the year. That suggests not delay in getting on with the job,

but rather care in making the appointments. It was particularly gratifying that of those 66 appointments, 23, or 35 percent, went to women. Six went to minorities, and that's 9 percent of the total number. The distribution within that minority category, however, is very uneven. One of them was black; two were Hispanic; there were no native American Indians, and there were three Asians. I mention those numbers because we face a national challenge in recruiting an appropriate number of minority colleagues to the faculty. The challenge is simply that we are not graduating enough minority students with advanced degrees. This is true at Cornell, and it is true nationwide. In 1981-82, for example, there were 1,132 doctoral degrees awarded to black candidates. More than half of those, 606, were in education. Almost a quarter, 244, were in the social sciences.

"That leaves only slightly more than one-quarter spread across all the other areas of scholarship. In the humanities, for example, there were only 103 minority Ph.D. graduates nationwide; in the physical sciences, 36; in engineering, 20. And for those individuals, 3,000 colleges and universities, a host of government departments, scores of major industries, and thousands of corporations, will be competing. If we're ever to have an appropriate number of minority faculty colleagues, we have to increase graduate enrollment, and that will not happen unless it becomes a matter of priority for those of us teaching here on the faculty. I hope that individually and in the departments and the colleges, you will give this matter your attention.

"It was a good year, also, for admissions. We're proud of the fact that applications for admission went up again for the fifth year in succession and that they went up at both the undergraduate and the graduate level. Moreover, the quality of the applicants continues to be remarkably good.

"It was an important year for new appointments in various administrative positions. Joan Egner completed her first year in the position of Associate Provost, with responsibilities for affirmative action and for campus-wide planning. I'm grateful for the welcome and the discussions that you've provided for Dr. Egner as she's moved from department to department talking about new positions.

"During the year we lost the services through retirement of W. Donald Cooke, who served with such distinction as Vice President for Research, and we were fortunate to persuade Robert Barker to follow him in that position. Dr. Barker is looking for a colleague to serve as Associate Vice President for Research. I'll say a little more about that later. It was also good news for all of us that we were able to persuade Dr. Geoffrey Sharp to follow Dr. Barker as Director of the Division of Biological Sciences, effective October 1.

"We are also fortunate that Gordon Hammes, the Horace White Professor of Chemistry and Biochemistry, has accepted the directorship of the new Institute for Biotechnology. With faculty of that distinction accepting administrative appointments, we're in very good hands.

"Laing Kennedy, someone well known to members of the Cornell community, became the new Director of Athletics on September 1. We've also gained during the year the leadership of Lee Snyder as Director of Personnel. All those are important appointments that affect the day-to-day life and work of the faculty. I hope they are people you will come to know well.

"Let me also say something about the financial aspects of the year just closed, and the financial outlook for the coming year. It was a good year in general for all three major units of the University -- the endowed colleges, the statutory colleges, and the Medical School. All finished the year in balance, and that is an important achievement made possible by your cooperation and support. I know it has not been easy to make the adjustments that are sometimes needed to balance the budget. But if we're to retain our financial strength, financial discipline is an absolute prerequisite. It is the first topic of conversation when one visits a foundation or a corporation or even a wealthy benefactor looking at the possibility of supporting Cornell.

"Thanks to the leadership of the Provost and his colleagues, we have weathered the severe financial problems facing the nation. But this simply emphasizes the importance at every level, and not least the department level, of thoughtful budget planning and the staking out of realistic priorities. We value your help in that, and we shall continue to need it. It's sometimes easy to forget that the total budget of the

University is now over a half billion dollars, and that means we spend at the rate of one and a half million dollars a day. Slight errors, therefore, can be magnified considerably when it comes to the overall result. It requires an enormous sense of commitment and cooperation across the campus to deal with numbers of that kind. A particular priority for us last year was to move faculty salaries up and to achieve the 80th percentile among the major research universities. We believe we're now either there or very close as a result of the salary increase already made at the beginning of the year, and the 1.5 percent which will be added in January of next year.

"There are two other aspects of last year's financial results that are worth noting -- both of them very satisfactory. It was a record year for gifts to the University with a total of \$61.5 million being received. That represents the dedicated work of Dick Ramin and his colleagues, but it also represents, in the most direct sense, the role that you play in the fund-raising. It was also a remarkably good year for research funding -- \$116 million or thereabouts. The Controller and people in the Sponsored Programs office have minor differences as to what the amount is, but it's close to that. That figure was a three percent increase over the year before, and that is a significant achievement in a period when most of our peer institutions found their overall funding had decreased.

"Let me say a word about the budget for the present year and then the outlook for the next two years. This year's budget is in balance, but it's a very tight balance. At a

student press conference yesterday, I was asked if our budget surplus meant there would be some benefit to the students in the form of a rebate or tuition relief. I must say that a budget in as tight balance as ours leaves absolutely no room for that kind of largess, and it leaves very little room for maneuvering. The balanced budget has been achieved this year only by a 11.9 percent increase in tuition, which is very high indeed, and by a one-time reduction of \$1 million in the overall level of the budget.

"The budgets for 1984-85 and 1985-86 are not in balance, however, and we shall have to do some selective pruning in order to bring them into balance. The easiest way, of course, is to cut across the board, but that is to invite a comfortable sense of stagnation. We should be willing to make, at the college and department as well as the University-level, hard choices about what we're going to do in the budget area.

"What are the problems as we look out at the two years beyond this year? The first is very simple. It's a blunt but inescapable fact that growth in programs will have to be chiefly by substitution and not by addition. We simply cannot expand the student base, and we cannot expand the revenues indefinitely for every new initiative that we want to mount. You need to help us, and you will help us, I know, at the department and college level.

"Second, we are fast approaching the limits of increases we can make in tuition. The gap now between tuition at the independent universities, such as the Ivy League, and the

public universities is already a very serious one. We cannot look to tuition as the ultimate solution to financial problems, though it will always be a very important part of it.

"Third, financial aid remains a major concern and a major priority. We're determined to keep Cornell open to people from the whole spectrum of cultural, geographic and economic circumstances. But we can do that only with a realistic program of financial aid. The Cornell Tradition this year -- this remarkable gift of \$7 million from a group of alumni -- has helped greatly in doing that. But it is not the whole solution, and we shall need more help and more ingenuity in the year ahead. One of the problems here is going to be the inability of many students to repay loans in a short term. At the end of summer, an average of 35 percent of college graduates nationwide were still unemployed, and those people obviously will not be able to repay heavy loan burdens in short term.

"Fourth, the level of State funding for certain activities in the statutory colleges, including faculty levels, maintenance, and library support have simply not kept pace, either with needs or with other comparable sectors of SUNY. And we shall be working hard with our friends in Albany to reverse the trend of the last five or six years.

"Fifth, we're going to face a continuing challenge in health and safety. The Johnson Museum is a typical example of the scale of the challenge of health and safety in the workplace. Part of the problem is that we simply don't know the solution to many of the difficulties we encounter because

the society is encountering them for the first time. Last year, we spent \$3 million on health and safety measures campus-wide. That is an enormous slice of the University's total budget. Health and safety remains a priority for us, but it clearly competes with other worthy priorities for University resources.

"Number six, the maintenance of facilities -- simply keeping the place in decent working order -- is a continuing problem. You can see the difference in Rockefeller, and to some extent in Goldwin Smith, between crumbling facilities and renovated facilities. But campus-wide we have major problems in bringing the facilities up to the point where they're appropriate for university use.

"Number seven, we have major problems with the library, and all of you here know that firsthand. It is not just acquisitions budgets, slender as those are. It includes services that need improvement and computerization, and it includes facilities for the storage of books. We share this problem with every other major university. We have the same kind of problem with the computer. With the help of Vice Provost Kenneth King, we've come an enormous distance in bringing our computer facilities for teaching and research up to a reasonable standard. But we've still a ways to go, and Ken King will be working with you during the coming year to finish the job that he has started.

"Finally, we must address the question of selectivity. We have a remarkable basis of strength, but if we are to have

a university that we can be proud of in the next millennium, we simply have to be selective. It is idle to pretend that we can go on doing everything equally well. It is better to have nineteen programs of obvious distinction than to have 20 which are mediocre. We have made that kind of choice, in cooperation with the faculty, in restructuring the Graduate School of Management during the past year, and we shall have to face the same kind of situation in other areas. We ought to agree together to the principle that it is better to support a relatively smaller number of programs well, with all the fulfillment and satisfaction that involves, than to have a slightly larger number where everybody -- faculty, students, and staff alike -- is unhappy with the levels of support.

"Let me also say a very brief word about governance, and invite you to play an even more honorable, active role in the University Assembly. If that body is to prosper, it needs your support, and I hope that those of you who are able, will be willing to offer yourselves for office there and will play an active role once elected.

"Second, we hope during the course of the year, to have action in Albany on the new Charter revision which will change the composition of the Board of Trustees, making it small enough in size to be responsive to the problems of the University.

"Let me say a brief word, too, about human relations on the campus because the questions we address are much wider than union elections. I do want to remind you, however, that there is an election on September 28, which will determine whether or not 650 technicians on this campus and at the Agricultural

Experiment Station in Geneva are going to be represented by the UAW. The University's policy remains one in which the Board of Trustees supports the right of every individual to make a free and informed choice about whether or not he or she will be represented by a bargaining group. I have sent a letter to every technician giving my personal opinion, and I don't suppose that it represents necessarily the opinion of anyone else or a majority of those present. But it is important that our views be known on the impact of unionization. There is a wider question of the nature of working relationships on campus, however, and you as the faculty are clearly crucial to that. Cornell is one of the best campuses I know for the kind of interaction that takes place between faculty and students, faculty and faculty, faculty and alumni, faculty and staff. And on a good base, I hope that we can continue to do a still better job.

"There's some building going on on the campus. Academic II is slowly shaping up. Academic I is, as you know, in abeyance at the moment. We have recommended an architect to the State Construction Fund and the State Construction Fund is now considering that nomination. The redesign will then take place. The building for Geological Sciences -- the Snee building -- is also taking shape. Academic II and the Snee building represent major additions to our campus facilities. The other building which is fully occupied for the first time this year is Cascadilla, and with its completion, we now have about 580 additional beds in the Collegetown area.

"But buildings, budgets and awards are only meaningful insofar as they lead towards meaningful goals -- meaningful personal goals and meaningful institutional goals.

"I want to offer you four priorities for the coming year, and I offer them as propositions and not as fiats, as guiding principles and not simply as budget directives, as academic goals and not as operating instructions. It goes without saying that they require us to maintain the superiority and diversity of our student body, that they require us to be serious, not just about affirmative action procedures, but about affirmative action results, and that they require us to be responsible in making new appointments and granting promotions.

"The first is that we should agree together to undergird the research strength of the University and with it, the quality of graduate education. That will require a strategy and a funding model for the library that will carry us through the next three or four years. Acquisitions, facilities, services -- we need help in each of these areas if we are to maintain the centrality and strength of the library. We desperately need additional space for computer sciences, not just to serve the needs of that department, but to serve the needs of the whole University. We also must link our computing facilities to a greatly improved communication system on the campus, and that, too, will be an expensive undertaking. Personal computers will become more widely used during the coming year, and I saw a proposal for the first time this morning for

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the development of a super computer on campus with a new center for simulation and computer theory. If that comes about, under the leadership of Professor Ken Wilson, it will require both major facilities and equipment. We need space for the Division of Nutritional Sciences, which is now hopelessly cramped in its present accommodations, with no funding in sight from State sources. We also have an urgent need for a \$4- or \$5-million building for Food Science, where present conditions are almost intolerable for both teaching and research. And, finally, if biotechnology is to prosper as we hope it will, it, too, will need a building. The building will be an expensive one -- on the order of \$32 million -- and we have already had conversations with the State about the possibility of their supporting the construction cost.

"If we are to do these things, we need to improve our initiatives to obtain support not only from the Federal government and the State, but also from industry. I mentioned a little earlier that Bob Barker is seeking to find somebody from the faculty to join him as Associate Vice President for Research with particular responsibility for liaison with industry. This is an important position, and we hope that you will give the matter serious thought in nominating individuals.

"That is a handsome shopping list, and clearly there are problems in funding such a range of programs. We shall have to establish priorities together by building on strengths that already exist, where these coincide with wider objectives, and by being unwilling to accept weak or unsatisfactory departments anywhere on campus. That principle is as applicable

at the department level and at the center level as it is at the college and university level.

"As a second priority, we must work together to ensure the position of four of our graduate professional programs in the top echelon of their peers. The College of Veterinary Medicine is already recognized as the most outstanding college of its kind in the country, but its position is threatened by a wholly inadequate level of State support. The neglect of veterinary sciences is a very serious problem, not just for Cornell, but for the State as well. The College needs better salary levels; it needs additional faculty; it needs added facilities and we shall work to try and obtain those things from the State.

"The Law School, if it is to move into the top echelon, must have added facilities. It was designed for something like 50 percent of the number of students and faculty who now use it, and its space is hopelessly overcrowded.

"The new Graduate School of Management will also need our support. It will need a new Dean; it will need a new program; it will need new financial resources in the form of gifts.

"And finally, the Medical College has slipped badly over the last 15 or 20 years. If we're to have a medical school, we must restore it to a position of strength. That will take a complete renewal of the basic sciences, additional facilities, and a new pattern of partnership with the New York Hospital. All three of those things can be done, but they will require our firm commitment.

"The third priority is that we should strengthen the links between our undergraduate programs, and realizing this priority will require our attention in at least three major areas. First, we must ensure excellence in all our undergraduate programs by building upon our strengths, while perhaps redirecting resources from areas of lesser priority.

"Second, we must work to develop in our undergraduates a sensitivity to worldwide opportunities and worldwide needs and views. I don't believe Cornell has taken this nearly as seriously at the undergraduate level as we have at the graduate, research and professional level. We have to rethink the international component of undergraduate education. I think the worst solution would be to rush out and create three Cornell Abroad programs -- one in Paris, one in London and one in Vienna. What we ought to do, however, is to make it much easier than it now is for our students to study in dozens of different places of their choice. At the moment, enormous initiative has to be taken by the student in not all, but most colleges. If you want to study abroad, you have to want it very badly under our present situation. Isn't it reasonable that we should set up counseling and credentialing arrangements that would make study abroad more accessible to our students? Davydd Greenwood, the new Director of the Center for International Studies, has this as one of his personal interests, and I hope you'll take the opportunity to talk with him about it.

"Third, I believe undergraduates should leave Cornell with a humane and ethical commitment and view of life. That

will mean that the importance of the humanities must be recognized by people in other departments and colleges. Our graduates in the College of Arts and Sciences have a superb exposure to humanities, no matter what their particular disciplinary interest. In other schools and colleges, however, the exposure is very uneven. I ask those of you who are faculty members in the so-called professional undergraduate colleges to reconsider whether it is reasonable to graduate with so slender a foundation in the humanities as some of our students have. The core disciplines, I believe, are English, history and philosophy, and they ought to play a more conspicuous role in the programs of non-Arts and Sciences students than they now do. The opportunity we have for common learning this year is a timely and important one in this regard. You probably know that Professor McClelland has agreed to serve as faculty coordinator of that Common Learning Program, and we have a very distinguished committee, co-chaired by Vice Provost Larry Palmer, and Professor Urie Bronfenbrenner, which is guiding the work of the Common Learning Program.

"And finally, I believe we ought to set as our fourth goal improving the quality of campus life. That is a hopelessly vague phrase until you translate it into operational terms. What does that mean? It means that we've got to build that Center for the Performing Arts for which funding comes so slowly, and in such depressingly small trickles. The Performing Arts Center could play a major role in the cultural life of the campus -- not just for theatre arts but for all of us. It means that we must continue to work

on problems of health and safety, and they're going to grow bigger rather than smaller in the years ahead -- partly because of legislation which imposes obligations without providing financial support to meet them. I believe we also need at least one more residence unit. I mentioned that we've added 580 beds, but we still compare very unfavorably with our peer institutions in terms of the number of students we can house on campus. I'd like to see us have at least one more residence hall on campus, with 300 or so beds, where the faculty plays a substantial role in residence life. There is a significant separation between living and learning on the campus in our present residential arrangements. We've made a start in trying to address that with the Faculty-in-Residence Program, and we shall have six faculty in residence this year. I hope you'll agree that an educational theme and commitment behind residence life is something worth exploring.

"We're also going to need, if we're serious about campus life, some major supplementation of athletic facilities. We are the only university in the Ivy League which hasn't made a major commitment in the last 20 years to athletic facilities and the use of our facilities has reached the saturation point.

"But finally, campus life is really about people and not buildings, and I hope that Cornell will continue to be a place that generates the kind of campus atmosphere in which we can take pride. I don't mean that we should discourage debate. On the contrary, we should welcome and encourage it. But I hope that in budget meetings, in various governance bodies and in departments and the seminar room, the debates

will be conducted in an atmosphere of civility and respect. We have a ways to go on campus, if we're honest with ourselves, in terms of racial relations and relationships between the sexes. We have work to do, and you and I know it when we confront those opportunities and needs. And so, as I thank you for what you've done in the past year, I invite you to consider the priorities for the future I have suggested. With your cooperation, we can begin to implement them together. No university can be greater than its faculty -- that is an impossibility -- a contradiction. But it can achieve added greatness if we are agreed on the objectives and goals we share. Under those conditions, Cornell will prosper. Thank you."

The Speaker thanked the President, on behalf of the University Faculty, and wished him a good year. The Speaker then opened the floor to questions.

Professor Alex Rosenberg, Mathematics, commented that he was disturbed by the way computerization is being undertaken on campus. "Some years ago," said Professor Rosenberg, "a decision was made to join something called RLG, and so far as I can determine, nobody sat down and tried to make any kind of cost effectiveness study; nobody said to themselves that RLG is highly speculative...The result is that Cornell and a small number of other institutions are bearing a disproportion of developmental costs for computerization of the library facilities. Ten to 15 years from now," Professor Rosenberg continued, "I imagine every library in the world will benefit, but there is

absolutely no way for us to recoup our losses." Professor Rosenberg concluded by saying: "We rush into these things because they're there, without really being sure about their effectiveness or cost. I would like to urge the people who make these decisions to sit back a little bit and ask: 'Do we really need this, and what is it replacing, and where's the payoff, and is it reasonable to expect that their promises will be fulfilled?' In several instances, such an attitude has been missing on this campus."

The President replied: "I welcome Professor Rosenberg's comments. There were really two parts to it, and both are reasonable and proper questions. The first, is whether membership in RLG (Research Libraries Group) is worthwhile. This is a group based in Stanford which has virtually all our co-institutions other than Harvard as members. And it is true that we are paying a very severe price for development. I was part of the decision to go in, and I have to say that with the best analysis, reasonable people can differ as to whether it was the right decision. To the best of my knowledge, it looks like a much better decision now than it did, let us say 18 months ago. There are still some problems, but it looks promising.

"The second question you raised is a more difficult one in some ways, and one in which I claim no professional expertise. That's the question of what should be going on, on campus, in terms of our overall computer development. I can only say that we would welcome all the help we can get there. We have a University Computing Board, chaired by Bob Cooke this past year,

and we would welcome so much any thoughts you may have. We're willing to sit down and meet with you. I will be happy to sit down as well. There are real dangers...there's no question about it."

Professor Donald F. Sola, Modern Languages and Linguistics, said that the President's Report raised some questions about the University's continuing commitment to public service, which from the beginning has been a fundamental Cornell tradition. He was concerned, in particular, about the proposal to apply a criterion of "selectivity" that would eliminate weaker programs and said that the example given of the recent "cooperation" of the faculty of the Graduate School of Management in dropping public administration degree programs leads to the conclusion that administration leadership was involved. Professor Sola had no objection to administration leadership, but felt that it was taking us in a direction contrary to a valuable tradition. In this context, the President's reference to the relative weakness of the social sciences at Cornell, about which "something will have to be done," carries with it at least the suggestion that these also might be jettisoned, he said.

Professor Sola asked for more administration leadership and more faculty concern for strengthening the social sciences at Cornell, and called for more social science faculty involvement in University policy making, in the interest of a healthier evaluation of the University's role in our society.

President Rhodes replied by noting that the decision to close the programs in health and public administration in the

Graduate School of Management did not originate in Day Hall. Rather, he said, "the reorganization was recommended by an external study committee. It was made to the faculty, considered by the faculty, voted on by the faculty. We then sat as a review panel and finally presented the recommendation to the Board of Trustees. We can differ as to whether the decision was the correct one, but the important point is that the initiative came from the faculty."

President Rhodes also emphasized that the University's traditional commitment to public service remained a serious responsibility and stressed that social scientists would play a continuing and important role in its fulfillment. He cited a faculty committee, recently appointed by the Provost to work with local school districts as an example of that commitment to public service. "The chairman of that committee is Roald Hoffmann, the John A. Newman Professor of Physical Science and the 1981 Nobel Laureate in chemistry, and that is particularly fortunate in light of Professor Hoffmann's own commitment to teaching and the particular need for improvement in the teaching of science and mathematics nationwide. Social scientists are well represented among the committee's 11 other members, however, and I am confident that they will make important contributions to enhancing the teaching of those subjects as well."

Speaker Martin asked if there were any other questions for the President. There were none, nor was there further business to come before the body. Thus, the meeting was adjourned at 5:53 p.m.

Respectfully submitted,

Francine A. Herman, Secretary

November 9, 1983

110 Ives Hall

Nothing can be done at once hastily and prudently.

Publius Syrus, Maxim 557

The Speaker, Russell D. Martin, called the meeting to order at 4:33 p.m. Absent a quorum, approval of the September minutes was delayed.

1. ANNOUNCEMENTS BY THE DEAN

Dean of the Faculty, Joseph B. Bugliari, made the following announcements:

The members of the Ad Hoc Committee to Review the Appeals Procedures are: Ken Strike, Education, Chair; Barry Adams, English; Gail Fine, Philosophy; Terry Fine, Engineering; Fran Herman, Hotel; Dan Tapper, Veterinary Medicine; Larry Walker, Agricultural Engineering. Mary Beth Norton, Chair of the FCR Executive Committee and the Dean of the Faculty will serve as ex officio Committee members. The Dean urged the Faculty to convey "any comments or ideas" they may have about the procedures to his office or to individual members of the Committee.

The Faculty is expected to honor the rules concerning exam schedule changes. "If there is a problem," Dean Bugliari noted, "you should contact our office; otherwise, I'll expect you to observe the rules we have."

The Dean then turned to the agenda for the meeting.

"Assuming today's meeting is successful," he said, "we will plan to have another series of presentations by various people in December. At that time, you will hear about the telephone service... which may be instituted; about what is going on in computers; and

finally, what in the world we are doing with respect to buildings and properties, including Academic I."

Then the Dean offered another "Sneak Preview", unveiling "[a] series of programs on computers during the first two weeks in January...There will be three levels of programs -- those for people like myself who know nothing about computers, an intermediate program, and...an advanced one." Dean Bugliari then concluded his remarks by promising "...to have more about these [computer programs] at our next meeting."

Speaker Martin thereupon announced, with appreciation, that Professor P.C.T. deBoer, Mechanical and Aerospace Engineering, had agreed to serve as Parliamentarian for the body in the coming year. A warm round of applause followed.

At this juncture, the Speaker described the meeting agenda. "There will be four Committee reports. We are attempting to limit each one to a total of twenty minutes, including questions and answers, so that we may finish by 6 o'clock." (Note: The Committees, in order of presentation: Budget, Admissions and Financial Aids, Library, and Research Policies.)

Then the Speaker introduced Professor Alan McAdams, Graduate School of Management, Chair of the Budget Committee.

2. BUDGET COMMITTEE REPORT

Professor McAdams: "I want to tell you who we are, what we do, and the criteria we use for evaluating the fiscal health of the University.

"Who are we? We are an FCR Committee, elected by the Faculty. Two of our members are from the FCR. Current members are: Peter Auer, Mechanical and Aerospace Engineering; Robert Bechhofer, Operations

Research and Industrial Engineering; Dale Oesterle, Law; Peter Kahn, Mathematics; John Nation, Electrical Engineering; Eugene Erickson, Rural Sociology; and myself from the School of Management. That's a broad spectrum of people. [In addition] we work with Joe Bugliari, Jim Spencer, the Vice-Provost, who shepherds us through the year, and John Lambert, who shepherds him [Spencer] through the year. We meet with Provost Keith Kennedy when we have important questions to raise. Over this year, we have met with various University officials: Messrs. Herbster, Ostrom, Doney, Brown, King and Craft; various people from the Admissions and Financial Aid office, and the Endowment Office, among others. We maintain liaison with the Committee on the Professional and Economic Status of the Faculty, and with the Library Board. We have a representative on the University Assembly's Budget Committee and on the Provost's Budget Priorities Committee.

"Okay, what do we do? The members of our Committee asked me to begin to address that question in another form: 'Do we do anything?', 'Do we achieve anything?', and I must say that sometimes it is very hard to see that we have done much, especially in return for the amount of time we put in. But I would say, at the margin, yes we do make a contribution. For example, we have focused on a more efficient use of financial aid funds - thanks to an economic analysis done by my predecessor, Ron Ehrenberg. We've looked at endowment policies and made recommendations on changes in the handling of some general purpose gifts, which previously were always taken into endowment, no matter what their size. We have been an effective liaison, I believe, with the Committee on the

professional and Economic Status of the Faculty, and together we've had an effect on faculty compensation. I think we can point to a couple of percentage points in your paychecks last year that our joint efforts have contributed to, and we believe that those percentage points came as a reasonable trade-off with other priorities.

"We help in identifying guidelines in the budget process by looking at both the income and expense projections for the coming year and for the two successive years. The major trade-offs that we deal with are among tuition, 'self-help' for recipients of financial aid, compensation improvements for faculty and staff, graduate assistance stipends, and so forth. We also know what's happening on the investment front -- in gifts, overhead expenditures, etc. We look at this series of elements as they interact in what is known as the 'general purpose (GP)' budget, the melting pot where all these various elements come together, where they have a common denominator of dollars, where we make trade-offs and try to come to a balanced budget. The objective is to present a recommendation to the trustees in May of a budget which is balanced. Are there any questions at this point?"

Professor Walter Lynn, Director, Science, Technology and Society Program: "Yes. Who are the 'we' in this? Is this 'we', the Administration, or 'we', the Budget Committee?"

McAdams: "The Administration is doing it, making the decisions. We, the Budget Committee, are consulting with them. We meet with them frequently. Recently, it's been every week. We are a sounding board and devil's advocate, especially when it comes to tough trade-offs: 'Are we going to raise tuition by X percent? If we do that, it will give us so much money for finance and/or to

raise faculty salaries by Y percent.' Things of that sort.

"Are there other questions on this part of the presentation?
All right. Let's go on.

"As you know, there are three major administrative units in the University. The statutory colleges come under the State budget; the Medical School comes under its own budget, and, finally, there's the largest element, the endowed campus at Ithaca, which represents 52% of the grand total budget of over half a billion dollars. Within the endowed sector of the University we focus on the general purpose budget. This budget does not include the three schools that are 'responsibility centers' -- Hotel, Management and Law -- that operate on their own budgets with what are called 'designated funds'.

"Compounding the complexity are the 'restricted' funds that come from outside -- monies coming in which are restricted as to use and which also fall outside the general purpose budget. We have 'enterprise' and 'service departments' -- these include such activities as the campus store, the shops and other services around the campus -- that represent very significant revenues and expenditures, but fall outside the general purpose budget. The same is true of sponsored 'grants and contracts' for research.

"Three colleges and essentially all the central administration and the central services do fall within the general purpose budget. The Colleges are: Arts and Sciences; Architecture, Art and Planning; and Engineering.

"To reiterate, while we must be aware of a mass of detail for the University as a whole and its implications, the Budget Committee focuses mainly on endowed Ithaca, and, in particular, on the 'general purpose' portion of the endowed Ithaca budget --

this represents about 25% of the total revenues and expenditures of the University. Nonetheless, policy decisions made in respect to this budget generally apply to all sectors of the endowed campus. Are there any questions?"

In response to a question from Professor Raphael Littauer, physics, about whether service departments in the University account for an expense or provide income, Professor McAdams replied: "First, the service departments are self supporting. These activities are not a part of the general purpose budget. They do incur expenses, but they also generate revenues from their customers. Both the revenues and expenses are classed as 'designated' funds. What this means is that the service units (e.g., the Dairy Store) provide their services to other parts of the University or to the public for a fee and their expenses and their other costs are covered in that way. Most service departments generate a small surplus or break even. If they cannot operate on a fee basis, their costs are included in 'overhead' and are thus indirectly billed out to those units which make use of them."

Professor Donald F. Sola, Modern Languages and Linguistics: "I wonder if you could identify the category of discretionary funds and the percentage of these funds that we might be free to use -- funds not allocated for some specific purpose?"

Professor McAdams: "The portion which is technically unrestricted is the \$143,700,000 in the general purpose budget... and in one sense it's discretionary. On the other hand, there are ongoing activities throughout the University. About 70 to 80 percent of the total expenditures of the University are for people,

people already on the payroll. All departments have tenured people. People who work in the central administration expect to be paid each payday, etc. So, there are a lot of formal and informal commitments for these funds. As long as we have the people, then there's not much discretion in making these expenditures.

"New money for new programs, etc. -- the item called 'Program Improvement' in the budget documents -- make up \$500,000 - \$1,000,000 each year, or less than 1% of the GP total. These are the only funds in the budget that are discretionary. These are the only funds in the budget that are discretionary in the sense that I perceive you to mean.

"To continue, the Budget Committee has identified some problem areas. We have identified the future role of computers on campus and their budget implications for the University as one such area. And we have recognized the importance of the interaction between telecommunications and computers as another. The same is true of the library, telecommunications and computing. All of these areas are being evaluated separately now, but they are likely to merge into a single joint area. They will require increased attention, coordination, and planning in the immediate future.

"Finally, let me share the criteria we use for evaluating whether the University is operating at an economic break-even. We don't just look at the annual operating budget. As we said in our report at the end of last year, we really look at four things. The first is the operating budget itself, and, as you know, that has been kept in balance over these last several years. But equally important for break-even -- perhaps more important -- is that the educational quality of the institution must be maintained. Less

clear might be the fact that we also need to maintain the purchasing power for the endowment. Fourth and finally, we need to maintain the functionality of the physical plant; you can always make your current activities look good by postponing the maintenance of your physical plant and thus postponing large expenditures into the future. If any of these criteria are violated -- and the latter two appear to be -- then the University would be operating at a true 'economic' deficit."

Professor Richard Booth, City and Regional Planning: "I understand the statutory schools go through a state budget process, but are you saying that the faculty is not involved at all in reviewing, number one, the University budget requests to the State, and, number two, what is done with the money that comes from the State?"

Professor McAdams: "Essentially, yes. One reason is because no one in the University really has much direct say about that, anyway. That's done in Albany. Then, the University is able to modify the proposed outcomes through the good offices of the Provost and the Vice Provosts. But essentially, the State determines those matters. Cornell then does get the State to make some trade-offs at the margin."

Professor Benjamin Nichols, Electrical Engineering: "Does expense recovery include -- I think you mentioned housing, dorms, and so on -- are they included in this?"

Professor McAdams: "Let me see."

John Lambert, Budget Director: "If I may --?"

Professor McAdams: "That's our savior, Mr. Lambert, the Budget Director."

John Lambert: "The short answer is 'no'. Housing and dining is an enterprise operation. Students pay directly for those services. The payments cover the costs and that activity falls outside the general purpose budget.

"Let me explain the expense recovery item a little bit more. Expense recovery includes four major types of things. First, since the central administration provides services to the statutory colleges as well as to the endowed, they bill the statutory colleges for those services. Then through a mechanism we call 'tuition retainage', the bill is paid -- the University just retains an appropriate number of dollars out of the tuition paid by the statutory students.

"Similarly, there are services supplied to the Hotel, Management, and Law Schools by the central administration. Those services are billed and the payment also goes into 'expense recovery'. Then the University effectively bills research contractors for the facilities and other overhead items the University provides for its researchers. Those payments go into expense recovery. Finally, personnel, payroll, accounting and similar services are provided to some of the enterprise operations. These enterprises are billed and payments accrue as part of the expense recovery category."

McAdams: "Thank you, John.

"Now, if you have had an opportunity to look at the report of the Budget Committee for 1982-83, you'll see that we have identified a series of potential problem areas.

"One very important trend is the increasing portion of

total revenues in the endowed general purpose budget represented by tuition. Budgets are growing over time at a rate faster than general inflation, and tuition is growing even faster than that. That can lead to problems. As student aid is also growing at an increasing rate, we find that the University is beginning to recycle a significant portion of the funds that come in from tuition increases back into student aid. Something will have to be done in this area soon.

"The data we have shows that 'academic compensation' dropped by three points as a percentage of the GP budget in the last several years. Over this period, the size of the faculty has remained roughly constant. We note that staff compensation has been increasing. Another factor that we noted on the revenue side is what's been happening with investment income. Investment income available for the general purpose budget previously accounted for about 13% of the total. Now, it's down to 10%. What that says is that we are able to rely less and less on the earnings from financial reserves. We are relying more and more on the payments by current 'customers' of the University today for the services provided by the University. We also note that the University has been committing its capital more and more to the physical plant rather than committing additional capital to the endowment. That, then, is consistent with having current customers pay for the current resources being made available in the form of new plant and equipment.

"Any other questions? I was expecting probing questions about our \$20 million 'surplus' for this year - what happened to

it? - and things of that type. Is anyone interested in that?"

Professor Bernard F. Stanton, Agricultural Economics:

"Can we trace through the accounts and see if there is a surplus or a deficit?"

McAdams: "Yes. But we have to do that in the context of all four items: the operating budget, academic excellence, the physical plant and the purchasing power of the endowment. The operating budget has been balanced for the last several years. As to academic excellence, the President recently reported to the FCR on the overall academic status of the University. He cited areas of strength, areas of improvement and areas of decline. As to the physical plant, its functionality probably is not being fully maintained. Next, at current levels of funding, the purchasing power of the endowment improved greatly this past year, but it remains lower than it was several years ago. In 1983 dollars, the endowment is approximately valued at one-half billion dollars. The physical plant, valued at original cost, is 'worth' another half billion dollars. Together these assets are valued at over one billion dollars, a substantial increase over last year. Now, if you look at the 'net from operations' for the year for the total University budget as opposed to the smaller general purpose budget, it looks like Cornell had about a \$21 million surplus from all the operations of the various sectors of the University - endowed, statutory, and medical. But, if you look more carefully, you see that ten and a half million dollars -- approximately half of the grand total -- was one lump-sum grant, which was then transferred to 'plant funds' to pay in part for the geology building.

"The next surplus item is \$7.2 million from the Medical school, but these are 'designated' funds that represent a surplus from the faculty's medical practice at the Medical School. So, now we've accounted for almost 18 million of this apparent \$21 million surplus. Then there were a series of transfers to capital accounts for construction and renovation that are under way -- in the amount of a million here, another million here, and a million there -- most of which is in the statutory colleges. When you get all done, the money available to the general purpose budget as spendable surplus for the year was only the \$516,000 mentioned earlier.

"Let's look next at the endowment. In our report for 1982-83 we made the general statement that the fiscal situation of the University appeared to be getting better, especially for two reasons: (1) the stock market recovered, (2) inflation went down. An important result was a 40% increase over the then current dollar value of the endowment in one year. Now, that sounds good, but we also looked at the endowment in 'real' terms by deflating it with the Higher Education Price Index (HEPI). Approximately ten years ago, the purchasing power of the endowment was about \$260 million. Last year it was \$152 million in constant dollars. This year it's back up to \$202 million of purchasing power. On this measure, we've had about a 33% recovery in the endowment's purchasing power in a single year, and the endowment is now only \$60 million below what it's purchasing power was a little over a decade ago. We're now about even with 1972. The \$60 million is what the University used to cover the deficits in the operating budgets in the early 1970's."

Speaker Martin: "I think we better move along. If we have time at the end of the meeting, perhaps then we can come back to Professor McAdams for more questions."

The Speaker then announced that a quorum was present, and he asked for, and received, approval of the minutes of the September meeting. Next, Speaker Martin introduced a report from the Admissions and Financial Aids Committee, Professor Helen Wardeberg, Chairman, and James Scannell, Dean of Admissions and Financial Aid.

3. REPORT OF ADMISSIONS AND FINANCIAL AIDS COMMITTEE

Wardeberg: "The Committee on Admissions and Financial Aids had existed for a number of years back in the seventies, but in 1978 it was dissolved under the rule that terminates committees which had not met or reported for a year. However, it did seem that the concerns of admissions and financial aid were vital, and it was important to have a University faculty involvement in determining those policies. Hence, this Committee was re-established last spring by FCR action, and at the election in May, 7 faculty members were elected: Ben Nichols, Electrical Engineering; Vernon Briggs, Industrial and Labor Relations; John DeWire, Physics; Jacques Bereaud, Romance Languages; Stephen Zinder, Microbiology; and Yih-Hsing Pao, Theoretical and Applied Mechanics, who is on sabbatic this fall, and who is being replaced for the moment by Anne Graves, from the Africana Studies and Research Center. Dean Scannell, from Admissions and Financial Aid and Dean Bugliari serve as ex officio members, and we have two students who are appointed by the Student Assembly: Tom Allon, who represents the endowed units and Lynne LeBarron, who represents the statutory units.

"Legislation that defined the role and the charge of this Committee had been adopted by the FCR in 1971. When the Committee was reconstituted, the role and charge still seemed appropriate.

"The FCR reaffirmed the established roles of the faculties of the individual colleges and schools of the University in admitting students and awarding financial aid. The FCR also recognized that certain aspects of admissions and financial aid are of concern to more than one college, school or program and may have basic effects upon the educational policies and the total educational character of the University. Hence, the faculty has a basic concern and responsibility for policies affecting both admissions and financial aid.

"Our Committee has three charges. We are to recommend to the FCR policies and procedures for the admission of students, we are to recommend policies and procedures concerning the allocation of general funds for financial assistance to students, and we are to report, at least on a yearly basis, on our recommendations concerning admissions and financial aid.

"Our Committee met in the summer; it is now meeting at least once each month during the year. Dean Scannell has provided us with a volume of materials -- much good background information about recruitment, financial aid, long-range planning, the number of applicants, the matriculants, the operation of the office, the publications. All of us are finding we have much to learn and a lot to think about. Admissions and financial aid strategy and procedures for the class that will be entering in 1984-85 is in place now, so that while our Committee can review those things, any recommendations that we now make can at best be applied in the year

1985-86. That is, recommendations for policy changes to be made for the next academic year really have to be in place by November of the current year. At this point, the budgets are set, the publications are in order, people are recruiting for next year's class.

"We consider ourselves a faculty committee. We are not a management or an operations group; while we may give Mr. Scannell advice, he need not implement it. Essentially, any substantive policy recommendations will be made to this body. We see ourselves as a sounding board for policy issues. Some of the things that we have looked at so far -- and we are only looking, and haven't identified any recommendations yet -- are such things as the attractiveness rating system which is currently in operation; the tuition/student aid ratio that showed up on the budget projections; the question of access of promising students from varying income families; faculty involvement in recruitment; the relation of admissions policy and financial aid practice to the retention of students and to the ultimate graduation of those students who are admitted. We represent the faculty. If you have concerns, we would be most pleased to have you contact any of us. You can leave communications in Dean Bugliari's office, you can send them to me, you can leave them with Dean Scannell. You can call any of us, write us notes. We need to know what are at least perceived as problems, concerns, issues relating to admissions and financial aid.

"Dean Scannell will now present some general information, the results of the admission procedures over time, and will raise some of the other issues of concern to the Committee."

Dean Scannell: "I'd like to begin by introducing Milford Greene, Associate Dean of Admissions and Financial Aid. Dr. Greene is in his first full academic year at Cornell having joined us last January from Morehouse Medical College. One of his primary responsibilities is the recruitment, retention, and financial aid policies for minority students.

Scannell continued: "Let us look first at the numbers of students graduating by region from public high schools nationally. This does not include private high school graduates. If we look specifically at the states of New Jersey, Connecticut, New York, Massachusetts and Pennsylvania, where more than two-thirds of our applicants come from, we see there's no real change. All the news is bad in the northeastern states, having to do with a gradually declining population. We're in the middle of the precipitous decline. Focusing even more directly on New York State -- using figures and projections from 1979 to 1989 -- we see a decline in public high school graduates from 210,000 to fewer than 150,000. The only possible influence on this would be in-or-out migration. The news there for the northeast is also bad. It's a net out-migration in the northeast. However, the rest of the country will not necessarily experience the same thing. It will, in fact, mean a net recovery in Colorado, and, if we look at Texas, we'd see a net increase by the end of this decade.

"Finally, coming home, what has been our experience at Cornell? We've seen an increase in freshmen applications between 1970 and 1983 -- a very dramatic increase -- in the endowed applications. Statutory applications appear constant with a little

bit of an increase last year. We had over 18,000 freshman applications, and remember, we are now in the decline, right in the middle of the mid-eighties. That means we are getting a bigger piece of the pie as it exists, particularly in the northeast. Our gains have been nationwide, but they are particularly strong in the northeast part of the country. So that is a very quick picture having to do with demographics.

"Now I'm going to talk about quality." (Profile for the Class of 1987 attached as Appendix A.)

"If you look at the percent of New York State high school seniors who scored above 550 on the standardized verbal portion of the SATs from 1974 to 1982 we see - and New York State gives us about half our applicants - we see a decline from 20.6% in 1974 to slightly less than 15% in 1982. That is students who take the SAT who score above 550. We restrict ourselves to that population because of our quality standards. So, we're not looking at the population as a whole, we're looking at a very specific subpopulation, and that subpopulation is decreasing as the population as a whole is decreasing. In absolute numbers we've gone from 26,000 test takers in the State of New York scoring above 550 in 1974 to just over 20,000 in 1982. (Question) Yes, Sir."

Associate Professor Henry H. Hagedorn, Entomology: "What happened between '74 and '75?"

Scannell: "I don't have a good answer to that question.

The decline nationally on SATs was much more dramatic in the late sixties and early seventies. The national decline, although, continued until 1981. There was a national decline every year until '81, then there was a levelling off - actually an upswing. The slope was much more even. Beyond that, there is considerable

speculation as to why the SATs have declined - in terms of what they measure - things like television, merit scholarships, etc. That would be an afternoon's seminar, at least.

"This does not capture the point that you're interested in because the space on the vertical is not dramatic enough to show that there was a decline and actually we're showing a flat line and actually there was still a decline through these years in the late seventies, though not as dramatic as up here. Okay, this is national. The point of this is to show what has been going on in a very brush stroke sense at Cornell. That is to say that we have maintained over a period of some national decline a relatively constant quality as measured by standardized tests from 1973 to 1983. That is to say, a verbal score of around 600, slightly below; a math score of around the 650 mark.

"Let me turn now to a comparison of projected need versus financial aid among only undergraduates. Student need, which is what we're going to be measuring ourselves against, is defined as cost of education minus total family contribution. Family contribution is comprised of parental contribution, student summer savings and student assets and benefits.

"Starting with student need, we see a growth. If we look only at undergraduates, student need has risen from 20 million to over 40 million in 1983-84, and it is projected to be above 40 million in 1984-85. If we look at resources, starting with federal and state aid at about 7 million in 1977-78 increasing through 1981 and then levelling off, and now a flat constant since 1982-83, as a result of re-ordering of priorities nationally, we find this

clearly isn't keeping pace with student need.

"Cornell and outside aid started at about 9 million in 1977-78, dropped in 1979, mainly as a result of the federal contribution increasing. This is not just a Cornell phenomenon, but a national phenomenon, and since then Cornell contributions and outside aid have been increasing rather steadily up to about 12 million.

"When you combine the two resources, you see that through the late seventies and the first year of 1980, these lines were roughly parallel - the need and the resource line. Since that time the need line has continued to escalate, the resource line has flattened out, and as a result, our undergraduate students have become more and more dependent in a multiplier kind of a way on filling this gap with borrowing. If you were a student at Cornell, had a need to borrow, and graduated in 1980, you probably left with about \$4,000 indebtedness. By 1986, those students who are presently sophomores, will probably graduate with about \$12,000 indebtedness. A tripling of indebtedness, and this is the area that is of concern to us. Something has to give. I'd like to clarify and further explain the statement that Professor Wardeberg made -- the admissions policies and strategies are clearly in place at least a year in advance because you are always recruiting the class that will enroll a year hence. There is opportunity to develop and fine tune some financial aid strategies this fall for next year."

Speaker Martin: "All right. Thank you. We'll have to hurry up and give the other two committees an opportunity." He called on Professor Barry Adams, English, Chairman of the Library Board, and University Librarian, Louis Martin.

4. REPORT FROM THE LIBRARY BOARD

Professor Adams: "The Librarian and I agreed that I should lead off and focus on the Board rather than the Library, not because it is more important - we agree it is not - but because it is less well known. I'll try to keep myself to 10-15 minutes by cheating on the transitions, and then turn things over to Mr. Martin to say something about one special problem - not a new one, but an important one and one that I think is particularly relevant to the FCR and the faculty at large.

"We are officially the University Faculty Library Board. I like to think of the first element of that title as a modifier with multiple squint: it applies not simply to 'Board', but to 'Faculty' and 'Library' as well. It applies to 'Faculty' insofar as our membership is restricted to no one college or unit within the University, and to 'Library' insofar as our special object of concern is not any one unit in the system or any cluster of units - Olin or Olin/Uris or the endowed libraries - but the entire system.

"We have informal ties with the various college and department library faculty committees that now exist. At the moment, there are 11 of these that I know about. Routinely, we send copies of the agendas and minutes of our Board meetings to the chairpersons of these committees and invite them to attend our meetings as non-voting participants, but other than that, there is no official or formal connection. We have a slightly more formal relationship with a relatively new group called the Library Advisory Council. This is made up of approximately 20 friends and alumni of the University who have special interests in matters relating to the library.

"We are a board rather than a committee. Those who profess to know about these things tell me that this signifies appointment rather than election. We are, in fact, appointed by the President on the recommendation of the Dean of the Faculty for four-year terms. Nevertheless, even though we are called a board and are appointed rather than elected, we have very clear ties to the FCR. In fact, in 1974 the FCR formally acknowledged our existence and described our duties and responsibilities, as well as other things. Although we are a board, we are not a governing board. Nor are we a board of trustees or an executive board. We are an advisory board, pure and simple.

"The key activities enumerated in the FCR charge that I have referred to are reviewing, advising, and assisting - all of these activities under the general rubric of representing the faculty's interests in library policies and operations.

"There are two more items from the FCR legislation that may be of interest. The legislation specifies that there be 12 faculty members, 2 students, and 3 ex officio members. Those ex officio members are the Provost, the Vice President for Research, and the University Librarian. The FCR legislation also specifies that there be 'regular meetings, which shall be scheduled once each month during the academic year.' We have in fact been meeting somewhat more frequently than once a month, so I suppose those extra meetings must count as irregular.

"What I would like to do now is pass in review a few notions about the Board that seem to have some currency in the Cornell community. These include perceptions of what the current Board is

or has become in recent years, as well as conceptions, or perhaps preconceptions, of what a body like ours ought to be (or not to be). These statements have been heavily edited for pungency.

Number 1) The Board is window dressing, also known as show-and-tell. That is, it is, or ought to be, comparatively passive, remote, symbolic. I understand that such groups exist at other universities, but this attitude has not found favor at Cornell, at least where the library is concerned. The Board (at least in my experience, which goes back now 5 years) prefers to think of itself as much more actively engaged in University library problems and policies.

Number 2) The Board wants to run the show - and not just the show-and-tell, either. My response to that is, 'not so'. The less passive form of involvement that I have referred to has the potential danger of leading to unhelpful meddling in operational affairs, and this is something to be avoided. But in my experience, this has not been a very grave danger.

Number 3) The Board is a sounding board. Yes, of course. This is a useful function that we are happy to perform and have performed. We resonate for the benefit of the Administration on occasion, though more ordinarily for the Librarian.

Number 4) The Board is a watchdog and a gadfly. I am somewhat reluctant to endorse that without qualification, and if I may, I think I will steal Professor McAdams' phrase - 'devil's advocate'.

Number 5) The Board is a protective shield: It exists to take some of the heat and the flack directed at the Librarian for unpopular decisions. I have to quarrel with that provided it is understood that this is not our sole function, and not our most important one. But when the Board is consulted and its views are

listened to, as they were, for example, recently in the matter of imposing a borrower's fee in the endowed libraries, we should be prepared to be used in this fashion. Number 6) The Board is space crazy. There is some truth to this, too. The crowded conditions in many parts of the library system are all too apparent, and it seems, on paper at least, that the Board should be able to serve a useful function in helping to set priorities for alleviating these conditions. But thus far we have by and large been unable to begin what I would call constructive worrying on this question. It may be that the library system and the University both are just too diversified and too decentralized for the Board to be useful in this area. Number 7) The Board is a benighted Luddite with its collective head in the medieval sand. To which I respond, not so. The Board did oppose joining the Research Libraries Group four years ago but our objections to RLG were not based on antipathy to modern technology or to the idea of cooperative networks of libraries, both of which seem to us all quite essential, but rather to timing and strategy. We had doubts about the RLG itself and about the University's manner of funding this new and very expensive commitment. Some of these concerns have been met, at least in part, but enough of them remain to justify the Board's continuing interest, which has been expressed repeatedly in the last couple of years, particularly last year when we interviewed the former interim president of the RLG to try to get an insider's view of where this organization was going and where Cornell would fit within its developing plans. Number 8) The Board is an advocate of the library. Naturally. This almost goes without saying. It

falls, I take it, under the heading of our charge from the FCR to assist the librarian. In that respect, we are not impartial, are not disinterested, and we are certainly not indifferent. Number 9) The Board should be Solomon: it should decide on allocating resources among the various library units or the various academic disciplines. This would be, in my judgment, a major departure from our present mode of operation, and it lies well beyond even the most liberal interpretation of our charge. Even if one could think of playing Solomon in the recommendatory mode (whatever that would be), even that would be moving into unfamiliar territory. Nevertheless, having hinted at what I think of as serious problems in going that route, I would like to say that I don't think it is a conception to be dismissed out of hand; it is something I would like to bring up before the Board at some later time this year.

"My last item is designed to lead into Lou Martin's statement: the Board should help to promote more rational coordination of academic programs and library resources. Yes, of course, at least in principle. This is an aspect of our function of representing the library, not to the administration now, but to the faculty. It is something that we have been doing but only in a casual, unsystematic way."

Louis Martin, University Librarian: "Thanks, Barry. I think I've got about 2 1/2 minutes, Mr. Speaker, so I'll try to be concise - an almost impossible task for me, but we'll give it a whack.

"The Cornell library system is a rather unique system. All the forces are centrifugal, but it somehow manages to operate as a system, both on the endowed and statutory sides.

"A comment or two about history. Back in the late forties and early fifties, a very strong group of librarians was bent upon building a University library system that would be 'world class', the phrase of the former Director of Libraries, Stephen McCarthy, and the great bookman who helped build the present collections, Felix Reichmann. We now face the task of maintaining that world-class status, at a time when the University administration has said that we can't do business as usual; that major university research libraries are going to have to come up with a plan of operation that somehow speaks to the question of limited financial resources; and that the growth of the fifties and sixties was a phenomenon not to be repeated. The President has asked the University Librarian to give him a game plan within a couple of months that will tell us how to maintain our scholarly resources, our contribution to research, not only here at Cornell, but elsewhere. That is no small task.

"The problem that Chairman Adams refers to is that the library is largely a reactive mechanism throughout the University system. We generally don't sit at the council tables at which program decisions are made. At Cornell, as you well know -- probably better than I -- program decisions are not made at the level of the provost, often not even at the level of the dean, but rather they are made at the department level, or the center level. The library costs related to those program decisions are then passed on - not to the decision makers - but at least on the endowed side, to a central funding authority. This makes great demands on the unrestricted general purpose budget that Professor McAdams was talking about.

That is an intolerable situation in a library system as diverse and as decentralized as Cornell's endowed libraries are. I speak of the endowed libraries because on the statutory side the ecologists must pay the piper for the program decisions because they pay the bill for their libraries the reference is under. What I will be attempting to do with the help of the Board -- we still don't quite know how to do it, as Chairman Adams pointed out -- is to try to work the library into the planning mechanisms at the various faculty levels, whether they be the department, the center, or the school, to let people know that these program decisions have serious consequences for the library, and unless some thought is given at the time of program initiation, the library is not going to be able to maintain the support of these programs as it has in the past.

"There has been a good deal of concern about what is perceived as the diminishing excellence of the Cornell libraries over the last ten to twelve years. I would take issue with that perception. I really think the library services throughout the system are probably better than they were ten years ago. There's no doubt that some of the collections have suffered, especially over the last five or six years. What is clear from my chair is that unless we have some effective planning mechanism -- not ironclad, it can't be in a university as diverse as this -- but a mechanism that recognizes that faculty decisions, whether they be about peace studies, Japanese studies, the Biotechnology Institute or what have you, library costs are going to be there, and the University has to have some means of coming to grips with understanding that before the library is put into the position of having to say 'no'. We will be making every

effort through my office, through Chairman Adams' office, to meet with faculty through the coming eighteen months to two years to get your thoughts on how the library can meet that need, on how we can look forward rather than backward, and on how we can maintain what is an unusually fine library system -- certainly one of the best in this country. The difficulty will be to maintain it in its service to scholarship."

Speaker Martin: "We are on schedule. Thank you." He then called on Associate Professor George Scheele, Chemical Engineering, Chairman of the Research Policies Committee, and Robert Barker, Vice President for Research and Advanced Studies.

5. REPORT FROM RESEARCH POLICIES COMMITTEE

George Scheele: "What I'd like to do in the few remaining minutes is to discuss briefly some of the matters that the Research Policies Committee is currently considering. I think that will give you a bit of the flavor for the activities that we undertake. Many of these matters are in rather preliminary stages, and so the information I give out may not be extensive. Vice President Barker is here and may wish to expand a bit on the remarks that I'm going to make, and we'll both be happy to try to respond to any questions that you might have. If any of these matters is of particular interest or concern to you, we'd be happy - delighted - to hear from you and to have your input.

"I should tell you who the members of our Committee are: Joanne Fortune, Veterinary Physiology; Jack Blakely, Materials Science and Engineering; George Hay, Law and Economics; myself; Wes Gunkel, Agricultural Engineering; Peter Gierasch, Astronomy; and Betty Lewis, Human Ecology. We also have as ex officio members,

the Vice President for Research, Bob Barker, and the Dean of the Faculty. One thing that is important to mention is that we've been very fortunate in the relationships that our Committee has had with the Vice Presidents for Research - last year, Don Cooke, this year, Bob Barker. They have done an excellent job of keeping us informed about what is going on in the administration. We certainly listen to them, but we have found that they also listen to us and consider our advice seriously.

"I'll talk about four matters that are now before us. The first, which many of you may be familiar with, is the proposed Theory and Engineering Simulation Science Center. This is an activity that ultimately may involve as many as 500 researchers and graduate students on the campus, so its impact on Cornell is likely to be large. We have briefly reviewed two preliminary proposals that have been brought to our Committee. The Center envisions not only bringing a large number of researchers together, but also developing a network for computing and developing large scale computing facilities that have a power that's 100 to 1000 times greater than that of existing super computers. A recent letter to faculty in Engineering and Science from Phil Holmes and Ken Wilson informed many of our colleagues about the nature of this proposed facility. It envisions support from the Government; it also envisions -- much like the Biotechnology Center -- industrial involvement in the programs. There's a steering committee of about 20 people currently involved in developing the proposal and making preliminary contacts. Both our Committee and the Committee on Academic Programs and Policies, which ultimately must review and recommend to the FCR action on proposed centers, have requested a

meeting with Bob Barker and members of the steering committee to discuss the Center in more detail before a formal proposal is developed. Faculty members on both committees have indicated concern about the impact that this operation may have. In the first draft that we saw, a figure of 90 to 100 million dollars was mentioned to support the activities.

"A second area in which we're involved is the question of research overhead or indirect cost recovery, which is, of course, of particular interest to research investigators. Last spring, largely in response to the dramatic increase in the overhead rate, some faculty asked our Committee to look into this question. It's a complex one. It's not clear that it's very well understood by anyone - faculty or administration - but there are people who know how to do the calculations given the formulas. It's an overwhelming task for our Committee, and so we are relying on others for help. Much of that assistance will come from the Research Council established by Vice President Barker to advise him. Our Committee is represented on that Research Council. Their first task has been to start looking at the costs associated with research. Then, after gathering that information, they hope to develop a rational model for recovering these costs and to compare that model with what's presently being done. One of the things that really isn't known is, are the costs of research being recovered adequately? Are the costs recovered subsidizing other parts of the University or not? And so, depending upon the results of that study, one could imagine some major changes ahead for the University. This is a matter that affects not only the principal investigators, who, of course, want to keep the overhead costs down, but also the administration, which

some people feel, want to keep them high to generate income. I think there's a proper balance there, but it's a very difficult question to look at. I should also mention that there are other people on campus interested in looking at this problem. The Science, Technology and Society Program has indicated some interest in this area, and the University Assembly also has some interest in aspects of the problem.

"The first two topics I have discussed affect not only the research community but also other parts of the University, at least indirectly. In talking with Bob Barker this morning, he told me that he's trying to improve the interface between the humanists and his office and has been meeting with the Dean of the College of Arts and Sciences to discuss ways of accomplishing this. He may want to say more about that. While our Committee is concerned specifically with research policies, we certainly also are aware of and think about the impact these can have on other parts of the University operation.

"Another matter that we're concerned with is conflict of interest guidelines. This has occupied the Committee's attention for the past two years. Discussions last year with Vice President Cooke focused primarily on University/industry relationships. One question considered was, should the University enter into commercial development of research that has been carried on by faculty, as has been done at some universities? Another was, is it appropriate for faculty members to serve on corporate boards of directors? In March of last year, Don Cooke presented a draft entitled, 'Guidelines for Assessing Conflicts of Interest and Commitment in Arrangements with Corporations.' Drawing on that statement and similar statements

at other universities, including Yale and Harvard, the University Counsel's office this summer drew up expanded conflict of interest guidelines, which included broader considerations than just university/industry relationships. The guidelines considered financial conflicts and also conflicts of commitment, where one was too heavily involved in other matters to serve the University properly. Attempts were made in that document to determine acceptable, questionable, and unacceptable conflicts of interest. The Vice President has been reviewing the guidelines and hopes to have a document for consideration by our Committee in the near future.

"An even broader issue is the last one I'll mention, and that's the question of integrity in research and scholarship. This is a problem that's receiving attention in a lot of places at the moment. The General Committee is looking into aspects related to graduate students, the University Computing Board is considering aspects related to computer programs, and we are emphasizing the responsibility of the faculty members. Again, there is an interim policy on integrity in University research drafted by the University Counsel's office this past summer. That policy has been considered briefly by our Committee, which feels that there is an overemphasis on procedures and a lack of emphasis on identifying and trying to minimize the causes and occurrences of academic fraud. This is a subject that is going to be receiving serious attention during the coming year.

"These are the major issues I wanted to discuss with you. Some of them may be of interest to you, and we'd be delighted to have your input."

Professor Lynn: "George, I'm just curious. At who's initiative did the Counsel's office undertake to write either a conflict of interest statement or - what was the other one - integrity?"

Professor Scheele: "I really don't know the answer to that one. All I know is that I've seen drafts of both. It was not at the instigation of our Committee."

Dean Bugliari: "It wasn't at the instigation of my office, either. I think he had someone who was an intern this summer who was here and interested in that topic, and, therefore, did it. I don't believe that it was done in any other way."

Professor Scheele: "But it has stimulated some thinking, and there certainly is concern on the part of the administration that we should have a policy in place in case it's needed. In other words, rather than reacting to an event that's already occurred, it would be nice if we had thought about it in advance."

Robert Barker: "I spent a few hours, Walter, on the weekend editing it, and my first move with it after it's retyped is to give it to the Research Policies Committee because I really think that there's enough of a start there for that Committee to take hold of it and perhaps come back here with recommendations. I don't know where it came from."

"I would like to say just a couple of things. One is that the proposal about the Theory Center - I've been involved with that since I came into my new job in July, and my intent is to try to get in front of the faculty a clear statement of what is being proposed. By saying that, I don't think that it was unclear, but it is a very large thing, both conceptually and in terms of its

implications, and until we can get a clearer statement there, it would not have been productive for anyone to really put in front of the faculty. George, I think, correctly identifies that we're reaching a point where the thinking of the various people who began that is to a point where the ideas can be laid forward rather clearly, and it's absolutely certain that it will come to this body as part of the process, and I hope that it might be passed in front of this group as early as the beginning of January - the sooner the better. I don't want, if we're going to do something significant about it, I would prefer it in December rather than January, but that may be a little over ambitious in terms of time.

"One further thing, I have been discussing with Dean Seznec how to try to structure and make an effective relationship between my office and the humanities. There clearly is a lack of contact there, and I want to try to find out if we can do something to significantly improve that. Those of you who are in those fields might not yourselves be involved in discussions during the next several weeks, but some of your representatives will be, particularly those who represent the graduate students in that area."

Speaker Martin: "We have time for one more question. Yes."

Professor Antonie Blackler, Genetics and Development: "I want to ask a question of Professor Scheele. Could you tell me how many times in the last year this Research Policies Committee has met? What kind of frequency?"

Professor Scheele: "Last year I would guess we met about four times. I'm not positive of that, and in fact, a major accomplishment of the Committee was probably planning the dinner for Vice President Cooke's stepping down. I just mention that in

passing with no comment. But this promises to be a good year for us. Certainly, if nothing else, the Theory and Simulation Center is going to be a paramount of activity."

Speaker Martin: "All right. Our thanks to all the participants. We are adjourned."

Meeting adjourned: 5:59 p.m.

Respectfully submitted,

Fran Herman, Secretary



Office of Admissions
CORNELL UNIVERSITY
410 THURSTON AVENUE
ITHACA, N.Y. 14850
(607) 256-5241

CORNELL UNIVERSITY

PROFILE FOR THE CLASS OF 1987

Cornell's Seven Undergraduate Schools/Colleges:

Endowed Divisions

AAP = Architecture, Art and Planning

A&S = Arts and Sciences

Engin = Engineering

Hotel = Hotel Administration

Statutory Divisions

ALS = Agriculture and Life Sciences

HumEc = Human Ecology

I&LR = Industrial and Labor Relations

The purpose of the profile is to give students, counselors, and parents a general idea of the admissions statistics of currently enrolled freshmen. It should be used as a guide, not a rule. Other factors such as secondary school curriculum and performance, special talents, extra-curricular activities, essays, and interviews are important considerations in the selection process.

	AAP	A&S	Engin	Hotel	ALS	HumEc	I&LR	TOTAL	Number of Applications by School
Applications	560	7801	4773	745	2908	945	476	18,208	
Acceptances	147	2567	1405	193	1004	347	181	5,844	
Enrolled Freshmen	90	990	600	149	630	229	125	2,813	

	AAP	A&S	Engin	Hotel	ALS	HumEc	I&LR	Total	Cumulative	High School Class Rank of Enrolled Freshmen (%)
Top 10%	60.2	84.1	87.2	39.1	80.9	67.1	55.5	77.9	77.9	
Second 10%	18.1	10.2	8.2	30.8	12.3	24.2	28.2	13.7	91.6	
3rd & 4th 10%	13.3	4.3	4.0	23.3	6.4	7.3	9.1	6.6	98.2	
5th-10th 10%	8.4	1.4	0.6	6.8	0.5	1.4	7.3	1.8	100.0	
No Rank Reported	17.0	21.6	13.0	17.4	10.2	9.1	14.7	15.4		

	AAP	A&S	Engin	Hotel	ALS	HumEc	I&LR	TOTAL	Scholastic Aptitude Tests (SATs) of Enrolled Freshmen (%)
VERBAL									
700-800	1.0	14.6	7.1	1.9	5.9	2.6	8.8	8.6	
650-699	7.3	24.5	14.8	6.3	11.9	9.4	20.8	16.6	
600-649	19.8	26.1	25.9	12.0	22.7	21.4	30.4	24.1	
550-599	26.0	19.6	23.2	19.0	23.0	27.4	21.6	22.1	
500-549	15.6	9.3	15.2	32.3	18.7	22.7	5.6	15.1	
400-499	26.0	5.2	11.1	26.6	15.3	15.4	9.6	11.7	
200-399	4.2	0.8	2.7	1.9	2.5	1.3	3.2	1.9	
No Report*	4.0	0.6	1.3	1.9	2.7	2.9	3.1	1.7	
Mean	543	618	582	533	570	563	599	587	

	AAP	A&S	Engin	Hotel	ALS	HumEc	I&LR	TOTAL	Special Statistics
MATH									
700-800	12.5	32.6	62.8	5.1	19.8	9.0	10.4	30.9	
650-699	27.0	28.1	22.9	19.0	25.4	23.5	29.6	25.5	
600-649	25.0	20.1	9.4	31.7	27.5	28.6	27.2	21.4	
550-599	17.7	11.4	3.4	24.7	16.5	24.8	14.4	13.1	
500-549	9.4	5.3	1.0	15.8	7.6	11.5	9.6	6.4	
400-499	7.3	2.2	0.5	3.8	3.3	2.6	7.2	2.6	
200-399	1.0	0.2	0.0	0.0	0.0	0.0	1.6	0.2	
No Report*	4.0	0.6	1.3	1.9	2.6	2.9	3.1	1.7	
Mean	616	657	705	602	635	614	612	652	

Women: 48%
Men: 52%

Alumni Children:
372 representing 13.2% of the freshman class

Minority Students:
489 representing 17.4% of the freshman class

Early Decision:
456 representing 16.2% of the freshman class

Financial Aid:
73.6% of the freshman class is receiving financial aid

Geographic Distribution:
46 states and 35 foreign countries

*Some students opted to submit ACT scores to fulfill standardized test requirement.

December 14, 1983

110 Ives Hall

"That society is great in which men [and women] of business think greatly of their function."

Alfred North Whitehead

The Speaker, Russell D. Martin, called the meeting to order at 4:32 p.m. He called on the Dean of the Faculty, Joseph B. Bugliari.

1. ANNOUNCEMENTS

Dean Bugliari: "I just want to make two announcements and make one statement. Let me say first that you will be getting in the mail in a day or two, two items. One is sort of a little reminder that this is the time of the year when we have to be vigilant about academic integrity issues. We've had a number of rather serious problems that have come up in the last week or so in situations where we have had a large number of students somehow allegedly or, in fact, getting access to exams, and I just want to alert you about that problem and ask you to take precautions to preserve the security of your exams.

"The second thing is that in the first two weeks of January we will be having eight days of programs on computers through the help of Agelia Velleman and Gordon Galloway from Computer Services. The programs are for faculty members, and they will go for one week and then be repeated the second week. One of the assumptions is that some of the faculty members may know even less about computing than I do, which is zero, and if you are interested, we ask you to sign up and let us know. It is cost free in most instances, and if you would like to come, we're handling the registration, we'll provide coffee and so forth. We hope you might be interested in coming.

"The third thing is that I would like to, in advance, since I know you'll escape at the end, thank the three people who have agreed to be on our program today - Hal Craft, Bob Matyas, and Ken King, who will be here later. I really think we owe you a great deal of thanks for spending part of your time coming over and telling us what is going on in your areas. Now, I'll turn it over to Russ."

Speaker Martin: "Are there any questions for the Dean before we proceed? If not, as Joe has mentioned, there will be three program presentations. The first is from Harold D. Craft, Jr., Director of Telecommunications, who will talk about telephones."

2. PRESENTATION ON TELEPHONES

Mr. Craft: "I'm on the agenda to talk about telephones, and I assume that means nothing whatsoever to do with the present telephone system, but rather to talk to you about the new telephone system that my Department at the University is planning. I will be fairly brief and spare you the details of this system, but rather try to give you in just a few minutes an overview of what it is we are trying to do from a hardware and an instrumentation point of view; what are we trying to accomplish by doing this - on the barest level, what's in it for you, specifically; and then also describe to you the status of the project as it is now and as I see things progressing in the future.

"We're talking about a new telephone system - entirely new telephone system - for the University, a campus-wide unified system. What is it we are trying to accomplish? Why are we thinking about doing such a thing? We really have four objectives in mind. The principal one is to stabilize communication costs throughout the University. Without question communication costs throughout the

University have skyrocketed over the last several years. The volatility of the telecommunications industry right now - the divestiture of AT&T - among other things, does not suggest that prices are going to stabilize or go down. I think we can expect to see them go up. The intent is to insulate ourselves a bit from all the volatility in the outside world by bringing in our own system. We want to stabilize - perhaps reduce - but certainly stabilize, communication costs. Secondly, we want to improve voice communication services throughout the University; the present telephone service provided the University as telephone service goes, and as telephone service can be provided, is absolutely appalling. On the other hand, we are used to it, we know how to work it, so it may not be conspicuous to us just how bad the service really is. I'll say something about that in a moment or two.

"The third reason is the necessity, in my view, to provide much greater data transmission capabilities throughout the entire University than is currently there. In that sense, a new telephone system can provide a ubiquitous, medium-speed data communication highway that will go everywhere on the campus, to anywhere else on the campus. In that regard, from the data communications point of view, the telecommunication system - the telephone system - is intended to go in as part of an overall University communications plan that will embody both voice and data medium and high-speed data transmission.

"What we're doing, incidentally, is not new at all; universities are doing this - have done it - successfully in the past. RPI has just put in their own system; Ithaca College owns its own systems; Stanford and Yale are about one month ahead of us in decision on a

vendor. UCLA owns its own system, and I could go on and on. Duke University, incidentally, has owned its own system since 1929. The scope of the project for Cornell University is neither small nor trivial. What we are talking about is owning, maintaining, administering our own campus-wide telecommunication system. In essence, we are talking about setting up the Cornell Bell - Cornell Telephone System - an independent telephone company, and the size of the system at Cornell University is about 11,000 lines. That is larger than many of the independent telephone companies in the world - certainly larger than the service in many towns in the U.S. So, it is not trivial. We're talking about owning our own instruments, our own building wire, our own underground plant, and, of course, the heart of it all, is a computer controlled digital telephone switch - a communication switch. We would become, in a sense, a communication island then. When we need to communicate with the outside world, we would still maintain that connection with the New York Telephone System - with AT&T - through maintaining our WATS lines, our FX lines, and the local dialing system: obviously we will not be isolated from the outside world. The WATS box functions that we have now and that you've all grown to love, I'm sure, would be incorporated in a transparent way within the new telecommunications system. It is an immense project, and it is one, I think, perhaps, unusual in Cornell's history in that it will touch absolutely everyone on campus in one way or another and will affect the way that everyone on campus does their business forevermore. So we want to do it very carefully and thoughtfully, and we are trying to do precisely that. The bottom line - one of the bottom lines anyway - is what's in it for you. I said the principal reason for doing this is to stabilize communication costs, and in the long run,

reduce them. The benefits of that to the University, I think, are obvious; I'm not going to pursue them. But because I'm not going to pursue them doesn't mean that they're insignificant. That is, the principal impetus to put in this sort of system is to save substantial amounts of money. We will be providing better voice service throughout campus - seemingly a trivial thing - but when I look at the service that is provided throughout the campus, can just feel myself how much the University is wasting in lost productivity and lost manpower and lost time by the faculty by fiddling around with a telephone system that is inappropriate. We have, among other things, department chairmen answering the phones for their faculty when the secretary is out. This sort of stuff is just totally nuts.

"We will be providing all touch-tone service throughout campus. It will be a much more uniform system than you presently see. There all all kinds of different levels of services available in the University now - from single line rotary sets to push-button sets to Com Keys, which are rows of buttons on the sides, to really whiz bang things you buy yourself. All of that would be replaced essentially with a single line touch-tone telephone which will have much more power within it than all of the fanciest phones that are currently available on campus. Electronic phones will be available also, principally for secretaries and those who have to answer or screen many lines. It will be a much simpler system. As I said, the Wats system and also the Federal Telecommunications System - for those of you who can use that service - will probably be incorporated within the system so that you can make calls on that

without having to specify what you're doing. If you make a long distance call, it will automatically go over WATS, and it will be the same - you will dial it the same as you do from your home. It will be flexible call screening - that is, you can have someone answer your phone if you want, or not, if you want. You will be able to be reached in the evening after hours, which currently is a problem in many parts of the University. There will be call forwarding, of course, which allows you to send your calls to a laboratory should you be somewhere else, and if you have multiple offices on campus, you can have your calls sent to where you will be at that particular time, or send them to the office where you will not be at that particular time. It depends on how you want to work it, but that can be changed moment to moment. It is entirely flexible.

"Call conferencing which is not now available here on campus is a very powerful tool, easily obtained in the new system. It will be there - a new tool, I think, that will have to be learned to be used. And moving phones around, moving offices around is essentially trivial - it's just a software change back at the main switch. In fact, you can pick up your phone and carry it right with you and plug it into another jack, and you're ready to go.

"Data capabilities, in a sense, come automatically with the new system. As far as the telephone switch is concerned, data and voice are indistinguishable. We take advantage of that. The new telephone system will provide the capability of providing 56 kilobits, 56,000 bit per second data transmission from any telephone station on the campus. That speed is probably 20 to 30 times faster than

the cruising speed on campus now. It will be really quite useful for many, many applications - not all. There will be some high speed applications that will have to go elsewhere other than through the telephone system, but that will provide, among other things, a ubiquitous access to local on-campus nets, for example, should the Engineering College put in a local network, should the Chemistry Department - you name it - wherever those nets spring up, you may want to have access to them from a remote location, from your home, for example. You can dial into the University system and then access through a gateway into those data networks. That capability will be at each phone. On the other hand, we realize that we don't really know at the present time exactly where that capability is going to be required, so we'll exercise it where it seems appropriate, and we will not pay for it in advance, so, you're not paying, in a sense, for a capability that will be unused. That in a broad sense is the scope and the capabilities of the system we are looking for. We sent out a request for proposals at the end of June, to ten prequalified vendors and we now have in hand ten proposals for a campus-wide telephone system, including the dormitories. All of the proposals look good; we did not send the RFP to any small corporations. So, it's not surprising that the vendors responded with quality proposals to us. They are all experienced corporations; they are all operating telephone companies; they are major equipment manufacturers. The costs of these systems are about as we expected, so we're still on track in that regard. The proposals are now being reviewed by a couple of the technical and business review groups, which include a fair representation of the units across campus.

"I'm reluctant to make any commitments on schedule at this time, even a tentative schedule, because somehow that becomes cast in concrete and gets recorded, and comes back to haunt me. On the other hand, I think you need to have some sort of feel of when the new system would go in. We are shooting, tentatively anyway, to have the new system installed and working by late summer or fall of 1985. It may be later than that; it depends upon the vendor we select to do the job. It's not likely to be earlier than that because we cannot get the special circuits we need from New York Telephone until the summer of 1985. Between now and then, should we decide to go ahead with this project, there will be a lot of activity on campus, and I think you will all be involved in one way or another. I should say that we're going to put this system in parallel to the present system, so there will be no disruption, at least no disruption in service. On the other hand, we will be rewiring every building and putting in new conduits all over the University, so it will be a conspicuous project when it goes forward. Furthermore, now we have to go out to each individual department and describe the capabilities that we have and begin to think about precisely what kind of service we want - who gets what sorts of phones, who wants electronic phones, who needs data transmission capability, what speeds, and so forth. The entire community is going to be involved in that. Finally, when the system is installed, and just before it begins to work, the entire community will be involved in a fairly important training program. People often look at me and smile: 'Telephone? I've been using one for however many years.' In that sense, I say please bear with me because the new telephone system will do things that are not terribly conspicuous,

not obvious, you just need 5 or 10 minutes to go through a training program to discover what they are. To open the joys of telecommunications training plays an important part. Between now and then, also, we will have to maintain and ride with the present Bell system. That may be an interesting experience for the next year and a half. I'm just not sure how that's going to go. We will see probably changes in service, changes in administration, changes in price. I know that the ubiquitous six-button phone - the black phone with the six buttons across the bottom - is going to be removed from service by the telephone company. It hasn't been manufactured for two years, and it's no longer being supported, and we have a jillion of those on campus. It's going to be interesting for the next few years; we are getting started on this project, or involved in this project, none too soon, as far as I'm concerned.

"That is a very broad, a very rough broad overview. I'm available to answer any questions, should there be any."

Speaker Martin: "Are there any questions for Mr. Craft? Yes. For the Secretary's benefit, please give your name and department if you have a question."

Assistant Professor Gary M. Dunny, Veterinary Microbiology: "The Vet College purchased a phone system about a year ago. I was just wondering how that system is going to fit in with the new phone system?"

Craft: "An interesting question. Cornell presently owns 20% of its phones, and the system at the Veterinary College is the largest single system on campus. At the very worst, that system will interface with the University phone system in the same way the present

system interfaces with the Bell Centrex System. On the other hand, we're going to do everything we can within reasonable cost to make the Veterinary College system totally transparent to the University. I'm not sure we can do that, frankly. That may be technically very difficult."

Professor Bernard Stanton, Agricultural Economics: "Can you tell us who and how it's going to be paid for?"

Craft: "That's the question that I'm really not qualified to answer. However, when we do cost analyses, what I've assumed is that we take whatever payment stream - cash flow - that presently goes to New York Telephone, and just divert it to pay off either lease costs or a long-term debt."

Associate Professor Alan McAdams, Graduate School of Management: "Is it possible to use this communication mechanism as the local map?"

Craft: "That's right. On the other hand, there will be a limit in the speed that you'll be able to transmit through the telephone system, and if that's adequate for your purposes, then the phone system is there, and use it. If that's not adequate, on the other hand, then we will set up an independent network that can be accessed, perhaps, by lower speed terminals through the phone system, that's 56 - presently the limit."

McAdams: "You say that we'd be changing over by fall of 1985. Is it possible to have priority changeovers such that particular areas within the University where new local nets are very useful or imperative, to establish such a local net for data transmission, at least, prior to the fall of '85?"

Craft: "I don't know, Alan. I think it's a good possibility. We'll be putting in the system parallel with the present systems, so there will be large portions of the new system operating long before the late summer of 1985. If we choose those areas, specifically, then we can satisfy that requirement. But, I'm not sure how much in advance of the 1985 date we'll have those set up."

McAdams: "The impression I get is that we're likely to have a lot of new microcomputers on campus in the next year or so, and if those could be put into a system, they'd be enormously more useful than they are as stand-alones. And so, if we could try to build that with planning, it would seem to be desirable."

Craft: "Frankly, I think the scheduling is going to be close - not impossible - but it is going to be close."

Speaker Martin: "Thank you very much, Hal. Next we have Robert M. Matyas, Vice-President for Facilities and Business Operations, to talk with us about buildings and maintenance. Bob."

3. PRESENTATION ON BUILDINGS AND MAINTENANCE

Matyas: "Thank you. I brought some slides. The Dean of the Faculty asked me to give you some insight into what happens backstage, and I thought the best way, in a short time, is to just run through some slides and give you a perspective of what we're doing, and then we can take some questions." [Note: Thereupon followed a series of photos revealing Cornell's subterranean passages and other sights (sites) normally hidden from view. Vice-President Matyas' commentary, somewhat abbreviated, follows.]

"The campus consists of 400 acres here in Ithaca, and we have 200 major buildings. The buildings are covered with 65 acres of roof. We have a lot of roofs, and if you consider that in any roofing system, in its lifetime, 2% of it is defective, at any time, therefore, I have 1.2 acres of hole. We also have 38 acres of paving. Underlying the campus, there are 36 miles of sewer line, 20 miles of steam lines, 25 miles of water lines, 9 miles of chilled water. Unfortunately, all of these miles of utilities are underground. Unlike a lot of new institutions where they have utility tunnels, we're direct burial. So, you'll constantly see us doing deep tilling around here. We try to minimize the problem, but that's the way we are. We essentially own our own utility company. Unlike Yale and Harvard, where they live in large cities, we live in a marvelous small town in upstate New York, and we are the utility company in a sense. Electrically, for example, we own our own electrical distribution, and we buy most of our electricity wholesale from NYSEG. But we are a very sophisticated city. We have 25,000 people who work and live here.

"Another utility is central heating. We pipe this around the campus. This past year we manufactured and exported one billion pounds of steam for heating and process. To give you a comparison: When the oil embargo hit in 1972-73, we were producing and piping around one and a half billion pounds of steam. So, in ten years we've reduced the steam production by half a million pounds of steam, despite the fact in that period of time we added a half million square feet of new plant. That's energy conservation in spades, and we continue to work at it. The University took on the energy

conservation program at a time when we were virtually bankrupt in the early seventies, but it has paid off. Had we not done that, the amount of money we would need in endowment to pay the heating bills today would be enormous.

"Next, we go inside the boiler plant. There are 6 boilers. The big fellow is boiler number 8. We burn a lot of coal. We're on three fuels. We burn oil, gas, and coal - the dominant fuel is coal. We've been installing pollution abatement machinery in the plants on a continuous basis. We also make our own drinking water. We take the water out of Fall Creek, and we have a rather old but venerable water plant, and we produce two and a half million gallons of drinking water every day. This is one of the settling tanks. There are some beautiful marble controls with bronze fittings, and they still work. We are a certified water testing laboratory; we maintain our own testing facilities, and we test for local communities as well. Another utility is chilled water. We have, as I said, nine miles of chilled water piping around town, and it's principally used for process and air conditioning where air conditioning is required by the high density use of the building under the building code. There are three chilled water plants on the campus, and they are all interconnected. So, if one goes down, we can backfill with another.

"Recently, we reopened the old hydroelectric plant at the bottom of the gorge, right under the suspension bridge. It was abandoned in the fifties or early sixties because NYSEG was producing electricity cheaper than this plant could. We have made it into a brand new automatic plant. There is no attendant; it is all done remotely,

and last year those two little turbans produced \$300,000 worth of electricity, which is about 6% of our need. In addition, I could tell you that we have a project we are taking to the trustees in January to do a co-generation program. That's where we make electricity as a by-product of our heating plant. The co-generation plant will be about five and a half million dollars worth of investment, and it will produce annually 1.2 million dollars worth of electricity. The payback is on the order of 4 or 5 years. Most of our buildings have solid state control boards. We now have to have a shop that regularly maintains the electronics.

"We're self-insured at Cornell, essentially self-insured, and as a consequence of that, we have beefed up substantially our Life Safety people and our inspectors. We have a rather sophisticated Life Safety group now. They do environmental testing and fire extinguisher work. We have an in-house architectural team. And an in-house engineering team. We maintain this campus, or we try to, by patching, doing some roof work, remodeling. We have a machine shop. And a welding shop. We clean 147 acres with 250 people, and that works out to 30,000 feet per person, which is well above the average of our sister institutions and well above the SUNY standards. In addition to that, we take care of the plantation: we sweep it, we sow seed, we trim, we mow the grass, we plow, we shovel.

"We have a telephone system which is the Centrex that Hal Craft mentioned, and we provide a Centrex operators group. This will change. We have an electronic directory system. We have a campus mail system, which delivers 50,000 pieces of campus mail every week.

We have a laundry. The Laundry did a half million pounds of laundry last year. The Travel Office in Day Hall is not the only travel service we use. As some of you know, we encourage you to use some of the people downtown, and, let's see, we issued last year 8,000 tickets worth 1.8 million dollars. General Stores - carries 6,500 items, largely items that we can buy wholesale cheaper or they're difficult to find in this locale. They filled 40,000 orders last year. Lou Roscoe is the University architect, and he's charged with campus planning, works with the Campus Planning Committee, the Facilities Resource Committee, and the Buildings and Properties Committee of the Board. He's always trying to keep track of where buildings should go, where traffic is going, where utilities need to be placed or where they are, if they might be in the way of a building that is proposed.

"Donna Raynsford runs the Capital Projects Center, and at the moment, she's juggling 40 million dollars worth of capital works on this campus.

"It's a remarkable campus, very sophisticated. It needs a lot of care. We need a lot of help from you people to know where it needs care. So, don't be bashful; some of you aren't. And, keep it up. Thank you."

Speaker Martin: "Are there any questions for Mr. Matyas?"

Associate Professor Henry H. Hagedorn, Entomology: "I walked into the University the other day, and I walked down the path that's near Beebe Lake and up through the hill to the observatory. That path is a very dangerous one in the winter, and I would like to call your attention to it. It really just needs some care."

Matyas: "Is this on the north side of Beebe Lake?"

Hagedorn: "It's on the north side."

Matyas: "Okay. Well, you've just informed me. But let me take the opportunity to say, please don't wait for an occasion like this. Call Life Safety Services and put it on notice, and they'll write it up. At least get it on the docket, and we'll review it. We have project directors' meetings every Monday, and it's a three-hour session to look at all of the input, requests or trouble calls. We really need you to let us know what's happening around here. We simply don't have the budget to have people running around in great depth, so let's hear from you."

Associate Professor James M. Burlitch, Chemistry: "In the past, Bob, as you may know, I have spoken about the quantity of salt used on this campus, and I'll say it again because I think it's too much. You might have shown slides of some workers laying out new turf near the road where the salt has burned it off, and this happens roughly every year and it happens to my car about every two years, in about the same way, and I guess I just wondered whether there were any plans to cut down on the use of salt, and spare us all."

Matyas: "That's a good question because I've got an answer this time. It has been of great concern to a lot of people, and we have just had approved a project for what is called 'grit storage'. We're going to build a storage building out in the warehouse area in back of the apple orchard, and we're going to store dried grit - course sand - and other melting materials including salt. We did a very serious study on salt because, in my mind, we were paying

dearly for that salt in damage to the campus. It happens to be a pet project of mine, and I think you have seen already a marked reduction in the use of salt, and we've gone to Urea, which is very expensive but, I think, in the long run it's a good investment. The grit storage building is so you can keep grit - sand, if you will, or cinders - dry, so they can be put in the spreading hoppers and used instead of clinkering up and freezing up. So, we're on the way to do that. Let me ask you for some help, too. There is one area that I haven't been very good at controlling because there are a lot of independent operations here, and for perhaps good reasons - maybe somebody didn't get to a path or a staircase - and they will go out and buy a bag of salt and throw it around; we are impounding salt bags in buildings all the time. One of the worst examples of the abuse of salt is in front of the addition to the Graduate School of Management. We put down a brand new sidewalk there. Somebody locally threw salt on it before the cure was on and destroyed the sidewalk. That's costing a great deal of money, and, therefore, I can rationalize buying Urea at five times the cost - or ten times the cost - because I've just lost a \$30,000 sidewalk. We're on to it, Jim."

Professor P.C.T. deBoer, Mechanical and Aerospace Engineering:
"A lot of us are wondering why you don't go to utility tunnels rather than digging up the ground all the time?"

"Matyas: "I looked at that about seven years ago, and it looked like a 120 million dollar investment; it's still out of the question."

deBoer: "Isn't it something that could be done gradually?"

Matyas: "Well, I tried about three years ago another program and it didn't work - that is, whenever we built a new building, we would dedicate sub-basement space to utility conduits and the like, and I've had marginal success with that, but the one that I had a real opportunity to do is Bio Sci, and it got stripped out of the budget as not relating to Bio Sci. What I was hoping for was a block-long tunnel. I didn't sell it. But it's something of great concern to us - to be able to walk through those tunnels and maintain them rather than maintain them with a backhoe. It's very important to us."

Speaker Martin: "Professor McAdams, you aren't the one who put the salt on the sidewalk of the Graduate School of Management, are you?"

McAdams: "No".

Matyas: "He was on leave. It was his neighbor, right?"

McAdams: "How are we doing on steady state maintenance? Are we holding our own, or are we losing ground?"

Matyas: "We're losing ground, I'm sorry to say. We are short 1.5 million dollars in our appropriation for this current year, and we are slowly building a massive deferred maintenance program. The Provost has taken special interest in this, and I'm hoping that he will have an effect that I think he can bring to it before he leaves it. He's a good friend of that program. But we have been losing ground, and the administration knows it and the trustees know it. It's a matter of priorities, but basically - well, I don't know all the numbers, but we're one and a half million dollars short. I think we should have had five million dollars and we got three and a half. Roughly, they are the numbers, and I'm talking only with the numbers for the endowed part of the campus. The state

part has equal problems, and their proportions of underfunding are about the same."

Dean Bugliari: "Bob, for awhile there has been a problem with that road that exists between Martha Van Rensselaer Hall and Beebe Lake. What can you tell us about that?"

Matyas: "Oh, the City's road? Well, Walter Relihan, the University Counsel, did a lot of staff work on that, and we now have in writing from the Department of Transportation of New York State saying clearly that it is the City of Ithaca's road. It always has been. The road was there before Ezra Cornell bought the farm on which this University now sits. It was a private turnpike, which was then absorbed by the City of Ithaca. It needs about \$800,000 worth of work, and I'm not about to commit University funds for City roads. It's just that simple."

Professor Donald F. Sola, Modern Languages and Linguistics: "Id like to take this opportunity to go to Bob, here. There has been a ramp built on the building I work in - Morrill Hall - along the north edge - to allow access for people in wheel chairs. It happens to lie directly under a roof edge that releases ice."

Matyas: "It was probably put up in the summertime. Morrill Hall."

Sola: "It would be a good idea when you're looking down also to look up."

Speaker Martin: "Thank you very much, Bob. We are running just a few minutes ahead of schedule, and if there are further questions for our first speaker, you're welcome to ask him at this time. Nothing more on telephones? All right. Our final speaker is Kenneth King, Vice Provost for Computing."

4. PRESENTATION ON COMPUTERS

King: "I'm here to tell you what's going on in computing these days, and this is the story. As I think some of you know, very powerful computational devices packaged in small boxes called 'microcomputers' are now available, and within the next couple of years, devices would have - for those of you who follow technology - roughly the power of a VAX 780 or a medium scale computer scale like the IBM 4341 are going to be available in a small box. The availability of that kind of computer power is going to enable lots of things - some of which people are only just beginning to imagine. And the University Computing Board, which has broad representation across the campus, has been studying the implications of this microcomputer revolution and has been pressing to get Cornell involved in the middle of it. In fact, as of this date, Cornell has the opportunity to play a leading role in the development of the application of what is coming to be called 'scholar's work stations' to infusing a set of capabilities into the instructional curriculum. The University has been in discussion with a number of computer vendors, and three relationships have developed into what could be substantial relationships. One of them is with a large company and the proposal there is that over the next three years there be a grant to Cornell of approximately 500, in computerese, 4M capability scholarly work stations. By 4M they mean that the work station would have a million bytes of memory, be capable of executing a million instructions per second, have an all points addressable display with a thousand by thousand or a million points on it and be connected to a communication network which would enable a transfer of information in excess of a million bits per

second. So, the University is discussing that relationship. It is a relationship which would be coordinated with the activities going on at the Carnegie Mellon Institution, Brown University and possibly MIT, and an apparatus is in the process of being put in place to coordinate the development of that proposal. The deans have all appointed coordinators. Some of these coordinators are chairing college committees, and these college committees or coordinators will put together a three-year plan for the use of these work stations and if it's interesting to you, I could tell you who these key people are. This group is beginning to work on developing a proposal which could end in an application to that particular computer company for a grant of 500 scholarly work stations.

"Similarly, the University has been in discussion with the Apple Corporation, primarily with respect to some products that have not yet been announced, and, therefore, the relationship can't be discussed in any detail except to say that I think some 45 people at the institution have seen these products - have seen one of them, and I think it's a fairly exciting product, and the proposal from Apple is that faculty, students, or administrators at Cornell will be able to purchase - in fact, their entire line of products including the new line - at something of the order of a 60% discount. The possibility exists that there will be a microcomputer that is in the range of performance of a small VAX available for slightly over a thousand dollars. In addition, there is a relationship with the Digital Equipment Corporation which will be announced in some form and available to faculty in the near future, and in this relationship, the whole microcomputer family manufactured by Digital

will be available to the institution or to faculty members at approximately a 60% discount. So, there are three relationships that have developed. If the University participates broadly in these three relationships, I think the University has the possibility of playing a leading role in the development of instructional applications for microcomputers. I think the prospects are very exciting. There have been discussions with a number of faculty groups, including the Educational Policy Committee of the College of Arts and Sciences and the School of Engineering, about some of the implications of all of this, and then there are a number of implications. The major issues that have surfaced are the extent to which Cornell University's name should be associated with commercial vendors, and the contracts which we have developed clearly indicate that whatever software or intellectual property is developed as a result of these contracts will remain the property of the University.

"Now, there are some internal issues that have to be resolved, which is to what extent does the University have rights and to what extent does the faculty member who develops the intellectual property have rights, and there is a committee that Bob Barker has that is beginning to wrestle with that issue. But the major point is that in terms of the contracts that we have developed, the intellectual property remains the property of the University and is not the property of the vendor. Secondly, the vendor cannot use the University's name, insignia, mascot, etc., in any advertising or in any way without the permission of the University. So, the extent to which Cornell's name can be tied to the commercial ventures of any particular corporation are restricted to ways in which Cornell is willing to grant its permission.

"The third major issue that has been raised is the issue of cost; the process of infusing what can literally be thousands of microcomputers into the University is going to have significant cost implications and there have been some discussions with the Deans' Council and some discussions with faculty committees about the implication of that. Alan McAdams' committee, for example, is involved in looking at some of the implications of these proposed relationships. There are issues of equity, which is to say, if these computers are available to students, even at a significant discount, what sort of consequences would follow from the fact that the richer students could afford to buy them and the poorer students couldn't. With respect to that, at least one of the things that is clear is that there will have to be adequate public facilities at Cornell to insure that no student is denied access to this technology. There are some associated issues, though at some institutions, the cost of these devices has been folded into tuition and into the financial aid equation, and that is another manner in which the equity issue could be addressed, and this is an issue which clearly Cornell has to wrestle with. So, there are a whole set of subsidiary issues that various committees have raised, and these are issues which are in the process of being discussed with a number of faculty committees and with the coordinators of the college committees who are charged with developing a college plan. So, that's quickly and roughly what's happening. I'd be delighted to answer any questions that anyone might have."

Speaker Martin: "Are there any questions for Mr. King?"

Professor Stanton: "One of the problems that we often face in the computer business is the incompatibility of much of the software that's written from one system with another system. It sounds as though if you are developing these three separate relationships, that's probably going to continue for quite awhile, or do you see technological breakthroughs which may get around that?"

King: "Short term, at least, it's a serious problem. The long term - all three of these vendors are focusing on the use of a common operating system, and when that happens, most of the software will be relatively easily ported from one device to another. In short term, though, there are some incompatibility issues and what a specific college does with respect to any one of these possible programs will depend to some degree on how they propose to deal with that. So, it's short term - a problem, long term - I think it's not going to be a problem."

Professor Sola: "The impending increase in our microcomputer capability means that we'll be pumping out even more information than in the past - and that was a lot. Can we use this technology to increase information flow to us and to our country? We are suffering now from an extreme imbalance in international information flow, with the consequence that we sometimes make poorly informed decisions at the University level and at the national level. Is it within your policy province to take an interest in such issues?"

King: "Yes. A critical element in the successful use of these scholar work stations is their networking interconnections, and as a part of the plan to install a telephone system, which, I assume, Hal told you about earlier, we are developing a coordinated plan for wiring the campus in a way which would allow information

to go from every place to every place. At the same time, Cornell has been participating in networking groups which will connect Cornell to other universities. There are about 40 institutions - most of the important research institutions in the United States - are now in Bitnet. Sometime this fall the major European institutions will be connected to Bitnet via satellite link from Rome to New York City. Bitnet has a gateway to Arpanet, for those who know of Arpanet, and to CSnet, which is the Computer Science net, and to another called Mailnet. The union of all of these networks, along with the capability of exchanging electronic mail and messages through this network, will put Cornell scholars in touch with scholars at every major university. In fact, that capability essentially exists today. So, one of the attractive capabilities is that you can exchange information with your peers around the country at electronic speed. Now, one of the potential problems that a university has with certain experts is that if we're the place with most of the expertise, the request for information could inundate Cornell scholars, and that's an issue that some people are beginning to think about seriously. It's one of the issues that has been discussed in connection with the creation of something called the Theory Center at Cornell."

Professor McAdams: "Can you tell us the status of the various contracts? Are any of them actually formally executed?"

King: "Yes. The contract with Apple has been executed by Cornell and Apple. The contract with the Digital computer corporation has been signed by Cornell and, I believe, signed by the Digital Equipment Corporation. That was supposed to happen on Sunday, but the mails haven't brought it back to me yet."

McAdams: "What's the timing on the other contract?"

King: "Well, this committee of coordinators is going to have to meet to put together this grant proposal, the committee is going to meet through the intersession, and once it has put together a proposal, then it is going to have to be discussed through various apparatuses, and the lawyers from the computer company and the University are going to have a crack at it, so I really don't know when that contract will be finalized.

"What we are planning to do is to put together a price list of systems that are available, and that would be available quite quickly. We will send that list to the deans, along with a cover letter pointing out certain cautions, namely that before faculty rush out to buy a specific microcomputer, they might want to check with the college's plans because it would be inharmonious if the computer they had at home had disks which couldn't be read by the computer they had in the office. And so there has to be compatibility considerations which need to be addressed at the college or school level, and there's always the possibility that more interesting equipment will be available soon. So, this letter will have that kind of caution, will go to the deans, and the deans will distribute it to their faculty with perhaps some additional words of caution that are appropriate to that particular school or college. And that ought to go out quite quickly. A committee of deans has indicated to me that before we make these discounts available to students, we will really need some time to figure out whether or not we're doing them a favor by making them available, and the individual colleges want to wrestle with that issue by college basis.

McAdams: "Do you think these letters will be out before Christmas?"

King: "I mean, if there were real interest in having the letters out before Christmas, I'm sure we can arrange that."

Provost W. Keith Kennedy: "Ken, to repeat what you've already said, the currently available equipment or some of it is already available through the local vendors at almost the same price. The attractiveness of this is that we do think the next generation of computers which will have special features beyond what we have now will be available in, say, 9, 10, 12 months from now. So, we're not putting out a Christmas sale."

King: "There's a lot of information which we're not free to make publicly available except that we're telling you that in a small amount of time relatively, you may have more interesting options than you have today."

Professor Terrence Fine, Electrical Engineering: "This is both interesting and peculiar. If I'm reading it right, the Christmas list sort of suggests that Cornell is going to become an extension of the campus store; that is, a variety of computers are going to be available at a substantial discount, and yet, I hear nothing beyond that. It talks nothing about support for these purchases, but rather it is an opportunity for individuals to purchase pieces of equipment."

King: "There are two elements. One is something called Pass through, which says that under the terms of these agreements, Cornell, as an institution, can pass through this substantial discount to its faculty and students, it if chooses to do so, and so where we have a pass through program we are going to, as I say, send

these price lists to the deans, and they will, I believe, distribute them to their faculty. Step one will be, you can buy this equipment as an individual at this price, but before you do it, you ought to know the following. So, that's one program. Cornell as an institution could choose to buy these devices at the same discount for placement in offices or public facilities. The difference is we wouldn't pay tax. The price would be the same except for that. But what we buy for public facilities depends on the plan that is in the process of being developed in each college or school, and the major caveat in all of this is before you do something as an individual, you might want to wait for your school or college to decide what it wants to do. In fact, you may want to actively participate in the discussions which lead to the decision of your school and college as to what to do."

Fine: "We're talking about fair amounts of money. Is money going to be available to colleges to purchase equipment? I mean, it's one thing if I'm thinking about my own personal decision before Christmas or after, but what is it on the college scale? What is the stake of planning here?"

King: "The Provost, who is the source of these funds, or Tom Everhart, will have to deal with that for the School of Engineering."

Provost Kennedy: "Let's just look at it in Engineering. Does Engineering have any other alternative except to move heavier and heavier into the computing area? I don't think you do. Now, just how you do it, I don't know. You have a budget of some 15, 16 million dollars of annual operating budget plus your research grants and your gifts and grants and contracts. You're going to have to

make tough decisions. To be very specific, we do not have a big pot of money to hand out for Engineering or Arts & Sciences or others to buy these computers. There will be some money available, but it's a matter of looking at it and reallocating resources. If computers indeed are not important to Engineering, then make me aware of this and keep your money and don't spend any there. But it is going to be a reallocation of resources. It's nothing new."

Professor Burlitch: "You mentioned before that you were willing to give out the names of people making these plans. Maybe this has been publicized already and I missed it, but is the list generally available?"

King: "Well, the deans have just appointed their coordinators. I roughly remember them. Geoff Chester just left; I'm not even sure that he knows that Alain Seznec has appointed him, but he's the Arts & Sciences coordinator. Anil Nerode may have to stand in for him briefly. I don't think Anil knows that yet, either. The College of Engineering coordinator is Professor Kenneth Torrance. The College of Agriculture coordinator is Norman Scott; School of Management, Vithala Rao; Law School, Dean Peter Martin; Hotel School, Richard Moore; ILR, Paul Velleman; Human Ecology, Nancy Saltford; School of Veterinary Medicine, John Lewkowicz; Architecture, Art & Planning, Arch Mackenzie and Sid Saltzman."

Speaker Martin: "Our special thanks to all three of you gentlemen for a very interesting program this afternoon. Is there any further business to come before the faculty? If not, we are adjourned."

Adjourned: 5:47 p.m.

Respectfully submitted,

Francine A. Herman, Secretary

February 8, 1984

110 Ives Hall

The Speaker, Russell D. Martin, called the meeting to order at 4:34 p.m. Since a quorum was not present at that time, he called for comments from the Dean of the Faculty, Joseph B. Bugliari.

1. ANNOUNCEMENTS

Dean Bugliari: "Thank you very much, Russell. I just have a few brief statements. First, I would like to express my most sincere thanks to the Computer Services people for the programs that they put on for the faculty in January. I think they went very well. They were well attended; in fact, we didn't have enough spots for everybody that wanted them. I want to give my special thanks to Gordon Galloway and Agelia Velleman and Steve Sather, who were the most instrumental people in putting on those programs. We will try to do more. I'm trying to figure out now when we can get the facilities. We may try to do something early in the summer, and we surely will do it again next year and give you a lot more notice next time so that people can arrange their schedules to come.

"Second, I'd like to remind you that in the material we sent out with the call to this meeting, there was a little piece of information about the blood pressure screening clinics, and when I talked to the person who asked me to put that in there, she indicated that she thought faculty people were more prone to blood pressure problems than the average population. You might want to take advantage of it. Seriously, about ten years ago, I went to the doctor for the first time in a long time for something else, and he took my blood pressure, and he said, 'Do you know you have high blood pressure?'

I had no idea I had high blood pressure. I now take half of one little pill and one other little pill a day. Now, its 120/78. I'd suggest that you take advantage of the service. It doesn't cost anything. It's given in a number of different buildings, and you might find out you have something like I did. I hope not, but at least find out if you do.

"Thirdly, some of you may have noticed that in the Chronicle, the Dean of Students' office is handing out ID cards for spouses of students, and the question has been raised, 'Should we do the equivalent for the members of the faculty?' We are working on that issue. It is not as simple as it first sounds. In the meantime, I think one of the issues is access to the library for your spouse. That, apparently, has been solved already. Any spouse wishing to borrow books can apply under the Visiting Readers' Program and obtain a card to take out books. This card must be renewed every twelve months. Spouses can get library cards at the Circulation Desk at Olin.

"Finally, I would like to report that one of the most important things we are doing this semester is reviewing the appeals procedures - the Stein Committee procedures. We have reached a point now where we have a first draft and that is being circulated to get comments from a number of different people. Ideally, we will try to bring that to the next meeting of the FCR in March, but I cannot guarantee that we will be ready by then; we will clearly be ready to do it by the April meeting. That will be a very important meeting, and we'll get the material out to you well ahead of time, and give you a chance to look it over, and raise questions with the Committee people."

Speaker Martin: "The next item was to be the presentation of a resolution on the Student-Academic Staff Grievance Procedure, that being a resolution coming from the Committee on Freedom of Teaching and Learning and to be presented by Professor Thorp. Although we do not yet have a quorum present, we can put the resolution on the floor and debate it, if you wish, and hope that we might get a quorum later. Professor Thorp, do you wish to do that?"

2. STUDENT-ACADEMIC STAFF GRIEVANCE PROCEDURE

Professor James S. Thorp, Electrical Engineering, stated: "On behalf of the Committee of Freedom of Teaching and Learning, I would like to present the following resolution."

WHEREAS, discussion and consideration of amendments has taken place between the "Conference Committee" of the Student Assembly and the FCR Committee on Freedom of Teaching and Learning with respect to the Student-Academic Staff Grievance Procedure,

THEREFORE, BE IT RESOLVED, that in view of endorsement by the Student Assembly, the Student-Academic Staff Grievance Procedure, adopted by the Faculty Council of Representatives on April 13, 1983, be amended as follows:

(additions underlined; deletions in brackets)

Purpose:

This procedure provides a means whereby any student [of] registered at the University [1] [at Ithaca] who has reason[able evidence] to believe himself or herself to be the victim of legally prohibited discrimination [2] or of discrimination on the basis of sexual or affectional orientation by an academic staff member or assistant in the execution of his or her designated academic responsibilities,

can seek redress of such grievance. This procedure encourages informal resolutions, but provides also for more formal steps to protect students from illegal discrimination [or sexual harrassment] by academic staff and assistants, while guarding against the possibility of injustice resulting from false and malicious charges. Definitions for this Purpose:

Student: For application of this procedure, Student will refer to anyone registered in the University [at Ithaca], whether part time or full time, extramural or regular, graduate or undergraduate.

Academic Staff: In the application of this procedure, academic staff will be considered to include all those who exercise any authority or power over the student's academic work: i.e., not only professors of all ranks, and lecturers, instructors, extension/ research personnel, librarians and other academic staff, but also graduate and undergraduate students who may be acting as teaching or research assistants.

Administration of Procedure:

This procedure will be administered by the University Ombudsman.

General Provisions:

1) Any party to a grievance shall have the right to be accompanied at any conference or hearing by an advisor. [who is a member of the Cornell community.] Any administrative expense in conducting the hearing shall be borne by the University. If the aggrieved wishes to retain counsel, he or she shall bear the expense of such representation. If the advisor is an employee of the University, the advisor will be allowed reasonable time to perform his/her function as an advisor without loss of pay.

- 2) All conferences and hearings shall be private and not open to the public. All records shall be treated as confidential and returned after the last step of any formal case to the Office of Equal Opportunity.
- 3) The aggrieved may appeal recommendations or decisions at each step.
- 4) No student shall be discriminated against or otherwise adversely treated because of filing a grievance. If any individual claims discriminatory treatment for initiating or participating in, or giving evidence in, any grievance, the claim will be heard immediately at Step Two of this procedure.
- 5) The deadlines described in the procedure are recommendatory and presume normal operating conditions. However, the parties in the grievance procedure should be permitted reasonable flexibility given the unusual nature of the academic schedule, calendar, and vacation periods of the University.
- 6) Information on the existing legislation and policies of the University relevant to the grievance may be obtained by the parties from the Dean of the Faculty.

First Step:

Within a time appropriate to the incident or situation, the aggrieved shall make a complaint to the Ombudsman's Office, which shall provide counseling if necessary. It shall keep a record of the circumstances, including time, date and place of the occurrence, nature of the grievance, and the relief requested. Within a reasonable time (e.g., 10 days) of the receipt of the complaint, the Ombudsman's Office shall try to arrange a resolution of the complaint.

Second Step:

If the grievance is not resolved at the first step, the matter shall be promptly (e.g., 3 days) referred by the Ombudsman's Office, with a written complaint made by the aggrieved, to the department chairperson or division director [3], who shall investigate the matter and ascertain the facts. The Office of Equal Opportunity shall also be notified in writing at this stage [3]. The chairperson shall arrange a conference with the aggrieved within two weeks in an effort to resolve the complaint. The accused may or may not elect to be present, but the chairperson must provide the accused with an opportunity for a personal hearing.

Third Step:

[If the matter is not resolved at the second step, it shall be referred to the Dean of the College. Within two weeks, the Dean shall either review the matter and make a decision as to the disposition of the grievance, or impanel an advisory board of three persons whose responsibility shall be to find fact in the case and make a recommendation for a solution of the problem. If an advisory board is to be established, members shall be selected as follows: one student to be chosen from a list of three students submitted by the Dean of Students, one academic staff member to be chosen from a list of three academic staff members submitted by the Dean of the Faculty, and a third member (either academic staff or student) chosen from a list of three further names submitted by the Dean of the College. Both parties will indicate their preferences within each list in numerical order, and the candidate from each list with the least total points will be designated as a panel member. If all three candidates from a list are tied (which can happen only if they are

ranked in reverse order by the two parties), the one ranked second by both parties will be designated as a panel member. Other ties will be settled by coin toss.]

[As promptly as possible (e.g., 10 days) after its selection, the panel shall hold a conference of the parties and attempt to use its good offices to bring about a settlement between them. Failing this, it shall make a statement of its findings of fact together with recommendations and transmit them to the Dean of the College, with copies thereof to the parties and to the Dean of the Faculty. The Dean of the College shall review the recommendations of the panel and issue a decision to the parties with a copy to the Dean of the Faculty. The College Dean shall alert the pertinent department chairperson to any results that are relevant to the chairperson's duties.]

If the matter is not resolved at the second step, it shall be referred to the Dean of the College and a fact finding panel consisting of three persons representative of a cross section of the Cornell community, selected from a list compiled by the Ombudsman. The members will be selected by the Ombudsman and all parties to the grievance will have the right to request the Ombudsman to remove any person from the panel that he/she feels would be unable to be impartial. Within two weeks after appointment of the panel the Dean and the panel shall hold a joint hearing and issue separate reports of their recommendations for resolving the grievance. If these recommendations concur, the Dean's decision will be final and binding. If the reports are not in concurrence, the matter will go to the Provost who will hold a final hearing and issue a decision which will be final and binding upon all parties to the grievance.

[1] Excluding the Medical School

[2] Categories as of January, 1984 include, but are not limited to: age, race, color, creed, religion, national or ethnic origin, and sex. The prohibition includes sexual harassment, defined as follows:

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of employment or academic status; (2) submission to, or rejection of, such conduct by a person is used as a basis for an employment decision or an academic decision affecting that person; or (3) such conduct has the purpose or effect of substantially interfering with a person's work or academic performance or of creating an intimidating, hostile, or offensive working or learning environment.

Brochure: Sexual Harassment, Cornell University Office of Equal Opportunity, July 1983

[[2] Categories as of November, 1976 include, but are not limited to age, race, color, creed, religion, national or ethnic origin, and sex. The prohibition includes sexual harassment, as defined by EEOC guidelines in the following way:

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature...when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (3) such conduct has the purpose of substantially interfering with an individual's

work performance or creating an intimidating, hostile, or offensive working environment.

"While the EEOC guidelines are stated only in the context of employment, sexual harassment of students by academic staff and/or assistants has been held to present an analogous and equally intolerable situation. A federal court has declared such harassment to violate Title IX of the Education Amendments of 1972."

Letter from Michael J. Montgomery to W. Keith Kennedy,
December 22, 1981.]

[3] In the event the academic staff member is the division or department chairperson, a copy of the complaint will be delivered to the Dean of the College, and the Dean of the College then becomes the point of referral in Step Two, with the Dean of the Faculty then being the point of referral in Step Three. Also, if the academic staff member's responsibilities are under the direction of a higher ranking academician (e.g., teaching assistant supervised by a faculty member) the grievance should be reviewed first at that level, before proceeding to the department or division chairperson.

[[3] "In the event the grievance alleges a violation related to Cornell's policy forbidding sexual harassment, the Office of Equal Opportunity will be notified to assist in the investigation and, where appropriate, any subsequent action."

Letter from Michael J. Montgomery to W. Keith Kennedy,
December 22, 1981.]

Speaker Martin: "Thank you. Are there questions for Professor Thorp before we put it on the floor for discussion?"

Professor Thorp: "Perhaps I should explain. In April, 1983, the FCR amended the then existing Student-Academic Staff Grievance procedure. It came to the FCR from the Freedom of Teaching and Learning Committee that worked for a year modifying legislation that had been adopted, I think, in 1977. The modifications we are specifically trying to deal with are issues of sexual harassment, and those problems were brought to the Committee by the Women's Affairs Committee of the Student Assembly. So, when the FCR adopted the amendments in April of '83, it was assumed that there would be no trouble in getting Student Assembly ratification. Unfortunately, on May 10, 1983, the Student Assembly approved the procedure only conditionally. The conditions were that they had some amendments they wanted to discuss with the Committee, and their conditional approval was to last only until March 1. Without a quorum here today, I guess we'll lapse back to the original procedure on March 1. Our Committee met with a study committee from the Student Assembly throughout the fall and we have finally reached agreement on the amendments that are contained herein. I might point out that the amended procedure was adopted by the Student Assembly on January 24.

"The main changes are that in the Purpose, we no longer refer to sexual harassment independently. It has been removed; it is now officially legally prohibited, and the footnote covers that, and the words 'discrimination on the basis of sexual or affectional orientation' were added. In General Provision #1, there is an insertion having to do with administrative expenses. There was a similar phrase in the 1977 legislation. It was removed by the Committee last year because it was felt it encouraged legal

intervention. When the Student Assembly saw it removed they became concerned that the University would attempt to charge them for the proceedings - for the lights, for opening the building or something. As much as we tried, we couldn't convince them that the University wouldn't do that, so we re-inserted the sentence about administrative expense. But if that is re-inserted, then the next sentence must be included again, because we can't have the University suddenly being responsible for paying for legal fees.

"The main suggestion from the Student Assembly concerns the Third Step. The entire Third Step was removed and a substitute was provided. The main concern in the past was that the dean of the college had a choice of impaneling an advisory board. The Student Assembly had the impression that deans were closer to the faculty and they wanted the dean to be forced to impanel the Committee, and if the Panel and the dean agreed - fine; but if they didn't agree, they wanted the final decision to be in the hands of the Provost. We have spoken to the Provost, and he is willing to accept this task if it ever comes to pass.

"Lastly, there are some difficulties with the old footnotes. Essentially, the old footnotes have been removed and replaced with modern, current footnotes which you can look at in some detail."

Speaker Martin: "All right. The floor is open for discussion."

Professor Norman Vrana, Electrical Engineering: "I know you said this, Jim, but I just want to make sure that the footnote is a legally worded document. There's nothing in it that you put in it."

Professor Thorp: "You're referring to the old footnote 2. The new footnote 2 is a direct quote from the brochure on sexual harassment published by Cornell University. We have been assured by Joan Egner that this is, in fact, law. This replaces the old '2' which speaks only about employment and then has a paragraph underneath saying it should be applied to an academic situation. I don't have any personal knowledge, not being a lawyer, but we checked and were told that it did."

Speaker Martin: "We're one short a quorum. We will hope that we get one more person to fulfill the quorum so that we can take action on this today."

"The Chair next calls on Vice President Barker, who will present an item for discussion pertaining to the proposal for the establishment of a Theory and Simulation Science and Engineering Center."

3. THEORY AND SIMULATION SCIENCE AND ENGINEERING CENTER

Robert Barker, Vice President for Research and Advanced Studies: "My role up here is going to be very brief. It's principally to introduce Ken Wilson. I hope you've received and read the draft document which is here for discussion today. My role in creating this is to try to be helpful to the group of faculty, which is really very large, that have expressed interest in this and to try to make sure that the right bases are touched at the right time. In getting ready something which could be brought here, it was necessary to be sure that faculty in the many different disciplines have at least had a chance to have some input to the proposal, and very many have. I think if you want to know

what this is all about, you should look at page 3 of the document. There are objectives, and the first one really almost says it all: to create the scientific and intellectual environment and provide the computing resources to bring together from many disciplines faculty who share a common interest in theory and computer simulation and their application to important unsolved problems in science and technology. What is proposed here is the creation of a center which would intersect many parts of the University - a very important issue - and it's on the floor today for discussion. Ken Wilson is going to describe to you what is intended by the proposal, and then Tom Everhart and Bob McGinnis will say just a few words. We hope to do this in about 15 minutes and leave the rest of the time for discussion. Ken."

Professor Kenneth Wilson, Physics and Nuclear Studies: "Cornell, as you know, has a history of successful interdisciplinary centers, such as the Materials Science Center, the Submicron Facility, and the most recently formed Biotechnology Institute and CISER, and the list goes on and on. And once again, we find ourselves in the position of trying to provide national leadership in an area which requires intense cross-disciplinary interaction.

"Now, to build a center which involves a fair amount of effort requires, first of all, that there is some strong intellectual need for cooperation across disciplines. In this particular case, throughout the sciences and engineering and even beyond that the people engaged in theoretical studies have a very common need to talk to each other. For instance, Dave Caughey from Mechanical Engineering came over to Newman Laboratory - Nuclear Studies - and

was talking to Peter Lepage, and they found they were doing exactly the same thing, using multi-grid techniques to solve laws of nature. They weren't working with the same laws of nature, but that didn't matter very much. And this is true throughout many scientific and engineering disciplines, especially as they come to consider the use of computer and the application of the computer to very complex problems, much more complex than one can do by hand. The problems that arise, whether it's over in the Engineering College or over in Newman Laboratory or over in the Chemistry building are very similar and also very difficult, and we have to build a cooperative effort on a rather massive scale to deal with these problems.

"The next thing that often underlies the building of the Center is the need to bring in resources to the University to deal with the problem across disciplinary boundaries. This is true of most of the centers that we have today, and in the case of the Theory Center, the need is to bring in computing resources on a fairly massive scale, and it is difficult for any individual department either to attract the funding or donations required, or to manage the systems if they come in. We hope that the Theory Center will have sufficient strength both to be able to bring in the necessary computing sources, and to manage them, or at least to arrange for their management once they're brought in.

"Finally, we have a traditional orientation of support from government and private foundations, but in the area that the Theory Center is concerned with, it's an area of critical importance to private industry, both the computing industry itself and the private

industrial users of computing. That means the opening up of a totally new source of resources for our operations. It also means considerable pressure on Cornell to service the needs of private industry, and there is a great deal of parallelism between what they need and what we need ourselves just for our own research and training. But we need an institution the size of the Center to act as a buffer to have sufficient strength and sufficient inertia so that we can get the resources we need from industry without being captured by them. It is extremely difficult for one department to go head-to-head with Exxon Corporation. The Center, however, should cover a sufficiently broad range of applications so as to be much better matched to companies like Exxon, and at the same time, have a sufficient structure so that it can balance the pressures from outside against internal needs. One of the main differences, by the way, between the Theory Center, as we're conceiving it, and the Biotechnology Institute is that we imagine the Theory Center will have interactions with a wide range of companies with a wide range of sizes. That's based on our past experience where we are already dealing with IBM at one end of the scale and Floating Point Systems, which started out as a garage operation when we first were dealing with them. In fact, one of the consequences of our dealing with them is that there is now a marketing agreement between those two companies.

"The title of the Center is the Theory and Simulation Science and Engineering Center. That means, I think, that we had imagined the central focus of that Center is in Science and Engineering. The problems of large-scale computation and large-scale simulation,

however, extend beyond just science and engineering. We have discussed arrangements with CISER to make sure that members of that organization who need the kinds of facilities we intend to have can participate, and I expect there will be participation from other parts of the University. But I believe that we will have to structure things so that the core of the operation is in science and engineering so that we don't get overbalanced by needs from all other parts of the University and thereby lose the primary focus. That raises the whole issue of exactly what are the requirements for membership in the Center which is not very well addressed in the document. We can discuss that here, and I expect that it will be refined in the course of committee discussions, and before a final document is brought for a vote."

Dr. Barker: "It would now seem appropriate to hear from the Engineering side as to how they see this proposal."

Thomas Everhart, Dean, College of Engineering: "It's a pleasure to address this body today, and I should say that I speak for a large number of faculty in the College of Engineering who are quite interested in this Center. In fact, we surveyed the faculty just this last week. A questionnaire was sent out on Thursday just to make sure we weren't overestimating the number who would be interested, and from over 90 that were contacted, 51 responded. The others were probably out of town, and I think their lack of response means it is in a pile of papers on their desk they haven't gotten to, or it's in a mailbox and hasn't been seen yet. Of those who responded, 60% expressed very strong interest, and all the rest, save one, expressed some interest, which means they would be involved

in a peripheral way. So, we estimate at least 35 to 50 people in our College would be involved in a significant way, and it would probably affect the working relationships and have a peripheral effect on at least 50 more, which means about half of the faculty in one way or another.

"It seems to me that in thinking about this proposal we have to look at the times, and right now is a time of great change in science and in engineering. Some of the discussions going on about small computers being introduced on campus, for example, are one sign of that. The driving force behind this change is really the advent of the integrated circuit; the fact that so much information processing can be carried forward so inexpensively. That trend is continuing. So, we're in a rapidly changing situation that will continue to change rapidly, but we are at a point where many things that were not possible just a few years ago have become possible now; unless we explore them and work on them quite hard now, we will not be able to take advantage of the next generation of capability which will be coming all too soon.

"Those of you who have been following the political scene will know it's a time of great need in the country. The country has not been productive in the sense that we have great deficits in our budget at the federal level, and we have deficits in our exports versus imports to other nations. So, we are really running at a loss in this nation, and the way to get over that is for the nation to become more productive. In the future that means a greater reliance on the intellectual power of the nation and a quicker transfer of information that is learned and developed - generated, if you will - in the universities to the industrial sector, so

that goods and services based on that will bring in more income and, therefore, raise the tax base. That's helpful in the State of New York, but for many of us, it's even more important at the national level, for that is where much of our research support comes.

"Finally, I think it's a time of great opportunity because with these changes that are taking place, and with the rather unique Graduate School structure at Cornell - there's a much more hospitable environment for cross-disciplinary interactions at this University than at many other universities. That was clear to me when I first became associated with Cornell five or six years ago, and I think it has been clear as I have watched the internal workings of the University. This University really has the opportunity to become a national center in this area and take an even more commanding lead than it has already in some of these activities. That is one reason, I think, that the faculty in the College of Engineering are so strongly supportive of this Theory and Simulation Science and Engineering Center. It will surely benefit our colleagues, but more than that, it will give us closer ties with colleagues in other parts of the University and benefit the University as a whole."

Professor Robert McGinnis, Director, CISER: "Actually, Bob Barker asked me to say, 'Amen' on behalf of CISER, so I say, 'Amen'. I would add one or two remarks to this. On behalf of the participating social scientists, a very enthusiastic 'Amen' to the notion. I'm reminded of the fact that the highest placed social scientist in the National Science Foundation visited CISER last fall, and in a presentation to the assembled social scientists -

we number about 170 faculty members - his major single piece of advice to us was 'take a physicist to lunch.' I think his advice, incidentally, was very sound for a variety of reasons that I won't go into - and most of my colleagues agree. I think the TSSEC proposal presents the even nicer opportunity for physicists to take us to lunch, and that's what we're looking forward to. This is not a venture for the entire membership of the Institute, but I am constantly hectored by colleagues of mine involved in simulation and projection modelling of social processes - one involving some 750 equations - who are simply being put out of business by the cost and complication of working even on our 3081 Mainframe. I believe that for theoretical social scientists such as these - I'd count twenty of them probably - I think this represents an enormous breakthrough just in the hardware that's proposed. I think it represents a much more profound breakthrough by way of what Bob Barker alluded to - the fascinating opportunities for interdisciplinary collegueship, not simply between economics and sociology, but I would hope between economics, sociology, physics, chemistry and engineering. I'm very enthusiastic. Thank you."

Speaker Martin: "Are there any questions for our four speakers?"

Assistant Professor Mary G. Randel, Romance Studies: "We're not going to vote on anything, is that correct?"

Speaker Martin: "There's no voting. No, this is just for discussion."

Professor Randel: "I wondered if there would be any comment about commitment of University resources to the program? What sort of University contribution is envisaged?"

Dr. Barker: "I think the principal University contribution perceived at this stage is that interested faculty would be contributing their time, which is supported by the University salary structure. The major funds needed for equipment, facilities, for additional support staff should come from external sources. In the long term it will be difficult to assure that no University resources have been assigned to this project, but the intent is to attract external funds. On the other hand, I think we have to look at the alternative: if we do not do something like this, the drain may be much more on University sources."

Professor Randel: "I just wanted to be clear about the fact because I'd read about a large 'facility', and I was curious but not necessarily against it."

Professor Toby Berger, Electrical Engineering: "Have there been any informal contracts with the major federal agencies that you mentioned? Also, are you aware of what other major academic institutions are doing?"

Professor Wilson: "In Science and Government Report, which is a rag put out by Daniel Greenberg - he has his own views on things - he had a long interview with the head of the National Science Foundation which included one paragraph with praise by the head of the National Science Foundation of this proposal for the Science and Engineering Center, at the end of which he says, 'I am eagerly awaiting this proposal.'

"In the federal budget of the NSF there are two initiatives - one on super computer access and the other is on interdisciplinary engineering centers addressing national problems, and he wants to use by words in explaining the reasons for proposing initiatives

on interdisciplinary centers. Now, as to what other universities are doing, there are a number of places where people are realizing that they have to get together on this issue, so you'll find people coming up with a proposal for a supercomputing institute, a vector processing institute. What you do not see, as far as I'm concerned, is anything where there is going to be a center with a primarily intellectual focus as opposed to just getting together so you can have a computer. And, especially, I don't see anything else that will have the thrust of activity that we can put together here at Cornell, where we can bring in a huge range of engineering disciplines, all the basic sciences, plus the developments in agriculture, probably eventually veterinary medicine, developing the cooperative theme as McGinnis has emphasized with the economic and social sciences as well. As far as other sources of support, the basic computing support that we're thinking about derives from a project we've had going here for five years, the so-called Array Processor Project. While we've got the basic money to buy the computers for the Array Processor Project from the National Science Foundation or from our local funds which basically trace back to the NSF, we've gotten a lot of help with that project from private industry - grants from IBM, grants from Floating Point Systems, and I've gotten grants from Exxon and Schlumberger-Doll Corporation, and we have a big donation of equipment from Floating Point Systems going on to the next stage in one of our innovative projects. I see every sign that once we're off the ground with the administrative structure that would interact with industry, we're going to start getting major private grants and donations to go along with whatever we can get from NSF, and, in fact, we'll be in perfect position to play the

matching money game, which is how to get large sums of money."

Speaker Martin: "Do we have other questions? If not, we can back up. We do now have a quorum. The first item is to act on the minutes of November 9 and December 14. Are there any corrections to those sets of minutes? There being none, they stand approved as distributed.

"Now, we can go back to the motion that was presented by Professor Thorp. For the benefit of those who came in to help make our quorum, the motion is in regard to amending the resolution on the Student-Academic Staff Grievance Procedure. Is there any further discussion on that? Any questions from those who came in after Professor Thorp's presentation? There being none, we'll proceed to vote."

On a vote call, the resolution amending the Student-Academic Staff Grievance Procedure was adopted. (Attached Appendix A)

Speaker Martin: "Now, we have the President and the Provost both here. Would you be willing to take questions if there are any? Do you have any questions for President Rhodes or Provost Kennedy? [No response] I think they're anxious to get out. Is there any further business to come before the FCR?"

Dean Bugliari: "Can I say one thing, Russ? Hopefully, this proposal on the Theory and Simulation Center will be back next month for a vote. In the period of time between now and at least the next couple of weeks while we're sending it back to the Committee for final touches, if you happen to come up with anything that you think is a problem, please either direct it to Bob Barker, Ken Wilson, Tom Everhart or myself. If you really have a serious problem, I hope we would find out about it before our next meeting so that we

will not be forced to go to still another one to resolve it. We had this discussion so that if there were questions, we could answer them. If something comes up between now and at least the next couple of weeks, please let us know so we can try to iron it out before we come back to vote. Or you can contact the CAPP Committee. Ken Robinson is Chairman, and they'll be looking at this, too. Any input you have, we'd like to have."

There being no further business, the meeting was adjourned at 5:16 p.m., as that old Ithaca sunset illuminated the sky.

Respectfully submitted,

Francine A. Herman, Secretary

STUDENT-ACADEMIC STAFF GRIEVANCE PROCEDURE

Purpose:

This procedure provides a means whereby any student registered at the University¹ who has reason to believe himself or herself to be the victim of legally prohibited discrimination² or of discrimination on the basis of sexual or affectional orientation by an academic staff member or assistant in the execution of his or her designated academic responsibilities, can seek redress of such grievance. This procedure encourages informal resolutions, but provides also for more formal steps to protect students from illegal discrimination by academic staff and assistants, while guarding against the possibility of injustice resulting from false and malicious charges.

Definitions for this Purpose:

Student: For application of this procedure, Student will refer to anyone registered in the University, whether part time or full time, extramural or regular, graduate or undergraduate.

Academic Staff: In the application of this procedure, academic staff will be considered to include all those who exercise any authority or power over the student's academic work: i.e., not only professors of all ranks, and lecturers, instructors, extension/research personnel, librarians and other academic staff, but also graduate and undergraduate students who may be acting as teaching or research assistants.

Administration of Procedure:

This procedure will be administered by the University Ombudsman.

General Provisions:

- 1) Any party to a grievance shall have the right to be accompanied at any conference or hearing by an advisor. Any administrative expense in conducting the hearing shall be borne by the University. If the aggrieved wishes to retain counsel, he or she shall bear the expense of such representation. If the advisor is an employee of the University, the advisor will be allowed reasonable time to perform his/her function as an advisor without loss of pay.
- 2) All conferences and hearings shall be private and not open to the public. All records shall be treated as confidential and returned after the last step of any formal case to the Office of Equal Opportunity.
- 3) The aggrieved may appeal recommendations or decisions at each step.
- 4) No student shall be discriminated against or otherwise adversely treated because of filing a grievance. If any individual claims discriminatory treatment for initiating or participating in, or giving evidence in, any grievance, the claim will be heard immediately at Step Two of this procedure.
- 5) The deadlines described in the procedure are recommendatory and presume normal operating conditions. However, the parties in the grievance procedure should be permitted reasonable flexibility given the unusual nature of the academic schedule, calendar, and vacation periods of the University.

(over)

6) Information on the existing legislation and policies of the University relevant to the grievance may be obtained by the parties from the Dean of the Faculty.

First Step:

Within a time appropriate to the incident or situation, the aggrieved shall make a complaint to the Ombudsman's Office, which shall provide counseling if necessary. It shall keep a record of the circumstances including time, date and place of the occurrence, nature of the grievance, and the relief requested. Within a reasonable time (e.g., 10 days) of the receipt of the complaint, the Ombudsman's Office shall try to arrange a resolution of the complaint.

Second Step:

If the grievance is not resolved at the first step, the matter shall be promptly (e.g., 3 days) referred by the Ombudsman's Office, with a written complaint made by the aggrieved, to the department chairperson or division director, who shall investigate the matter and ascertain the facts. The Office of Equal Opportunity shall also be notified in writing at this stage.³ The chairperson shall arrange a conference with the aggrieved within two weeks in an effort to resolve the complaint. The accused may or may not elect to be present, but the chairperson must provide the accused with an opportunity for a personal hearing.

Third Step:

If the matter is not resolved at the second step, it shall be referred to the Dean of the College and a fact finding panel consisting of three persons representative of a cross section of the Cornell community, selected from a list compiled by the Ombudsman. The members will be selected by the Ombudsman and all parties to the grievance will have the right to request the Ombudsman to remove any person from the panel that he/she feels would be unable to be impartial. Within two weeks after appointment of the panel the Dean and the panel shall hold a joint hearing and issue separate reports of their recommendations for resolving the grievance. If these recommendations concur, the Dean's decision will be final and binding. If the reports are not in concurrence, the matter will go to the Provost who will hold a final hearing and issue a decision which will be final and binding upon all parties to the grievance.

¹Excluding the Medical School

²Categories as of January, 1984 include, but are not limited to: age, race, color, creed, religion, national or ethnic origin, and sex. The prohibition includes sexual harassment, defined as follows:

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of employment or academic status; (2) submission to, or rejection of, such conduct by a person is used as a basis for an employment decision or an academic decision affecting that person; or (3) such conduct has the purpose or effect of substantially interfering with a person's work or academic performance or of creating an intimidating, hostile, or offensive working or learning environment.

³In the event the academic staff member is the division or department chairperson, a copy of the complaint will be delivered to the Dean of the College, and the Dean of the College then becomes the point of referral in Step Two, with the Dean of the Faculty then being the point of referral in Step Three. Also, if the academic staff member's responsibilities are under the direction of a higher ranking academician (e.g., teaching assistant supervised by a faculty member), the grievance should be reviewed first at that level, before proceeding to the department or division chairperson.

March 14, 1984

110 Ives Hall

Secretary's Note: Fifty-two is a good handy figure in its way, picturesque, with the savor of quorum; one might say, at Cornell at least, it is more filling to the spirit of governance than a dull academic half-a-hundred.

With apologies to Thomas Mann

The Speaker, Russell D. Martin, called the meeting to order at 4:45 p.m. Since a quorum was not present at that time, he called for comments from the Dean of the Faculty, Joseph B. Bugliari.

1. ANNOUNCEMENTS BY THE DEAN OF THE FACULTY

Dean Bugliari: "I have only two things to talk about: the Budget and the Calendar are both going to be discussed by the Provost. I would like to mention first that the spring elections are coming up, and we will be electing in addition to the normal slate of people, a Faculty Trustee and also a Secretary - two very important positions. As you know, under the new Charter, we will only have two Faculty Trustees, and so it's a very important election. The Nominations and Elections Committee, which is chaired by Professor Yervant Terzian, will be meeting tomorrow morning. We have a good list of people already for that position, but if anybody has any last minute names that they would like to add, the Nominating Committee would be most appreciative if you gave that name either to me or Professor Terzian. I also want to thank you because we have a rather nice large list of people for all the other positions, and maybe that means we've got a resurgence among the faculty as

far as their interest in faculty governance is concerned; and if that's the case, I'm very happy about it.

"Secondly, I would like to report to you on the status of the one major piece of business that I think we have left to handle this spring: the review of the appeals process for people who are denied tenure or promotion or reappointment. At the present moment, we have a draft of a proposal for such revision prepared by Professor Kenneth Strike's Committee. That has been circulated to all of the deans, plus Professor Peter Stein, Walter Relihan, the Provost, Joan Egner, and a number of other people. By no means has it been settled yet, as you can imagine. The Committee is meeting this week to go over the responses that it received from all of the people that it sent the proposal to. The assumption is that the Committee will then try to see where the most difficult issues lie and try to discuss those issues with members of the administration, the deans and so forth, to see how many of them can be ironed out. Also, we have agreed that before the proposal comes back here, we will take it to the Deans' Council to see what their response is to the ultimate proposal. It therefore looks like we will not get that to you before the May meeting, and it also looks like at the moment that we may not have an April meeting - that may make you relieved.

"I'd add one more thing. We are proposing to take a good look and see what revisions are necessary to the Code of Academic Integrity. What I had hoped to do with to have something this spring, but I don't think that's possible. I'm trying to engage someone over the summer to help us go through and look at all of

the issues and come up with a proposal so we can get to you first thing in the fall, hopefully before we really get going in the fall term.

"I'll answer any questions, if anyone has any, on anything that I've discussed. Otherwise, I've been wasting time until the Provost got here."

Speaker Martin: "Are there any questions for the Dean?
(no response)

"We're still short of a quorum, Mr. Provost. On that basis, you have between now and six o'clock, if you want it."

Provost Kennedy: "Let's hope we get a quorum because we certainly want action on the Simulation Center."

2. THUS SPAKE THE PROVOST

"Members of the faculty, I have three items: calendar, final exam hours, and the budget for 84-85.

THE CALENDAR

"First, the calendar change for the fall of 1984, fall of 1985, and the fall of 1986 (unless it's changed by the next Provost). About three or four weeks ago, the Dean of the Faculty expressed a concern of a number of faculty and students about the first two days of final exams falling on Saturday and Sunday. To digress for a second, I'm on public record as saying that the fall calendar is impossible, and I want to emphasize that. It's too tight. So, with Labor Day falling where it does, and trying to start the classes no earlier than Labor Day whenever possible, we simply do not have enough days to meet all of the commitments. It was proposed that we move registration forward two days and start classes on the Thursday before Labor Day, which in turn would permit us to start

final exams on a Thursday and a Friday, have Saturday and Sunday as a two-day break, and then complete the exams. I indicated to the Dean that he needed to have support from the faculty committees and also the Assembly. Both bodies supported the proposed change and it has been implemented. Registration will be on Tuesday and Wednesday. Theoretically, faculty members are to be on hand two working days before registration. That would require the faculty to be here on the Friday before the weekend and on the Monday following. I think the Provost at least can waive some of the technicalities, and we would ask you to be here one day before registration or, in other words, on the Monday preceding registration. In making the calendar change, the Freshman Orientation Committee and staff have been most cooperative. They feel that they can handle the alteration -- the incoming students arriving on campus on Saturday, starting their orientation on Sunday and Monday and continuing during the registration hours and the weekend.

FINAL EXAM HOURS

"Many students and a few faculty find starting exams at eight o'clock intolerable. We have agreed, starting this spring and for future years, until changed, that final exams will be from 9-11:30, 12-2:30, and 3-5:30.

THE BUDGET

"Let's turn to the budget because I think that is of greater interest to you. We are confident that we will have an adequate amount of tuition income available in 1984-85 in that we have had 19,200 applications for 2,750 freshman spaces. This is an all-time high in terms of number of applications, and, if anything, the quality has increased rather than gone down. This is very reassuring.

"The plan or the policies that we will be presenting to the Trustees this coming Thursday and Friday include the following: Tuition for endowed undergraduates and the graduate school will be \$9,600, up 7.9%. The statutory colleges' tuition is more confusing. It will be \$4,060 or \$4,126 for State residents. The reason for the uncertainty is that it depends on whether or not the State University raises its tuition. We have a standing commitment or understanding that if SUNY tuition goes up we will increase our transfer to the SUNY income fund by one-third of the SUNY increase. The funds transferred to Albany help to amortize the academic and other buildings in the statutory colleges. For out-of-state students, the tuition will be \$6,600 or \$6,766, again depending upon the action by State University. Tuition in the Graduate School of Management is increasing to \$10,250, or 7.9%; for the Law School, tuition will be \$9,920, up 7%. Tuition for graduate students in the statutory units and for those in the Veterinary College will depend on action by SUNY.

"We estimate dining contracts to average a 3.3% increase, and housing costs will be up 6%. The administrative fee, which is important to faculty and staff with children attending Cornell, will move from \$1,900 to \$2,030, up 6.8%. Financial aid self-help -- that is, what the student has to provide in the way of work and loan -- will remain at the current level for very low income families, and will increase up to a maximum of 5.3%, for higher income families.

"The salary improvement pool for faculty will be 7%, with a 5.5% in July and a 3% in January. For other academic personnel beyond the professorial staff, there will be a 7% pool. The pool

for the non-academic staff will be 6%. While the salary increase for faculty still averages only 7%, the base increase will be up by 8 1/2%; we recognize that the hard-working FCR Budget Committee and the Committee on the Professional and Economic Status of the Faculty, are concerned about this increase, and we will indicate in our budget message to the Trustees that if income permits, there will be a modest increase in the January pool on a very selective basis.

"I'd like to give you some idea of the dimensions of the budget and then you may have questions. Our projected income next year from tuition and fees, which is by far the largest component, is eight-two million out of approximately one hundred fifty-five million for the general purpose budget. Accessory instruction yields just under six million; investments nearly seventeen million; gifts, about four million; indirect cost recovery from grants, 16.8 million; and tuition retainage from the statutory colleges and the self-supporting units nearly twenty million. Those are the major income items. Expenditures include salaries - eight-six million; general expense - approximately nineteen million; utilities - ten million; student support - nearly twenty-six million; library collections - only 2.8 million; computing services - eight million; contingency - \$776,000; program improvement on a permanent basis - \$500,000; and one-time improvements, \$600,000. Total expenditures are estimated at \$155.24 million."

Speaker Martin: "Are there any questions for the Provost?"

Professor Thor N. Rhodin, Applied and Engineering Physics:

"I heard two figures on the faculty improvement pool, and I must have been confused. I heard one at 7% and one at 8 1/2%."

Provost Kennedy: "The pool for the year - this year - is a 7% salary improvement pool. In other words, the individual who falls precisely on average will receive 7% more next year than this year. But it will be received in two components: 5 1/2% on July 1, 1984, and 3% in January 1985. That still adds up to 5 1/2 plus 1 1/2, or 7%, since the 3% is only for half a year. It does move the base up, however, by 8 1/2%, so this is a method to try to move the base up, but at the same time use fewer dollars. (laughter) We didn't have enough dollars to provide a 8 1/2% salary increase for the entire year but by providing the increase in two increments, we can increase the base salaries of faculty during the second half of the 1984-85 fiscal year. This is similar to what we did this past year, and as I've indicated, we may enrich that pool in January by a modest amount. Don't start spending; it won't be that large."

Speaker Martin: "Do you have other questions? (no response) Thank you."

"As long as you have faith, miracles do happen. We have a quorum. Now we can back up and start over again. The first item of business is approval of the minutes of our meeting of February 8. Are there any corrections to those minutes? (no response) If not, they stand approved as distributed."

"The Chair next calls on Professor Kenneth Robinson, Chairman of the Committee on Academic Programs and Policies, for presentation of a resolution on the establishment of a Theory and Simulation Science and Engineering Center."

3. RESOLUTION ON THEORY AND SIMULATION SCIENCE AND ENGINEERING
CENTER

Professor Kenneth L. Robinson, Agricultural Economics:

"On behalf of the Committee on Academic Programs and Policies, I would like to read the resolution which you have."

WHEREAS, a proposal to establish the Cornell Center for Theory and Simulation in Science and Engineering has been submitted to the FCR and has been reviewed by the Committee on Academic Programs and Policies; and

WHEREAS, there is wide support among Cornell faculty members from a broad range of disciplines concerning the need for and desirability of such a center to facilitate cooperative efforts and theoretical exchange in the development and application of powerful new computing systems; and

WHEREAS, such a center promises to be an effective and responsible means of promoting such research and the funding for it from external sources; therefore

BE IT RESOLVED, that the FCR recommends that the proposal to establish a Cornell Center for Theory and Simulation in Science and Engineering be approved; and

BE IT FURTHER RESOLVED, that such approval is conditional on the understanding that the Center shall be reviewed and evaluated by the FCR in its third year and every five years thereafter, each review to be conducted by a representative committee of the University Faculty and to address in particular the indirect as well as the direct impact of the Center on other University facilities and academic programs.

"I'd like to present that for the consideration of the FCR."

Speaker Martin: "The floor is now open for discussion. Do you wish to speak?"

Professor Robinson: "I will make just a few comments. First, I should emphasize that the proposal was submitted to a joint meeting of the Research Policies Committee and the Committee on Academic Programs and Policies. We were convinced, as a result of the presentation, that a very compelling argument was made for the Center on behalf of the proposers, that: it would facilitate development in a very exciting area, namely, the development of large-scale computers; and that the funding would come mainly from outside, it would not involve new faculty positions.

"The concerns of the faculty, I think, are generally the concerns of our Committee. The possible impact of the Center on other University activities? We certainly couldn't decide ex ante exactly what these were. We were concerned about the impact on the library, for example, that it would take away faculty time from other activities, and we decided the only way in which we could really address this was to mandate a review at the end of three years to try to trace through the indirect consequences. If it were having some indirect effects, they should be brought to the attention of the faculty, and they could take action at that time.

"We are convinced that the Center would remain under the control of the University; it would not be co-opted or corrupted by outside influences, and the governing board of the Center, I think, takes that into account. We thought the development of the Center was a reasonable risk, and for this reason, we are presenting the resolution that we did."

Speaker Martin: "Further discussion on the resolution?"

Professor Walter Lynn, Director, Science, Technology and Society: "I would like to offer an amendment which has been made available to all who signed in at the FCR, and if this is the appropriate time, I would like to offer that amendment."

BE IT FURTHER RESOLVED, that [such approval is conditional on the understanding] the FCR recommends that the Center shall be reviewed and evaluated by the [FCR] Provost in its third year and every five years thereafter, each review to be conducted by a representative committee of the University Faculty and to address in particular the indirect as well as the direct impact of the Center on other University facilities and academic programs.

(deletions in brackets, additions underlined)

Speaker Martin: "Is there a second to the amendment? (It is seconded) The amendment is now on the floor for discussion."

Professor Lynn: "Let me explain what gives cause to this amendment. There's absolutely nothing wrong with the stated intent of the Committee. Having chaired CAPP for a couple of years, I've appeared before this body on behalf of a number of other institutes and programs which have been approved. The concern has always been a real one -- whether the addition of these new institutes and centers, new initiatives that are taken -- will in some way compromise the institution and those existing institutions, and that's a legitimate concern for most of us. This suggestion is really two-fold. One is a procedural suggestion: it is not clear to me, since this resolution is simply a recommendation to the Board of Trustees, which has the power to create this body independent, whether the FCR can legitimately offer a recommendation subject

to approval. Either we recommend or we do not recommend. On the other hand, the caveat that is included says: we remind you that when you initiate this, there are indirect impacts, and really is a reminder to the person who is responsible for watching that, and that's the Provost or his successor. It is the Provost's responsibility to carry out the review for all other centers. If the FCR wants to ask for reviews independently, it should not do that in terms of this resolution, as this resolution involves just this one center. It seems to me that from CAPP's point of view, this same concern exists with all the centers and institutes. It seems to me procedurally unwise and designates the wrong party, namely the FCR, which really shouldn't do the review. It should be the Provost. Thank you."

Speaker Martin: "Is there further discussion on the amendment? (no response) If not, do you wish it read again? (no response) All right, the amendment now is on the floor for vote."

The amendment was voted on and was carried.

Speaker Martin: "The resolution as amended is now on the floor for further debate."

Professor Terrence L. Fine, Electrical Engineering: "I'm wondering about the 'every five years thereafter' provision. Is that, in fact, standard operating procedure for the Provost's office in reviewing centers, or is there something special here also? Because if there is something special for this Center, then I would like in turn to amend this amendment. First, I think I'd like to find out whether it is mandatory to have a five-year review of all centers conducted by the Provost's office?"

Speaker Martin to Provost Kennedy: "Can you respond to that?"

Provost Kennedy: "The answer is no, but it does need to be amplified a bit. There are periodic reviews frequently done by the funding agency where the University arranges for reviews. We do have periodic reviews in several of the schools and colleges of departments and programs. But it is not written into the specifications or provisions for each center that we have established. It's not uncommon to ask for a review but you asked specifically for every five years thereafter. I do not know of one where that language is included at the present time. Perhaps someone has explored that more fully than I."

Dean Bugliari: "Apparently, there was a resolution passed by the Deans' Council in 1972 that '...functions, operations and achievements of Centers be evaluated periodically (but at least every 5 years) and that the Provost be responsible for initiating review of any Center at any time'. Apparently, that was never accepted by anybody, including, obviously, the Provost. But, nevertheless, that exists, at least as far as the Deans are concerned, so I think that it's pretty much up to the Provost what happens with the other centers. That's all we can find in the way of any legislation that dealt with this specific topic."

Professor Robinson: "This question was raised by the FCR Executive Committee and this led us to this exploration of the legal basis. There was enough ambiguity about the review that we thought it probably desirable to mandate it in a resolution if you would accept it. That's why we kept it in the resolution despite the

the FCR Executive Committee questioning whether this was necessary. That was the reasoning behind it."

Speaker Martin to Professor Fine: "Do you wish to offer an amendment?"

Professor Fine: "I would like to move an amendment to the motion that is currently on the floor, which is to delete 'and every 5 years thereafter' and replace 'each' by 'such', so that it would now read: '...the Center shall be reviewed and evaluated by the Provost in its third year, such review to be conducted...' etc."

Speaker Martin: "There is an amendment on the floor. Is there a second? (The motion was seconded by Professor Lynn.) The amendment on the floor at this time is to strike in line three of the last paragraph, the words 'and every five years thereafter, each,' and substitute 'such' for the word 'each'. The amendment is on the floor for debate."

Professor Fine: "There are valid concerns about the impact of the Center. It seems to me they are addressed by the recommendation that it be reviewed in its third year. And, of course, the Provost's office would be free to initiate reviews regularly thereafter. It seems rather peculiar to me to mandate this kind of watchdog function when all we need to do is initiate it, and then, should there be a need to continue it, the Provost's office can be relied upon to continue it. I don't see why we need to single out this particular Center for this kind of continuing oversight."

Professor Rhodin: "I'd like to speak against the amendment. I think this is not just another center. I think it has great

possibilities for the University and also great questions, and I think the committee that recommended the periodic review was wise. As the Dean has already indicated, there is some confusion or some indefiniteness about these procedures. Maybe it's time that we started being a little more definite about it, and not single out this one center in any way, but it seems to me that this is a step in the right direction."

Speaker Martin: "Is there further discussion on the amendment? If not, we are now voting on an amendment to strike from the last paragraph, line three, the words 'and every five years thereafter,' and substitute 'such' for the word 'each' preceding 'review'."

The amendment was voted on and defeated.

Speaker Martin: "Is there further discussion on the resolution as previously amended?"

Professor Donald F. Sola, Modern Languages and Linguistics: "I'm speaking to get into the record one element that I would hope would figure in a review of any kind. It has been my experience in the University that we very often take actions like this without being sensitive to the definitions that are involved. A Science and Engineering Center sounds like a reasonable thing to have, but we don't really ask the question, 'what do we mean by science?' It becomes defined, if at all, in the presentation that was distributed which mentioned a number of departments that were going to cooperate. I might have suggested if I'd insisted, or had the opportunity, that people working in sociolinguistics, people working in communication arts, might very well also be included in

this group. Some of these people do, in fact, work with high-powered computing equipment, but more typically that kind of equipment is used by the other departments that were mentioned.

"The reason I bring this up is that I've been around the University quite a few years, and it has been my observation that we tend to define science and even engineering in rather ethnocentric and monochromatic terms. We're not very sensitive to cultural differences, to the fact that the University has a great deal of importance in international communication and international activities in science, and we are looked upon in many parts of the world as a very arrogant institution for that reason, or at least that has been my experience.

"Obviously, there are steps that might be taken to move the Center in the direction that I would think healthy and we might try to do that. I bring it up now because I think it's important for the University's long-term reputation and development of excellence. It's a question of cultural diversity in the definition of science and engineering that should be taken into account when we review what this Center has done and is doing."

Speaker Martin: "Is there further discussion on the resolution as amended?"

The resolution was then voted on and carried as follows:

WHEREAS, a proposal to establish the Cornell Center for Theory and Simulation in Science and Engineering has been submitted to the FCR and has been reviewed by the Committee on Academic Programs and Policies; and

WHEREAS, there is wide support among Cornell faculty members from a broad range of disciplines concerning the need for and

desirability of such a center to facilitate cooperative efforts and theoretical exchange in the development and application of powerful new computing systems; and

WHEREAS, such a center promises to be an effective and responsible means of promoting such research and the funding for it from external sources; therefore

BE IT RESOLVED, that the FCR recommends that the proposal to establish a Cornell Center for Theory and Simulation in Science and Engineering be approved; and

BE IT FURTHER RESOLVED, that the FCR recommends that the Center shall be reviewed and evaluated by the Provost in its third year and every five years thereafter, each review to be conducted by a representative committee of the University Faculty and to address in particular the indirect as well as the direct impact of the Center on other University facilities and academic programs.

4. RESOLUTION ON THE BOVINE HEALTH RESEARCH CENTER

The Chair again called on Professor Robinson for a resolution on the Bovine Health Research Center.

Professor Robinson: "This came to our attention because apparently the Center is proposing to move from being one which was uniquely in the College of Veterinary Medicine into a joint operation between the College of Veterinary Medicine and the College of Agriculture and Life Sciences. This redesignation was the reason it was brought before our Committee. The resolution adopted by the Committee reads as follows:"

WHEREAS, the research agenda of the Bovine Health Research Center in the College of Veterinary Medicine has been broadened to

include more physiological research; and

WHEREAS, research activities are now being conducted jointly by faculty members in the College of Veterinary Medicine and the College of Agriculture and Life Sciences;

THEREFORE, BE IT RESOLVED, that the name of the existing center be changed to Bovine Research Center to reflect the broader research agenda and the joint management of the center by the two colleges.

Speaker Martin: "The resolution is on the floor for discussion."

Assistant Professor Hollis Erb, Preventive Medicine, Veterinary College: "I am in favor of this motion, and I have been asked to speak in favor of it by two of my fellows up in the College. The first is Dean Edward C. Melby, who wishes it known that he is in favor of this motion, and secondly, by Dr. Donald Schlafer, who is currently the Director of the Bovine Health Research Center. He would like you to know that he is very much in favor of this change in the name, and he would like a couple of points of clarification to be made.

"Interaction with other faculty outside the Veterinary College has been going on for many years, and he doesn't wish it to be felt that it has only been a recent occurrence as a result of the word 'now' in the first line of the second paragraph of this resolution. Dr. Schlafer would like it also known and understood that the research areas have included many areas other than Physiology, and especially that they pertain to bovine management; he feels that it will continue to be a principle of the Bovine

Research Center since it will foster research which will improve the health, productivity, and well being of cattle. Thank you very much."

Speaker Martin: "Is there further discussion?"

Professor Lynn: "I'd like to ask a question of the Chairman. I thought the only research centers that come before this body are those that are between or amongst colleges. Now, this appears to be a named center within the Veterinary College, and there are lots of colleges which create centers and institutes that are totally within their own units and which do not come to the FCR, mainly because they are self-contained. Is this one different in that sense? Then why does it come before this body in any case?"

Professor Robinson: "The answer to the question of why it comes before our body, as I understand it, is that it was entirely in the Veterinary College. Now that it becomes a joint operation with the College of Agriculture and Life Sciences and Veterinary Medicine, it comes under our jurisdiction and, therefore, we should take appropriate action."

The motion was voted on and carried.

Speaker Martin: "The floor is now open for new business."

Professor Erb: "Mr. Speaker, I move that we suspend the rules to add to the agenda the resolution regarding the Transportation Master Plan."

The motion was seconded, voted on, and carried.

Speaker Martin: "Now, may we have the resolution."

5. RESOLUTION RE THE TRANSPORTATION MASTER PLAN

Associate Professor Robert G. Bland, Operations Research and Industrial Engineering: "The resolution is from the FCR Committees

on the Budget and the Professional and Economic Status of the Faculty. Copies have been distributed."

BE IT RESOLVED, that the FCR recommends to the administration that the new transportation master plan not be brought before the Board of Trustees or its Executive Committee for approval, and that no changes in the parking fee structure, and no commitment of capital funds to the master plan be made until the FCR Committees on the Budget and the Professional and Economic Status of the Faculty have had adequate opportunity to review the plan and comment upon it.

Speaker Martin: "This is a resolution coming from two Committees - Budget and Professional and Economic Status. It does not require a second. Do you wish to speak to the resolution?"

Professor Bland: "I'd like to make a few brief remarks. You are probably aware that there are plans to make some changes in transportation services. This master plan would require an investment of approximately six million dollars. The plan calls for an increase in parking fees in order to cover the service on that debt. In fact, it calls for a larger increase, not only to cover the debt service of the additional cost, but to reduce, by about a quarter of a million dollars, the current support of the transportation program by the general purpose budget. Very recently it was announced that the fee for U permits as of next year would be increased from \$144 to a little bit over \$200.

"The members of our Committee have surmised from occasional conversations that there is widespread and deep concern over this plan and particularly over the financial burden that will accompany it. First of all, we wish to learn from you whether our conclusions of widespread and deep concerns are correct, and if they are

correct, then we would find it useful to have a formal request from the FCR for an adequate opportunity to review the plan.

"The plan, as I understand it, is presently on the agenda for the Trustees meeting next week. In the last few days, Vice President Herbster has been arranging for a joint meeting of our committees with the appropriate members of the administration, and there is such a meeting tentatively scheduled. We welcome that opportunity; however, we are concerned that a single meeting will not be sufficient to actively address and discuss all the possible concerns. I should add that Bill Wendt, the Director of Transportation Services, did appear at our request before the Professional and Economic Status Committee, but at that time the financial details of the master plan were not available. It appears that the financing of the plan could affect faculty financial well being in at least two ways, one of which is direct and one of which is indirect, but neither of which is favorable. It is clear that increased parking fees have the effect of reducing real income of those who need permits, which includes most of the faculty. In order to cover the \$204 fee envisioned for next year, it would require something between \$300 and \$400 of before tax income. Many of the faculty feel rather strongly that the permits should in fact be made free to all faculty as they were until about 15 years ago, and the large increase in something that is being paid for already is a further source of irritation. We are particularly concerned by the spectre of additional large increases during the future years if the service on the debt is really to be paid out of fees. On the other hand, if there is a reversal of that strategy, and the service on the debt is not to be paid completely out of parking fees, then there is a different problem, that being that there will be an

increased burden on the general purpose budget and therein an indirect tariff on the future of faculty salary increases. Because of the present nature of the budget process, the increments to the pool of endowed faculty salaries play a role, approximately, like a dependent variable. If further large commitments of funds appear in the general purpose budget, it will make it more difficult for faculty salaries to be increased eventually to a level that has been promised, but not yet achieved, due to the tightness of the budget. Therefore, we ask for your support for this resolution."

Speaker Martin: "Is there further discussion on the resolution?"

Assistant Professor David Holmberg, Anthropology: "I'd just like to add that junior faculty, who earn the least and thus cannot afford to buy houses any place within walking distance of campus, are particularly affected by the parking fees increase."

Assistant Professor Gary M. Dunny, Veterinary Microbiology: "I would also like to add that many of the faculty are supervisors of Cornell employees, and there are a great number of concerns on the part of employees, who may not have as much of a forum to express their concerns. We can also help out our employees by having the FCR consider this issue."

Professor Howard E. Evans, Veterinary Anatomy: "We'll still have free busing and free parking, though, in peripheral lots. Is that not true?"

Professor Bland: "That is true under the Plan. Where the peripheral lots will be will change."

Professor Jay Orear, Physics: "I'm curious as to the effectiveness of this resolution. Since we have a leading member of the Administration in the audience, I am curious as to what is

his prediction. If it is now passed, will it permit a delay in the Trustees' agenda?"

Provost Kennedy: "I don't know; I have stayed out of parking. I have said, direct all of your complaints and requests to the Senior Vice President. That's a fine title, and he deserves the privilege. I'm sorry he's not here. My guess, and it is a guess, there is a good chance that it will be held up, but I really don't know because I have enough on my agenda to take care of, and I am leaving parking to him."

The resolution was voted on and carried unanimously.

Speaker Martin: "Is there any further new business? (no response) Then, we are adjourned."

The time: 5:30 p.m.

Finis coronat opus.

Respectfully submitted,

Francine Herman, Secretary

April 11, 1984

110 Ives Hall

"Hope is not the lucky gift of circumstance or disposition, but a virtue like faith and love, to be practiced whether or not we find it easy or even natural, because it is necessary to our survival as human beings."

Clara Clairborne Park, as quoted by Freeman Dyson in
"Reflections: Weapons and Hope, IV Concepts",
The New Yorker, Feb. 27, 1984, p. 103

The Speaker, Russell D. Martin, called the meeting to order at 4:32 p.m.

"We'll have to hold off, if there are no objections, on item number 2, relative to the approval of the slate of candidates, hoping that we do get a quorum in a few minutes, but we can proceed with comments from Dean Bugliari."

1. ANNOUNCEMENTS

Joseph B. Bugliari, Dean of the Faculty: "I just have a few brief announcements. I know it's hard to believe - the Provost questions it every time I say it - but the Faculty Handbook is still on schedule and making progress, and my most fervent hope is that we will have it out before he can retire on us, so I can give him ten copies to take away with him.

"More seriously, in the first two weeks of June, we are hoping to have some more of those faculty programs on computers that we had in the first two weeks in January. I haven't got any schedule yet, but Agelia Velleman is working on it and has promised me that we will

have it soon, and we will immediately get a schedule out to you, if you're interested and would like to come. I've already reserved the rooms over in Warren Hall, so at least I know I've got those if we can put the programs together. To repeat: the hope is to have faculty programs on computers again the first two weeks in June, as we did before, and Agelia Velleman has promised us a bunch of new ones in addition to repeats of some of the favorite ones we had last time.

"Third, the review of the Stein Committee rules with respect to the review of the negative tenure decisions, negative promotion decisions and negative reappointment decisions has reached the point where we are now shooting to bring that to you at the May meeting. I sure as heck hope we can do that, too.

"One last thing - hopefully, if we get 9 more people, we'll approve the slate of candidates today, and, obviously be getting out, starting tomorrow, a set of ballots. This is an important process for the faculty in electing people to the FCR and to the other committees, but is also important, particularly this year, because we'll be electing a Faculty Trustee and a Secretary of the Faculty, two very important positions. As you know, with the new realignment that has taken place, we will only have two Faculty Trustees from now on, so this person will be one of the two when the shakedown takes place and everything under the new proposal has been completed.

"I'll answer any questions, if anyone has any."

Assistant Professor Hollis Erb, Veterinary Preventive Medicine: "Which Faculty Handbook are we talking about?"

Dean Bugliari: "There was one put out in 1972, which was the last time it has been produced. It will be one for the entire

University Faculty; it will be a book that can be used by faculty who are here to get general information of all kinds; and it is also one that faculty members could use to send to prospective faculty members - people that you're interested in attracting as candidates from someplace else to perhaps tell them a little bit about how we operate here at Cornell, what facilities and the like are available."

Speaker Martin: "We'll proceed to the next item, which is a report from Professor Robert Bland, Chairman of the Committee on the Professional and Economic Status of the Faculty."

2. REPORT OF P&ES COMMITTEE

Associate Professor Robert G. Bland, Operations Research and Industrial Engineering: "Our Committee was established by the FCR, and its charge reads as follows:

The Committee on the Professional and Economic Status of the Faculty is hereby established by the Faculty Council of Representatives.

The Committee shall prepare reports on the economic and professional status of the Faculty; prepare and review proposals for improvements in policies and procedures relating to Faculty appointment, promotion, retirement, separation, tenure and other related matters; prepare and review proposals for improving conditions of employment including salary levels, fringe benefits, leaves, consultation and interdepartmental compensation; and it shall be available to the Dean of the Faculty and others for consultation on economic and/or professional matters. Such reports as are prepared by the Committee shall be made to the Faculty Council of Representatives.

"And I'm doing that at this moment. A written document will follow before the end of the semester.

"Our Committee enjoys the assistance of a number of administrative offices, including the Office of the Provost, the personnel Office, the Office of Institutional Planning, the Budget Office, and, of course, the Office of the Dean of the Faculty, and we also collaborate on issues of mutual interest with the Budget Committee of the FCR.

"Let me briefly provide you with a glimpse of a variety of items that have come before us recently (see the list below) and save for the end a single item which takes the longest to discuss and also consumes a greater part of our time, that being faculty salaries.

Changes in Benefits and Procedures

1. Health insurance carrier (endowed)
2. Long term disability insurance
3. CCTS
4. Ac. Appointments Manual
5. Policy on indemnification

Imminent Change

6. SRA investment vehicles
- ? basic pension plan?

Under Study

7. Flexible benefits

Course Reversed (postponed?)

8. Parking fees

Recommendation

9. Availability of salary info.

On-going

10. Salary and Compensation levels

Concerns

11. a) Capital spending priorities

b) Go to 10

"Let me begin by first calling to your attention certain changes in the benefits package and procedures related to professional and economic status that have gone into effect this year. The first, of course, is that we now have a new health insurance carrier (Aetna) for the endowed side of the University. The coverage is, basically, the same as it was before, but the administration is different since we now use a different carrier.

"The second change is that for the first time this year, and again only for endowed employees, the premiums for long-term disability insurance have been completely assumed by the University. Previously, employees were paying part of those premiums. Now the University has assumed the entire premium.

"The third change that has gone into effect is the expansion of the Cornell Children's Tuition Scholarship Program, expansion in particular of the coverage for students who are attending universities other than Cornell. I should add, by the way, that this plan is more restrictive for certain faculty, namely, assistant professors, who now have a seven-year waiting period for eligibility for that plan. It seems, however, that there are very few assistant professors who have children old enough to go to college.

"A change in procedures - the Academic Appointments Manual has been changed in a couple of ways that are consistent with motions of the FCR passed during the last year.

"Another change in procedures or policies is that last spring the University's Board of Trustees adopted a policy on indemnification of employees in circumstances where an employee is sued, and it is judged that the action that caused this suit was an action that was taken in the course of fulfilling normal job responsibilities. There is some continuing discussion over exactly how this is going to be implemented in unusual cases, and in particular, there is language in the Board of Trustees resolution that restricts the use to circumstances when employees are acting within the scope of University employment and in the performance of authorized duties. The resolution as passed gives the University sole discretion to determine whether or not a case fits the criteria. There is one member of our Committee who is working with members of the administration in attempting to set up some sort of committee that would include administrators as well as faculty and employees for the purpose of assisting in making those judgments.

"A change that has not yet gone into effect but will within a few months and one that should be rather important to a number of people is the offering of alternative investment opportunities and investment vehicles for supplemental retirement accounts. These are tax deferred investments, and up to this moment, these investments would have been with either TIAA or CREF. A number of other institutions, including the Cornell Medical School, over recent years have expanded the opportunities by signing up other carriers and making eligible, therefore, other investment funds. As of, I think, this July, there will be four carriers in addition to TIAA/CREF and a total of approximately 40 different mutual funds in which one can invest SRA contributions. By the way, people who are not using these,

and instead are saving money from their salaries, would probably be well advised to look into using this, particularly when one of the more flexible opportunities arrives this summer. It is one of the few areas where there is a special privilege for people like us who work for a non-profit institution. It is not available to the general public and helps in a small way to recover a little bit of the financial penalties that we suffer in terms of salaries at institutions such as this, compared to private profit-making institutions.

"Our Committee has recommended strongly to the Personnel Office that these opportunities of alternative investment vehicles should be extended to the basic pension plan and that is being looked into. We hope that within a year there will be opportunities for at least taking part of basic pension fund contributions and directing them to investments other than TIAA and CREF.

"A topic that is under study is the idea of having a flexible benefits package. This is sometimes called a 'cafeteria plan'. Rather than employers having fixed packages that are uniform for all employees, this would be a situation where each employee can choose from a menu of benefits where the total value of the benefits chosen would be restricted. The Personnel Office has formed an ad hoc committee that has been working and studying this very seriously. They've gotten so far as to hire a qualified consultant to assist them and they are making very substantial progress, indeed, moving toward the idea of having a particular implementation of this called a 'flexible spending account' where for each employee the University would set up, at the beginning of every year, a cash account from which one would draw cash for the purpose of paying for benefits.

Unfortunately, the IRS has announced within the last two months that it will treat the flexible spending accounts, as 'after' rather than 'before' tax income (i.e. you must pay income tax on the money spent from the account), and that, of course defeats the entire purpose of having it. So, the Personnel Office is continuing to look into this with two possibilities in mind: one is an implementation other than the particular implementation on which the IRS has ruled unfavorably; and the other is the anticipation of the possibility of legislative action that will require a different stance from the IRS.

"A change that was imminent but now at least has been postponed, if not reversed, was one that was discussed at the last meeting of the FCR. The Board of Trustees approved, in principle, the new Master Transportation Plan but it has returned for further review, the part of that Plan that called for financing through increased parking fees. Subsequent to the last FCR meeting, the Professional and Economic Status Committee and the Budget Committee met jointly with several members of the administration and the Director of the Transportation Office. We tried our best to impress upon them the inefficiency -- suboptimality, if you will --- of the University paying for projects by handing the money to employees and having employees send part of it to Washington -- a large part -- with what's left over to go for construction of garages and parking lots. We either succeeded in convincing them of the lack of wisdom in that approach, or we simply overcame them by the volume and persistence of our remarks. In any event, the parking fees at this moment are unchanged from what they have been this year.

"A recommendation that will be forwarded to the Deans' Council from our Committee has to do with the availability of salary information to faculty at Cornell. Until 1979 there was an annual publication in the Cornell Chronicle of average faculty salary by rank and by college. This has not appeared for five years, and for most of those five years, the Professional and Economic Status Committee has implored the administration to resume the practice of publishing this information. Last summer, several of us on the Committee met with several of the deans, and the deans expressed some of their reservations; in particular, they were concerned at that time that the publication of this sort of information in the absence of comparison information from appropriate peer institutions would perhaps cause distress beyond what need be. At that time we came to what we felt was an understanding that we would assist them and the administration in the compilation of the necessary comparative data and that finally when the data were assembled, publication would be resumed. Later in the fall, the Deans' Council discussed this issue, and I am told, came to a consensus that even in the presence of such comparative information, they still have extreme reservations. In part they were concerned with jealousies between schools and colleges. In light of those concerns, we will forward to the Deans' Council a recommendation that each dean make available to faculty within that dean's college average salaries at each of the three ranks in that college; and we also encourage the deans to provide more detailed information, such as averages over special groupings, and percentiles, as well as comparative information from other institutions.

"An ongoing topic for our Committee is salary and compensation levels, and I will remark on that in some detail in a moment. Let me first go on to talk about another area in which we have concerns.

"This area concerns the University's priorities for capital spending. It is likely that over the next five or ten years, the University will make extremely large capital investments, and at this time, at least some of us are not convinced that faculty have participated to the extent that they should in the formation of priorities among the various opportunities for capital investments. We particularly would like to make sure that the functions that really are the heart and soul of the University -- the academic functions -- will get the highest priorities.

"Our other major concern is faculty salary and compensation levels, so let me begin to tell you something about that topic. I can begin with a quote from the President about the seriousness of the situation at Cornell with regard to faculty salaries. Over the last ten or fifteen years, Cornell's history in improvement of salary and compensation levels for the faculty has been poor; indeed, as you will see in a moment, one needs to use the word 'improvement' in quotes. By some measures it has not been improvement, but deterioration, and in 1980, the President spoke to this body and said, '...we are the victim of a two-fold slippage. One was a national decline in purchasing power of faculty salaries and the other was a differential decline in our particular position at Cornell in comparison with other Ivy League members. That decline is real and it's painful.' He went on to say, 'I respect the need, I understand the hardship ... we've got to continue to make progress.'

"The decline in purchasing power of which the President spoke is illustrated by this chart of average compensation and salary by rank in constant 1970 dollars from 1970 to 1982. (Appendix A attached.)

"Over that period, beginning particularly around 1973 or 1974, there was a steady erosion in the real buying power of faculty salaries. The salary pools were incremented every year, but the increments were falling far short of the rate of inflation. Indeed, one measure of how serious this became is that at one point within this period the real earning power of the associate professors had shrunk to the level that was the earning power of the assistant professors in 1970. You can take some encouragement. This only goes up to 1982. This is the '82-'83 academic year that is the last part of the chart (pointing to chart). That is the last year for which we have AAUP data from which this chart is drawn. You can take some encouragement that for the first time in many years we see an upward movement in these curves, where, finally, salaries and compensation are beginning to gain back a small part of what was lost. However, what was lost is sizeable, so sizeable that for every one percent that would go beyond the present inflation rate, we are only going to be gaining eight tenths of a percent compared to what went on in 1970, since we lost about 20 percent over the period since 1970. We are, however, encouraged by the upward turn. There's a natural tendency to extrapolate from a downward curve like this (pointing to the period from 1973 to 1982 on the chart) and it would appear from such an extrapolation that sometime in the first half of the next century that faculty would no longer be compensated but would be paying tuition. We trust that arresting the declining trend would prevent that circumstance.

"The next table summarizes what this in the chart is saying.

AVERAGE SALARY AND COMPENSATION BY RANK (in \$1000.)
(C.U. Endowed, 9 mo.)

1982-83

	Prof.	Assoc.	Asst.
Salary	43.5	30.9	24.8
Comp.	52.4	37.0	29.9
In 1970 dollars			
	17.7	12.6	10.1
	21.4	15.1	12.2
70-1 Averages			
	21.5	15.1	11.9
	25.1	17.8	14.1
% Decline (before taxes)			
	18%	17%	15%
	15%	15%	13%

These are the average salary levels and average compensation levels of each of the three ranks in 1982-83. Again, only for the endowed division and only nine month salaries. I should explain that because of the variation within Cornell of the administrative units, it has been of particular concern that we monitor endowed salaries, the reason being that the salary increments for the pool in the statutory division are essentially determined elsewhere, whereas with the exception of a few units -- such as the Law School or the School of Management that are essentially independent financially, for the rest of the endowed division, the Board of Trustees and the Administration determine their salary increments, the increments

in the entire salary pool. I will try to present some information about the plight of the statutory units as well, but for the moment, these data come from the endowed. The salary levels and compensation levels for each of the three ranks as reported by the AAUP are given (referring to chart). If we deflate those to 1970 buying power, those are the resulting numbers. The 43.5 thousand dollars that is the average salary for full professors for nine months actually translates to 17.7 thousand dollars in 1970 buying power. However, in the 1970-71 academic year, the average salary for full professors for nine months was \$21,500. So, you see there is a noticeable slippage in how well full professors on the average are being compensated. The decline since 1970 is given in percentages. The decline before taxes in gross income from nine-month salary shows a loss of about 18% for full professors, slightly less than 18% for assistant and associate professors, and the decline in compensation levels is approximately 15% for full and associate professors and 13% for assistant professors. This, of course, takes into account the fact that in the last year, we gained back some lost ground, the increments were larger than the rate of inflation. The year previous to this the levels of the losses were on the order of 20%. Keep in mind that these are the losses before taxes. Present salaries, though lower than in 1970 in real purchasing power, are much higher than in 1970 in the raw total, which puts you in higher tax brackets. You thus end up paying more in taxes, and the loss after taxes is considerably larger still than indicated here. Last year, we had estimated, for example, that the loss in disposable income for full professors was on the order of 30%. Now, it would be less than that this year for two

reasons: the decrease in the marginal tax rates; and an improvement in our position relative to inflation. But one should keep in mind that this is a very grave situation, and it was this in part that led the President to make the remark I quoted earlier.

"For your information, I will talk more in a little while about 83-84. The AAUP numbers for 83-84 are not out, but these are the numbers that we have from the administration. The average salaries in thousands of dollars for the professors, associate professors, and assistant professors in the endowed colleges are 47.7, 33.5, and 27.4, respectively. We only have salary; we don't have compensation.

"I should remark, by the way, that of course the country as a whole has suffered with inflation over this same period, and so perhaps it's not surprising that faculty salaries declined by something on the order of 18% during this period. However, the AAUP has studied such comparable professions as engineers, accountants, etc., and they said the slippage over the same period for that group is 4.3% as opposed to the near 20% for faculty. Our loss against inflation, by the way, is one that is consistent with the experience of faculty across the country as a whole.

"Now, there is a second part to the President's remarks. The first part was that we had lost ground with respect to constant buying power. The second part of the remark was that we had also slipped with respect to peer institutions. There are different ways of choosing who your peers are and over the years the University has had a variety of choices of peer groups. There is at least one peer group that has been a common source for comparative information in the last couple of years, and this group was put

together by the administration. It consists of the 27 largest U.S. universities -- largest here is measured by the annual production of Ph.D.'s. Since the University is using this peer group as a measure for endowed faculty salaries, the members of our Committee would like also to make comparisons with the institutions among those 27 that are, like Cornell's endowed colleges, private. And there are 11 in this group of 27 that are private, including Cornell. Let me remark at this time on the 82-83 numbers.

82-83

Standing Among "Peers"

83-84

A: 27 - largest (in number of Ph.D's awarded)

U.S. Universities

B: 11 - largest private U.S. Universities

<u>A</u>	<u>Prof.</u>	<u>Assoc.</u>	<u>Asst.</u>	<u>Average</u>
82-83	11/27	10 $\frac{1}{2}$ /27	12/27	10/27
83-84(?)	10/27	6/27	9/27	8/27
<u>B</u>				
82-83	10/11	8/11	9/11	9/11
83-84(?)	10/11	6/11	8/11	7/11

We'll talk a little more later about the 83-84 numbers. As of 82-83, among the 27, in average full professor salaries, Cornell ranked 11th of those 27. Associate professors tied for tenth, assistant professors ranked tenth, and the average overall faculty at Cornell was tenth out of 27. Tenth by the way is a bit deceiving. In spite of the fact that full professors at Cornell are paid worse than they are at a lot of other institutions, there tends to be a greater proportion of full professors at

Cornell among all the faculty than at many other institutions. Even though the full professors here are not doing as well as other places, they are doing better than associate and assistant professors in those places, and that skews the average in such a way that this number 10 is actually smaller than if you computed a weighted average comparing, for instance, what does it cost Cornell to pay at each of the three ranks the average salaries the other universities pay their three ranks. For example, in recent years the University of Southern California has paid better than Cornell at all three ranks, but has a lower overall average salary.

"If we switch our attention to the private universities among these 27, of which there are 11, then the situation is worse still. In 82-83, the full professor average salary at Cornell ranked 10 out of 11. Believe it or not, that was an improvement over 81-82. Associate professor salary ranked 8th out of 11 and assistant professor salary ranked 9th out of 11, and the average over all ranks was ninth.

"Well, this is the second part of what the President was speaking about. At the beginning of the 1970's, Cornell enjoyed a much higher status in the ranking among peer institutions. A further measure of the deterioration is that in 1970 among these 27 institutions, there are only 3 that paid higher average salaries than Cornell at every one of the three professorial ranks. By 1981 that number went from 3 to 10 that paid better than Cornell at all three ranks. In the group of the ten other private institutions, 3 out of those 10 paid better at all three ranks in 1970, and 7 out of 10 paid better at all three ranks in 1981, 9 out of 10 paying better at at least two of the three ranks.

so, our status with respect to peers has slipped.

"In recognition of these dire circumstances, the administration took a very serious look at the salary and compensation levels. In the spring of 1981, Provost Kennedy spoke to the University Faculty, and he estimated that our salary levels were 6% below where they should have been with respect to peers. He remarked that we couldn't make that up in a single year, but he said, 'we're setting our targets to do it over a three-year period,' at two percent a year above the peers. In the following fall, he reiterated this although he said that they would use inflation as the measure, as perhaps it would be difficult to assess what the peers might be doing in any given academic year. He cautioned that two percent above inflation might not get us two percent above peers because peers had also noticed their slippage against inflation and were also trying to make up ground. He also remarked that, theoretically at least, if inflation came down, the University should be able to do better. He went on to say that 'to provide adequate financial aid and adequate compensation for the faculty and staff are the two most important goals,' and that 'our primary objective is to be competitive with peer institutions.' Also, at about this time there was a very interesting remark on this issue from the Academic Affairs Committee and the Board of Trustees. They issued a report that said among other things, the following: 'it is most important to set level of increases, as has been done, high enough to continue to close the gap between faculty salary levels in the endowed colleges at Cornell and those Ivy institutions with higher faculty salaries.' They went on to call for restoring the purchasing power of faculty salaries, and they concluded with the remark, 'We encourage

the administration to articulate a plan for developing the necessary new funding and reallocation of funds to support this long-term goal.'

"In 1982, the Provost again emphasized the importance of these matters. He said, our 'top priorities for annual giving are: compensation for faculty and staff, financial aid, and increased support for the library.' Then in 1983, that spring, he reported to the FCR and made the following remarks:

"'Two years ago I appeared before the FCR and stated that in comparison with peer institutions, we were about 6% behind the 80th percentile salary level and that we planned over the next three years to reach the 80th percentile by increasing salaries approximately 2% above the average increases of peer institutions. We didn't define peer institutions, but since 1981 we have selected 27 universities.'

"Then he went on to summarize where we were, and he went on to say: 'We doubt if we can close the gap this year, but we believe we will be very near the 80th percentile. Salary figures for 1983-84 are still very tentative.' He then said that the action being taken for the 83-84 year 'would enable us to move our base forward by 10% by the beginning of the next year, and it certainly would put us very close to the 80th percentile.'

"The President, this past September, announced in fact that we had either reached the 80th percentile or come very close. To reach the 80th percentile of the 27 institutions would require that we have fewer than 20% of them above us in the ranking. We would need to be in position number 6. We are not in position number 6. We are presently in position number 8 in average salary -- this is unweighted average -- and a somewhat worse position by the

weighted averages. Our distance from the 80th percentile is on the order of \$1,600 per faculty member. Furthermore, the AAUP reports on those institutions classified as category 1 private institutions, these are all the private universities in the U.S. that have an average over the three-year period of 30 or more Ph.D's in at least three unrelated areas. Among that group of 48 institutions, full professor salaries at Cornell are one percent below the average for the group, and assistant and associate professor salary levels are a little over one percent above the average. On the whole, the University is below average -- weighted average -- among the group of 48 institutions.

"Let me show you some measures of progress or lack of progress, depending on how you interpret them. In New York State, last year's AAUP report for 1981-82 had full professor salaries at Cornell ranked 25th in the State among those institutions that report to the AAUP; associate professors are 31st on the list; and assistant professors are 21st. Now, by 1982-83 these numbers appear to have improved, although one would think that in New York State, Cornell should do better than that (full professors 14th, associate professors tied for 25th, and assistant professors 19th). One also needs to take into account that the principal cause of the improvement in the ranks has to do with the fact that a large number of institutions that were ranked ahead of Cornell in 1981-82 did not report in 82-83. Among those institutions that are doing better in at least one category; that is, at least one rank at either compensation or salary, are Erie Community College, Dutchess County Community College, Orange County Community College and SUNY Brockport.

Westchester Community College is an interesting case. They did a lot better than Cornell in certain categories, in part, we're told, because of the expense of living in Westchester. However, the sizes of the differences I think are actually astonishing. The assistant professor compensation levels on the average at Westchester Community College are larger than at Cornell by more than \$9,000 a year. The number for associate professors is almost as large. Now a comparison with SUNY centers -- Stony Brook, Buffalo, Albany, and Binghamton -- the four university centers in the SUNY system:

1982-83 Comparison with SUNY Centers

<u>Professor</u>		<u>Associate Prof.</u>		<u>Assistant Prof.</u>	
<u>Salary</u>	<u>Compensation</u>	<u>Salary</u>	<u>Compensation</u>	<u>Salary</u>	<u>Compensation</u>
Stony B.	Stony B.	Stony B.	Stony B.	Buffalo	<u>C.U.S.</u>
Buffalo	Buffalo	Albany	Albany	<u>C.U.St.</u>	Albany
Albany	Albany	Buffalo	Buffalo	<u>C.U.E.</u>	Buffalo
<u>C.U. End.</u>	Bing.	Bing.	Bing.	Albany	<u>C.U.E.</u>
Bing.	C.U. E&S	<u>C.U. E</u>	<u>C.U. S</u>	Stony B.	Stony B.
<u>C.U. Stat.</u>		<u>C.U. S</u>	<u>C.U. E</u>	Bing.	Bing.

Ranked from highest to lowest in average salary and average compensation.

First, full professors -- if we rank Cornell endowed and Cornell statutory along with those four, Cornell endowed ranks fourth, just ahead of Binghamton, and statutory average salary levels for professors is the lowest. In compensation levels for full professors, the endowed and statutory full professors tie for average compensation level at the bottom of the list. The situation for associate professors is similarly shown here where Cornell endowed and

Cornell statutory and endowed switch positions with respect to one another in moving from salary to compensation at the very bottom of the lists. Assistant professors at Cornell are doing a little better than associate and full professors with respect to the SUNY centers.

"Why has this deterioration occurred in spite of the fact that the increases the past few years have appeared to be generous when viewed outside of the longer history that I have just summarized? The answer is, of course, that other institutions have also been trying to make up for ground lost against inflation. As an example of this, look at the increment that went into effect in 1982-83 which averaged 10.7% for the endowed faculty, well ahead of inflation. However, the AAUP reports that at the Category 1 private institutions, 54.7% of all faculty got increases of at least 10%, and 46.1% of the institutions provided average increments greater than 10%. So, we made up a little ground against inflation, but we didn't make up the ground we expected against peers. We estimate -- and this of course depends on information we get from the administration, on the present perception of what's going on with the expected salary increments at other institutions -- we estimate that the effect of the proposal for this year that would increase the base by the end of next year by 8½% will leave us short of the goal of the 80th percentile by something between \$1,000 and \$1,600 per faculty member. Whether it's \$1,000 or \$1,600 depends on whose point of view you take. The Vice Provost, Jim Spencer, does not have the same view as Alan McAdams on the Budget Committee and I on how to treat a rather remarkable situation

that is going on at the University of California, where fringe benefits are being shifted to salary. Even after the shift their fringe benefits will continue to be much larger than Cornell's, according to the AAUP. This has the result that UCLA, previously below us in the ranking, will move ahead of us, and ahead of the institutions that we perceived to be at the 80th percentile.

"If Jim Spencer were here, which, unfortunately, he isn't, he would certainly remark when given the opportunity on the fact that the cost of living in Ithaca should be less than it is in some of the places with which we compete, and that's why Cornell shouldn't be expected to pay that high a salary.

"In the most recent information that we have, the 1982 cost of living from the United States Bureau of Labor Statistics, this is not really borne out. There are a few places that have substantially higher costs of living than Buffalo, which we presume to be close to Ithaca in cost of living. But not all that many and not that much, and there are quite a few more that are lower by an equal amount. Furthermore, I think it should be apparent from the list of institutions around upstate New York that are paying better than Cornell, that there is something more going on than the cost of living. Furthermore, I would point out that in the recruitment of faculty from other places we don't often have great success with the line, 'If you come here, your cost of living will be lowered.' We have not had a lot of success, for example, recruiting people from the San Francisco area. They often infer that the cost of housing may be lower because fewer people are interested in living here. Also, at Cornell, if expenses are lower for us, they also should be lower for the University, and therefore, should make room in the budget for things like faculty salaries.

"So, the bottom line at the moment is that over the last few years there has been some progress, but the progress has not been as rapid as we had hoped; it has not been rapid enough to close the gap between Cornell and the targeted level among the peers. What we would like to see is a renewed commitment from the administration to close that gap, and vigorous pursuit of that goal. I don't think that it really can be said any better than the Board of Trustees Academic Affairs Committee said it in the report quoted earlier.

"After talking about the need for recovering some of the loss of real income and the need of closing the gap, it went on to say, 'We encourage the administration to articulate a plan to develop the necessary new funding and reallocation of funds to support this goal.' I certainly endorse that.

"The last category in my initial list of what I wanted to discuss with you was concerns, and among the two concerns listed was faculty salaries. I hope you appreciate now why it is a great concern for us."

Speaker Martin: "Are there any questions for Professor Bland?"

Dean Bugliari: "Bill Gurowitz left, but he left me with a note, which I should read into the record. He said that the administration has heard the faculty concerns with respect to parking, and is looking at what to do, that they will not implement the full increases and the question is, 'should we increase and at what level.' Also, they will not reduce the University's subsidy substantially. They are at this moment reconsidering and will get together with the faculty committees to discuss their ideas before any increase is implemented."

Speaker Martin: "We do now have a quorum, so we will back up to the matter of the presentation and approval of the slate of candidates."

3. APPROVAL OF SLATE OF CANDIDATES

Dean Bugliari asked if there were any additions to the slate of candidates. Professor Thor Rhodin was nominated and seconded for the Professional and Economic Status of the Faculty Committee.

The slate of candidates was approved as follows:

SECRETARY OF THE UNIVERSITY FACULTY - 3-year term

Frederick T. Bent, Associate Professor, Graduate School of Management
Francine A. Herman, Associate Professor, School of Hotel Administration

FACULTY TRUSTEE - 1 vacancy, 4-year term

Jennie T. Farley, Associate Professor, Industrial and Labor Relations
Olan D. Forker, Professor and Chairman, Agricultural Economics
Lee C. Lee, Associate Professor, Human Development and Family Studies
Alan K. McAdams, Associate Professor, Graduate School of Management
Henry N. Ricciuti, Professor and Chairman, Human Development
and Family Studies

Yervant Terzian, Professor and Chairman, Astronomy

AT-LARGE MEMBER, FCR - 4 vacancies, 3-year term

Robert D. Boynton, Associate Professor, Agricultural Economics
Stephen J. Ceci, Associate Professor, Human Development
and Family Studies

Robert M. Cotts, Professor, Physics

Edward M. Gunn, Associate Professor, Asian Studies

Peter Harriott, Fred H. Rhodes Professor of Chemical Engineering

Andrew Ramage, Associate Professor and Chairman, History of Art

REVIEW AND PROCEDURES COMMITTEE - 3 vacancies, 3-year term

Sander L. Gilman, Professor of German Literature and Humane Studies
and Professor of Psychiatry (History)

James W. Mayer, Francis Norwood Bard Professor of Materials Science
and Engineering

Edward R. Ostrander, Associate Professor, Design and Environmental
Analysis

Richard M. Talman, Professor, Physics

NOMINATIONS AND ELECTIONS COMMITTEE - 3 vacancies, 3-year term

Barry B. Adams, Professor, English

Edward S. Flash, Jr., Associate Professor, Graduate School of
Management

Eleanor H. Jorden, Mary Donlon Alger Professor of Linguistics

Mary A. Morrison, Professor, Nutritional Sciences

Francis W. Saul, Associate Professor, Architecture

MEMBERSHIP OF THE UNIVERSITY FACULTY - 1 vacancy, 3-year term

Mary Purchase, Professor, Design and Environmental Analysis

Leo M. Renaghan, Associate Professor, Hotel Administration

Ruth Schwartz, Professor, Nutritional Sciences

ACADEMIC PROGRAMS AND POLICIES COMMITTEE - 1 vacancy, 3-year term

David F. Delchamps, Assistant Professor, Electrical Engineering

Donald C. Graham, Associate Professor, Food Science

Donald B. Zilversmit, Professor, Nutritional Sciences

FREEDOM OF TEACHING AND LEARNING COMMITTEE - 2 vacancies, 3-year term

Roy Alvarez, Assistant Professor, Hotel Administration

Urie Bronfenbrenner, Jacob Gould Schurman Professor, Human Development
and Family Studies and Psychology

John L. Ford, Associate Professor, Human Service Studies

David I. Grossvogel, Goldwin Smith Professor of Comparative
Literature and Romance Studies

MINORITY EDUCATION COMMITTEE - 1 vacancy, 3-year term

Chih Chang Chu, Assistant Professor, Design and Environmental Analysis
Sally McConnell-Ginet, Associate Professor, Modern Languages
and Linguistics

PHYSICAL EDUCATION COMMITTEE - 1 vacancy, 3-year term

William E. Drake, Professor, Education
Daphne Roe, Professor, Nutritional Sciences

PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY COMMITTEE

2 vacancies, 3-year term

Ronald G. Ehrenberg, Professor of Economics, Arts and Sciences, and
Labor Economics, ILR

Jay Orear, Professor, Physics

Thor N. Rhodin, Professor, Applied and Engineering Physics

Richard E. Schuler, Associate Professor, Economics, Arts and Sciences
and Civil and Environmental Engineering, College of Engineering

RESEARCH POLICIES COMMITTEE - 1 vacancy, 3-year term

Donald T. Farley, Professor, Electrical Engineering
George T. Milkovich, Professor, Industrial and Labor Relations
John F. Wootton, Professor, Veterinary Physiology

RESEARCH POLICIES COMMITTEE - 1 non-tenured vacancy, 3-year term

Gregory S. Ezra, Assistant Professor, Chemistry
Thomas A. Gavin, Assistant Professor, Natural Resources
Kevin Karplus, Assistant Professor, Computer Science

UNIVERSITY-ROTC RELATIONSHIPS COMMITTEE - 2 vacancies, 3-year term

Stephen M. Parrish, Professor, English
David Pimentel, Professor, Entomology
Gary D. Sloan, Assistant Professor, Design and Environmental Analysis

COUNCIL ON PHYSICAL EDUCATION AND ATHLETICS - 1 vacancy, 3-year term

Franklin K. Moore, Joseph C. Ford Professor of Mechanical Engineering

Charles E. Short, Professor, Clinical Sciences

Robert Stern, Associate Professor, Industrial and Labor Relations

UNIVERSITY ASSEMBLY - 4 vacancies, 2-year term beginning June 1, 1984

Thomas J. Kelly, Assistant Professor, Hotel Administration

David A. Levitsky, Associate Professor, Nutritional Sciences

Andy L. Ruina, Assistant Professor, Theoretical and Applied Mechanics

Peter Schwartz, Assistant Professor, Design and Environmental Analysis

John E.H. Sherry, Associate Professor, Hotel Administration

The Speaker asked if there was further business.

Dean Bugliari: "Perhaps the Provost would like to say

something?"

Provost Kennedy: "Well, the obvious thing is, 'why haven't

we met the increase in the salary commitment that we indicated

several years ago.' The answer is very simple. We simply don't

have the money. We have been pushing tuition up at a very

substantial rate. We have done remarkably well in comparison with

other universities in generating increased gifts and other funds,

but the actual size of the endowment of Cornell University

unfortunately is relatively small, especially if you put it on per

student or per faculty basis compared to those at some of the private

universities. In addition to increasing salaries, which certainly

is a high-priority area for us, there's also interest on the part

of faculty, and rightfully so, of increased support for the

libraries, renovation of laboratories, new facilities, better

computer facilities, and we also have, if we're going to remain

competitive in attracting quality students, the task before us of

improving the general campus life facilities - dormitories,

athletic facilities, and other areas.

"In brief, the demands on the University are enormous, and we felt, looking at inflation and the concerns of many families, that we wanted to hold tuition increase no greater than 8% on the endowed units. Actually, it's going to be slightly higher than that in the statutory colleges. That simply does not yield enough money to do everything we would like to do, and it is a question. Obviously, if we said salary was the most important thing by a very significant margin over everything else, we could provide larger salaries, but there would be a reduction in the library, there would be less advance in computer facilities, we would not be making commitments to upgrade certain laboratories or to add new facilities, which we are doing. I think in the long run we'd even be a poorer institution than we are if we don't meet the desires of everyone on salary increases. This is not easy to say before the faculty, but that is the way we see it, and we've weighed all of this. The demands for financial aid, to use one example, are enormous; they are going to be increased 18% this year, and we will still not be competitive with a number of peer institutions in terms of the smallness of the self-help requirement. Our self-help requirement is going to be significantly larger. And is it in the best interest of the University to take less qualified students or do we want to try to maintain the richness that we have?

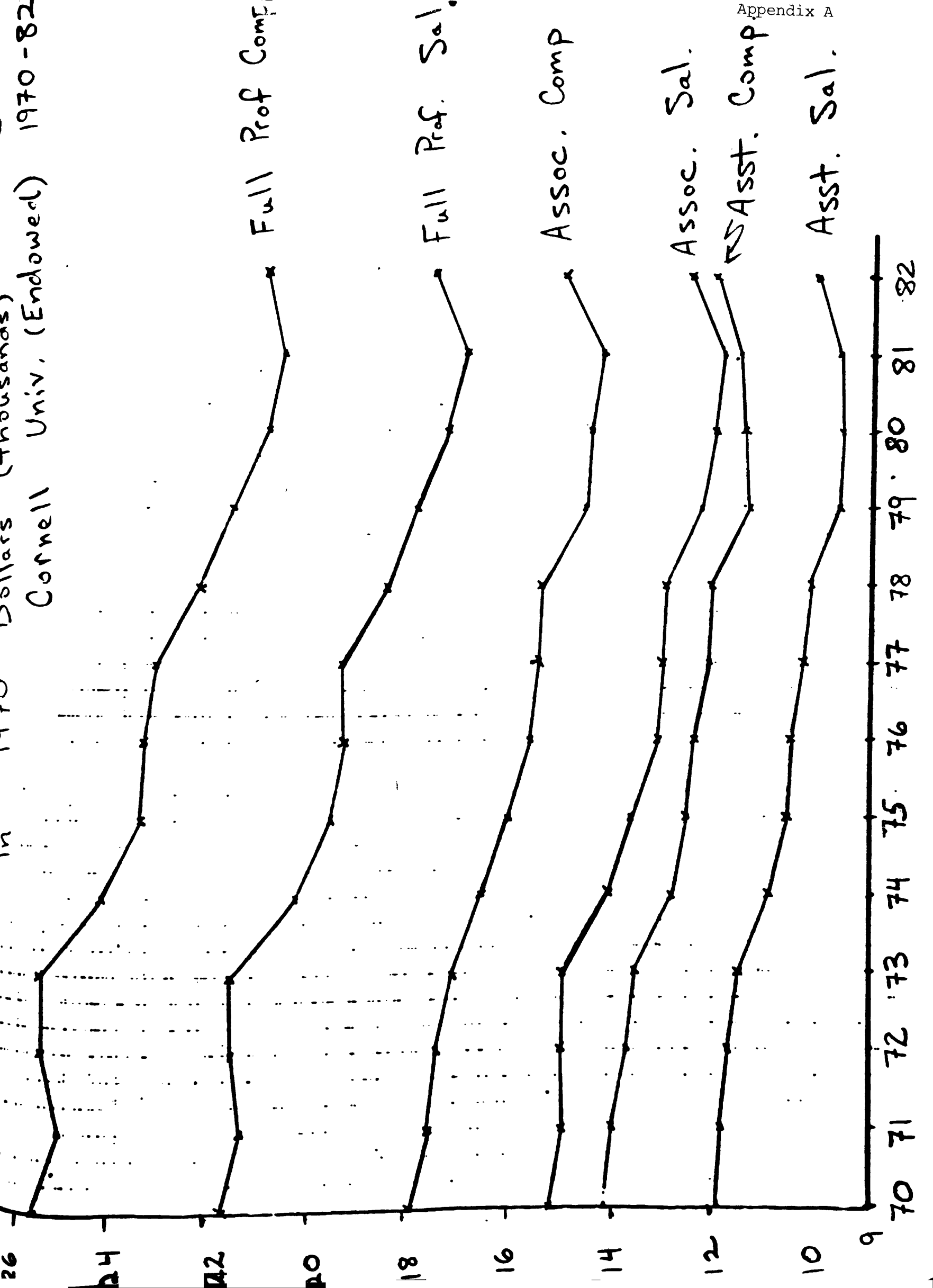
"Just one final jab because I can't resist it, Bob. Someday I'm going to put on the board the graph of the salary increases from 1960 to 1984, and it will be quite a different picture. During the decade of the sixties, faculty gained in purchasing power very significantly. There's no question: purchasing power

has declined, we know that. Faculty across the United States will, as you've shown, gain in 83-84, and I'm sure will gain again in 84-85 in terms of purchasing power; but we haven't gained on our peers simply because all institutions have also seen this as being a need, and in retrospect when we made these statements two or three years ago, we should have been wise enough to anticipate that other universities would also be increasing their salaries at 2 or 3 percent above inflation rate. Perhaps we were naive at the time; we certainly weren't deliberate in thinking that if we could go 2 or 3 percent above the inflation rate that we would make a gain on peer institutions, but this we have not done. We haven't lost ground; we have actually made a small gain overall, but it's not where we want to be, and I'm not going to defend it. We all regret that we haven't done better, but as I have already stated, there are many other demands besides just salaries, and I think that they are in terms of maintaining the environment at this institution that the faculty by and large wants. Congratulations to the new Provost-elect. See what you're inheriting?"

There being no further business, the meeting was adjourned at 5:51 p.m.

Respectfully submitted,

Francine A. Herman, Secretary



May 16, 1984

110 Ives Hall

The Speaker, Russell D. Martin, called the meeting to order at 3:30 p.m. He announced that there was no quorum at that time and that action on the minutes would be omitted until a quorum was present. He then called on the Dean of the Faculty, Joseph B. Bugliari, for comments.

1. REMARKS BY THE DEAN

Dean Bugliari: "I don't have a great number of comments to make today, but there are a couple of items that I'd like to mention. First, I'd like to welcome any new members of the FCR who happen to be here. We have a new FCR that will start on July 1, and I would like to welcome any of those members who are here today.

"I'd also like to call your attention, if you have not been in Day Hall lately, to the interesting display put together by Kathy Beauregard in that case that sits just as you come in the door on the second floor. This display salutes faculty, teaching and research. It has comments and pictures, and you may even recognize a few people in those pictures. Most of them are present-day members of the faculty and show various ways in which faculty throughout the University are engaged in research and teaching students. It is a really interesting display, and my understanding is that it will be taken over to Barton Hall at reunion time and that, eventually, we can keep it.

"I'm sure that all of you are aware (because of what's happening in our office) about the computer programs that we are giving in June. Some of the programs are already filled. We do have some more spots in some of them, and it may be that we will be able to get some additional sections for some of the ones that are already filled. So, if you are interested in those programs, please let us know.

"Some of you may know that three years ago the FCR established a Committee on South African Investments. The legislation that established it provided that at the end of this year it would expire if its existence was not continued by the FCR. I will, if you wish, explain what has transpired, but the end result is that the Committee voted unanimously not to continue. As a result, the Committee will no longer exist unless this body, or members of this body, exert some pressure for it to continue. Maybe I should explain one thing. The feeling was that the main issue that the Committee ought to develop was whether the FCR should recommend divestiture of the University's interest in companies that did business in South Africa. At that point it was recognized that this would involve a rather substantial undertaking to support that kind of recommendation. Nobody, however, was willing to be chairman of the Committee that would undertake that task. As a result, the Committee members have now recommended that the Committee no longer exist.

"I will answer any questions on that issue if anyone has any, but that's where they are.

"Finally, I'd like to encourage your participation in Graduation. I think you all know that there are robes, caps and hoods available in Barton Hall. That information is contained in that pamphlet that you received with the call to the meeting of the University Faculty, and there are more copies up here if you need one. I think those of you who have participated know that it's pretty easy on the faculty. We march just in front of the Trustee procession, we have reserved seats, and the ceremony is not too long. Most of the time is spent in marching in and marching out, and since we march out before the rest disband, we get out before things get too bad. We make a double line over at Morrill Hall and the students all pass between us.

We thus have a chance to see students that we know and say goodbye. I think it is a nice event, and I would encourage all of you, if you can, to participate. It doesn't take a great deal of time or effort, and I think faculty participation is much appreciated by the students."

Speaker Martin: "Are there any questions for the Dean?"

Assistant Professor Timothy Murray, English: "I wonder if you would explain a little bit the current status of the South African divestment situation. This year, as I understand it, the student body passed a referendum by a rather large majority calling for divestment. Will this issue come up before the FCR at all?"

Dean Bugliari: "It is always possible for some group to go to the FCR Executive Committee and ask that the FCR take a position on some issue. So, it can come up. But it's going to take an initiative from some group. My feeling as to why the Committee took the path that it did was that it felt that after all that has gone on, there was only one issue left: Should we divest or should we not? The problem the Committee faced was that in order for them to come up with a cogent, coherent recommendation they had to have something to support it which would involve significant preparation. They just could not come forward and say, 'we recommend this.' There had to be a document. This body would expect to go along with any recommendation. Nobody was quite willing to come up with the time that would be necessary to produce a document. I don't think the issue is dead. I think the standing Committee for whatever it was supposed to be doing, is dead.

"I don't know whether that answers your question satisfactorily. I don't know what more I can say."

Speaker Martin: "We still do not have a quorum, so we'll have to skip over for the present the items dealing with the presentation and approval of the

slate of candidates for FCR Committee seats.

"We move next to the first of three reports this afternoon. The Chair now calls on Kenneth Strike, Chairman of the ad hoc Committee to Review Appeal Procedures."

2. REPORT ON REVIEW OF APPEAL PROCEDURES

Professor Kenneth A. Strike, Education: "I have been the Chair of the Committee whose task it has been to evaluate and revise what are commonly referred to as the Stein Procedures. These are the procedures which govern appeals by faculty members who have been turned down for tenure or promotion, and I refer to them as the Stein procedures because Peter Stein chaired the committee that produced them three years ago. The legislation that approved those procedures also provided for their evaluation at this time. We had hoped to be able to present to you our report before the end of the year. In fact in the call sometime in December when Dean Bugliari asked me to take on this committee responsibility I believe the expression 'a couple of weeks of work' was used in recruiting me. It has turned out to be somewhat more than a couple of weeks, and I think I will simply tell you what we've been doing, how we've been doing it, why we're not done, and where we are - roughly in that order.

"The first step we undertook to examine the Stein procedures was to spend some time reading through the case histories of the five cases brought to date under the appeals mechanism. We also asked for and received reactions to the procedures from a variety of people who have some interest in them or experience with them including some of the appellants and faculty members who have been on the appeals panels. We used this information to establish an agenda list of items of possible revisions and then went through a rather exhaustive process of discussion. We have as a result of this process produced a draft set of revisions which we are now in the process essentially

of talking out with various individuals around the University who have a legitimate or a vested interest in them. The talking out process is what has taken a relatively long time. It is our view that since there are currently no cases pending that it is wiser to present you with a document in the fall in which there is a reasonably broad consensus than to present you with a document now on which there might be some considerable debate. The talking out process, I think, is virtually completed. I, in fact, spent part of my morning doing some more talking out. I think I have achieved some consensus with the last vestage of the visible opposition to date.

"Let me simply give you as quickly as I can a kind of summary of the view that we have taken toward the Stein procedures. I think it would be fair to say that we think that the procedures that were approved three years ago have worked quite well. In reading through the case material of those cases that have gotten to the appeals panels that it provided for, I think our sense is that justice was reasonably served in each of the cases. I think we also are reasonably persuaded that the appeals mechanisms have not generated any of the kinds of negative side effects that appeals mechanisms might generate. There have not been numerous superfluous appeals. As I mentioned, there have only been five. There has not been litigation which has resulted from how the appeals were handled. The appeal procedures do not seem to have been overly consumptive of the time of the people who have been involved, although I think there might be one or two people who might quibble a little about the amount of time they spent. I think it is also quite likely that they've had a beneficial effect on the operating procedures of departments around the University; that is, the appeal procedures have performed a kind of educative effect with respect to how to handle a case. It is our best guess that that is why there have been so few appeals. In fact, they have resulted in some reformation of departmental

policy procedures with respect to the handling of promotion questions. I think it follows from this that we think the basic structure and the basic philosophy of the Stein procedures is sensible, has worked well, and that we ought not to expect we are going to tamper with them in any major way. I think we regard most of the kinds of revisions that we have made as quite consistent with the overall approach, and as not being particularly major or innovative with respect to its overall structure."

Speaker Martin: "Are there any questions for Professor Strike?"

Professor Ronald Ehrenberg, Economics and ILR: "The procedures currently cover the situation of a candidate and/or department wishing to appeal a negative decision. No place in the procedures is there a provision whereby a negative decision by the department which is overruled at the Dean's level may be appealed in the hope of restoring a negative decision. Do you think this is a matter that your Committee might properly consider?"

Professor Strike: "We have not acted on that, nor have we discussed it. I'm not sure that at this moment I would think that this is within our purview. My sense of our enterprise is that we are examining devices by which candidates who are turned down may address potential grievances they may have with the system that has turned them down. I think my first blush response would be to say that it would be inappropriate for us to expand our agenda to consider allowing departments to appeal decisions of deans. I would think that another mechanism might be more appropriate for that. If you would like, I can bring it up to my Committee."

Speaker Martin: "The Chair next calls on Professor Alan McAdams, Chairman of the Budget Committee."

3. REPORT OF THE BUDGET COMMITTEE

Professor McAdams: "I'd like again to tell you who we on the Budget Committee are, what we do, and then take questions. The Committee consists of

Peter Auer from Aerospace Engineering, Bob Bechhofer from Industrial Engineering, Gene Erickson from Rural Sociology, Peter Kahn from Mathematics, John Nation from Electrical Engineering, Dale Oesterle from Law, and myself from the School of Management. We meet regularly with Dean Bugliari and with Jim Spencer (Vice Provost) and with John Lambert (Budget Director). We generally meet weekly when things are hot, and we meet bi-weekly anyway. University officials responsible for particular areas under discussion on a given day usually join us.

"I want to talk to you today about three major items. First, things that occurred in financial aid -- and I think you'll get greater detail on that from some others over the year; second, faculty compensation -- you heard a great deal about it last time -- and third, parking. Let's do the last first.

"I think you all recall that there was a great reaction from the faculty about parking and parking fees. The result was that we, Bob Bland's Committee (the Committee on the Professional and Economic Status of the Faculty) and the Budget Committee, met jointly with people from the Administration and we had a very long discussion. The recommendation that came from that discussion was that for one year and one year only (1984-85), we would go along with a ten percent increase in the parking fee. Originally, the Budget Committee voted 6 to 1 against the idea. (I was the "one". I was in favor of the change since I had volunteered to come up with a non-cash rationing scheme if we did not have this increase.) Our rationale for going along with the increase is that for one year we can live with it. And the fee will maintain the current level of price rationing for parking spaces. That, together with the planned increase in the number of parking spaces available, can get us through the year. In the longer run there should be a substantial positive effect from the improvements that are planned; we should be better able to park on the campus.

"Also in part as a result of our discussions, the Administration did cut back on its planned total expenditures for new parking facilities to be financed

by faculty and staff fees. Another major change was that the Administration has rescinded its plan to transfer one quarter million dollars from the general purpose budget to be covered by fees to be paid by faculty and staff. Those monies were to be used for maintenance of current parking facilities. We think that is an important achievement.

"I understand from Bob Bland that his Committee is making further recommendations to the Administration on the parking matter.

"Next let's take a look at financial aid for undergraduates. That topic became a very important item before the Budget Committee this year because of two developments: first, we discovered about January that some errors apparently had been made in forecasting the size of the total financial aid budget. As a result, it became clear that more general purpose funds than originally planned would have to be committed to that use if the University was to be able to continue to implement its existing financial aid policies. You can see the impact of that increase in the numbers in Table 1 below, and that's all you really have to look at on these sheets. (See Appendix A, attached, with these numbers circled.

TABLE 1

	1983-84 <u>BUDGET</u>	1984-85 <u>PLAN</u>
Undergraduate Scholarships	7,660	10,100

"Recall that we're talking about the endowed, general purpose, budget. This is the budget the Budget Committee deals with.

"There was a \$2.5 million increase in the amount that had to be allocated from general purpose funds between those years. That number as shown here is an overstatement of the degree of actual increase from year to year, however, because we discovered that the 'actual' for the current year was also going to have to go up by about a million dollars over the amount

originally budgeted. So the percentage jump from the 1983-84 'actual' would not be anywhere nearly as great as these 'budget' numbers suggest.

"One thing these numbers do suggest is that the University has a policy for financial aid. That policy has been effectively endorsed by the Committee on Admissions and Financial Aids, the Faculty Budget Committee, the Assembly Budget Committee, and by the Administration and everyone else. That policy is to cover 'full financial need' for students (based on a widely used formula for calculating need). Also student admissions are made on an 'aid blind' basis. That is, the University doesn't look to see whether the applicants need money before they are accepted. After they are accepted, then the University looks to see what their financial needs are.

"To get the commitment of funds for financial aid in the general purpose budget up from what we believed to be \$7.7 million in 1983-84 to \$10.1 in 1984-85 was a very difficult thing to achieve. A good deal of money had to be shifted to financial aid from other areas. Various ways were found to do that; it had to be done to meet the requirements of the University's policy.

"At about this time, the Committees on the Budget and on the Professional and Economic Status of the Faculty met jointly. It was time for us to make our recommendations to the Administration for increases in faculty salaries. Our recommendations were for a 5.5% increase in the salary pool to take place July 1 with an additional 3% to take place in January, to average 7% for the year. Budget planning to that date had been done based on a flat 7% as the increase in the pool for faculty salaries. We believed that the University could just afford our recommendation, given the pressures just discussed for 1984-85.

"A number of changes occurred soon thereafter. The most significant changes can be seen from the next exhibit (Appendix B, attached). The most important numbers at least in the short run, are the ones circled. We believed that we were in real budget trouble in the current year, 1983-84. What we

discovered shortly thereafter was that through a whole series of changes that took place over the year to that point, a total of \$3.7 million additional was actually available for 1983-84. This covered our one million dollar problem for undergraduate financial aid in the current year. It also generally relaxed the other budget problems that we were were wrestling with. The remaining new monies were then allocated to various priority-current-year needs by the Administration.

"In the meantime, the Administration had agreed to accept our initial recommendation for faculty salaries for 1984-85. After these new developments, however, the two committees (Budget and Economic Status) jointly recommended a change: instead of 5.5% and 3%, we recommended 5.5% and 4%. The response of the Administration was: 5.5% and 3.0% but 'maybe 3.5%'. (Jim Spencer checked his notes yesterday on what he had said to us at the time -- that there was '0.8 probability' on the additional 0.5%.)

"Shortly thereafter there was another development. New York State augmented the funds it provides to the University for tuition assistance for NY State residents. This changed the picture for 1984-85. The State's 'Tuition Assistance Program' (TAP) for 1984-85 is now anticipated to increase by \$1.3 million dollars. [This estimate has since been revised downward to \$0.9 million: AKM] Recall that the Administration had diverted resources from various other general purpose uses to bring about the required increase in the funding for financial aid in 1984-85. The new TAP money released those funds. That meant that there was now a balance that could be used for various activities, either continuing or short term. Other changes in the projections for 1984-85 then showed that there would be almost two million dollars uncommitted for 1984-85.

"You will recall that after Bob Bland's presentation at the last FCR meeting, (April, 1984) the Provost said that the objective of the Administration was to move faculty salaries to the 80th percentile of 'peer' institutions by

increasing the salary pool by 2 percentage points more than inflation (they believed, perhaps naively, that this would also increase Cornell's salaries faster than our peers were increasing their salaries) and that the only problem was that funds -- necessarily 'continuing' funds -- were not available.

"Let's look at the data. I think that the best way to show them is to put a split screen up here (with transparencies). Here we have the anticipated jump in financial aid between the two years 1982-83 and 1984-85 (see figures above). Here we have the change which released \$1.3 million of general purpose funds to be used elsewhere:

	<u>Permanent/ Short-Term</u>	<u>One-Time</u>
	\$	\$
Beginning balance (March '84)	500	600
Revised projections of income & expense	125	
NYS Tuition Assistance Program	<u>1,300</u>	
	1,925	600

(See full pages 1 and 2 of Appendix C for both funds available -- this table -- and uses thereof to date.) So we now have available to the Administration \$1.3 million in continuing funds (plus other funds) that could be used to meet the new request for a larger increment in the faculty salary pool.

"To date, we don't have a commitment against that request, but we anticipate that at least the 0.5% that we talked about a moment ago should come about. The cost of the increase in faculty salaries of one half of one percent for one-half year is about \$150,000 in this general purpose budget. That represents about 10% of the increase in the new 'continuing' funds. The one-half percent increase for a full year would require about \$300,000.

"We on the two committees agree with the University that Cornell Faculty salaries should be at least at the 80th percentile of 'peer' institutions. But here let me point out an important distinction that has just been illustrated: there is a difference between a 'goal' (such as that for salaries) and a 'policy'

(such as that for financial aid). We believe that faculty salaries at the 80th percentile should have been, and should be a policy. Unfortunately it has not been a policy; it has been a 'goal'.

"One reason why we have a difference on this issue with the Administration is because of a difference in views about its urgency. That difference arises in part because of the problems of any research project: data. In our rankings of 27 peer institutions we have trouble figuring out who is where, and where anybody should be. This is only partially facetious.

"Now, we think we know for 1982-83 what the average faculty salaries were for the various institutions, where Cornell fell and where Cornell would have to be to reach the 80th percentile -- that would be in place number 6 out of 27. (You'll note that if you multiply 6 times 5 you get thirty, and so the top fifth or twenty percent of that larger number would include schools ranked 1-6). This year the Administration agrees with us on this. The distance between the sixth place and Cornell's ranking at ten was about 5.2 percentage points in 1982-83. The distance between Cornell's place as estimated in 1983-84 and the sixth place was about 4 percentage points.

"We have a disagreement with the Administration as to where we stand today. The Administration's numbers show a 2.5% distance from the school ranked number six. We believe that that distance remains 4%. The matter is complicated.

"This disagreement goes back to data: What should be measured? We are making comparisons based on salaries. We would like to make comparisons on total compensation, but it is difficult to get comparable information on that basis. Also, if you measure 'total compensation', people say, 'what about the cost of living? You should measure cost-of-living-adjusted-total compensation.' And then the others say, 'If you are going to do that, what about an after-tax-total-compensation-adjusted-cost-of-living-measurement, given the differential

Estimated 1984-85

Institution Est. Avg. Sal.
(end of year) Rank

Reported Act. 5/83 & Adjusted
1982-83 14

Avg. Sal. (10/15/82) Est. Avg. Sal.
(end of year) Rank

Stanford	\$ 44.4 K	\$ 47.0 K	1
Harvard	42.1	46.3	2
M.I.T.	40.9	44.1	3
U. Chicago	39.6	41.9	5
U. Penn	38.9	39.6	9
Berkeley	38.5	42.0	4
Yale	37.6	41.6	6
Columbia	37.5	39.3	10
N.Y.U.	37.3	40.1	7
CORNELL (E)	36.6	40.0	8
U.C.L.A.	36.5	39.3	10
U. Michigan	36.0	39.3	12
.			
.			
.			
U. Missouri	29.8	29.7	27

	\$ 47.4 K	4
	45.1	5
YALE	44.5	6
UCLA (45.6)	44.3	7
CORNELL (E) (if 5 1/2% July; 3% Jan.)	43.4	8
	42.6	9
	41.6	10
	41.5	11

between taxes in the west and here?' And then still others say, 'Yeah, and the weather's better out there, too.'

"I've just come from a meeting yesterday with Mr. Spencer and Bob Bland and others, and we're going to try to figure all those things in, to try to get an idea of what 'total compensation' is after tax so that we can have a meaningful comparison.

"Which measure is used is important here as you will see. One of these schools, UCLA, is listed by the Administration as having \$44,000 as the average salary (not compensation). But this year they've made a shift and moved an amount equal to 3% of their salaries from fringe benefits into 'salaries' proper. The Administration does not count this 3% in its analysis. Our best estimate is that even after this change, UCLA's (and Berkeley's) fringe benefits still exceed Cornell's. So, we figure that 3% in our calculation. That raises UCLA's average salary to \$45.6 thousand. That moves them up in the rankings. In turn, that changes our target school. Our target now is this University (circled on page 5859C and not that one (6)). If you set that school as the target, Cornell remains the same distance from its 'goal' as it was last year, 4.0%.

"So, from our analysis, we say we have made no progress this year. We have the funds to make progress. We think we should make progress. The two relevant faculty Committees have voted to that effect and supplied this analysis to the Administration. A key to our difference with the Administration is the question, 'Do you count three percentage points in salary increase for UCLA (and for Berkeley) which is a shift from what used to be taken as a fringe benefit?' [Because this change involves retirement payments, there is no tax-effect of the change: AKM] But another way to look at it is that these two schools have moved heroically in a brief period -- a 27% increase in salaries in two years. Cornell needs to keep pace.

"We remain 2.5 percentage points behind Rank 6 if the Administration is correct in their analysis. We remain 4 percentage points behind and unchanged from last year if we are correct in our analysis.

"Finally, a point that comes across to me is that the budget is in better shape than at any other time in the two years I've chaired this Committee. The University is about to embark on some new programs, including the building of new facilities. This is a good time to get faculty salaries in place and competitive so that we will not find that facilities and maintenance of facilities and janitorial expenditures have eaten up whatever possibility there was to close the gap."

Speaker Martin: "Are there any questions for Professor McAdams?"

[No]

Speaker Martin: "We now have a quorum. We can now back up to what was to have been the first item -- the approval of the minutes of the March meeting, with the substitution, and we have a supply of the substitutions down here, Page 5815C and 5816C. There have been some corrections. Are there any further corrections to the minutes of our March meeting? If not, they stand approved as corrected and distributed.

"The Chair next calls on Dean Bugliari for a presentation of the slate of candidates for FCR Committee seats."

4. APPROVAL OF SLATE OF CANDIDATES

Dean Bugliari: "I think that many of you know by now that the way we conduct our elections is that we first elect the At-Large members of the FCR and non-FCR members who serve on FCR and University Faculty committees, and then we hold a second election after we get through the first one to elect people from the FCR to serve on the FCR committees. It may sound complicated, and it is, but that's the way it has to be, I guess. In any event, I think you

all received a report from the Nominations and Elections Committee recommending the nominees. If you do not have a copy, there are copies up in front. I do not propose to read off the nominees for each of the committees, but to merely, on behalf of the Nominations and Elections Committee, propose the adoption of this slate of candidates for the various positions involved."

After the slate of candidates was approved (see Appendix D), Speaker Martin called on Gordon Galloway, Director of Academic Computing, for a report.

5. REPORT ON ACADEMIC COMPUTING

Mr. Galloway: "I'm very pleased that I have been allowed to come before you. I appeared before the Executive Committee to ask permission to talk to some group of the Faculty because I think it's important for you to hear first hand what's happening in computing.

"Because the audience is diverse and because each of you has a different background with respect to computing, there may be some things that I will say in a more elementary fashion than you'd prefer. Please be patient because there are some people out there who don't have the jargon that others of you have, and so I thought I would take just a little time to outline what we're doing and where we're going.

"People often say to me, 'What do you mean by academic computing?', so I thought I would try first to give you an operational definition; namely, that my organization is concerned with using mainframes and microcomputers for teaching and research. Cornell Computer Services is divided into administrative processing, network communications, and then academic computing. We concern ourselves with the delivery of computing using personal computers and/or public facilities. Most of you have used a terminal or a computer in one form or another, but I'd like to remind you, nevertheless, that it requires a device, either a terminal or a microcomputer. It requires space, not an inconsequential

consideration at Cornell. We need environmental control usually. You have to pay for maintenance -- someone does. There have to be supplies -- ribbons, paper, etc for printers or personal computers. Everyone needs documentation and everyone is unhappy when they can't understand it, so you need good documentation. One needs communications if one is going to interact with the mainframe. One needs security -- and I put that in boldface. This is clearly evidenced by the roughly \$20,000 -- \$25,000 in theft this last weekend of 5 computers -- 2 Macintoshes and 3 IBM XT's -- out of faculty offices. Lots of people need their hand held and want their hand held and deserve to have it held as they get started, so today's academic computing involves simulations, database managements, spreadsheet analysis, statistical analyses, document production, which is the generic way of talking about word and text processing -- the most notable use of computers, and all sorts of pictorial representation. That is, graphics as well as any kind of representation that relates to the screen in a graphic or pictorial fashion, not merely number crunching which was academic computing of the past.

"In my opinion, there are three impediments to what I call the failure of academic computing to mature. First, there is a subtle but significant psychological stress in being tied to a central system run by someone else. Any of you who have worked on the central system and have waited patiently for it to give you turnaround, understand that. Secondly, there is the inability to generate pictorial and graphical output of acceptable quality within reasonable response times. Creating pictures is the wave of the future with computers and that takes a lot of CPU power and we haven't had it at a cost you can afford. Finally, I think one of the impediments to academic computing's maturation has been the unacceptable cost of supporting large numbers of students doing things which require a lot of resources. With the advent of the personal work station and microcomputers, we are overcoming some of that and at a cost that many people can afford.

"A lot of you are familiar with the facilities that Cornell Computer Services already operates, but I thought I would iterate them for you here again. We, of course, have terminals available throughout the campus. When you leave, I have for those of you who wish, a copy of the new document which we call a pathfinder document just published by Cornell Computer Services which essentially describes our operation, where terminals are located, how you get an account, how you do this, how you do that, whom to contact for this and that, etc. I think you'll find it an interesting document if you haven't had a chance to peruse it, and I hope that you will take one if you haven't already done so and tell your friends about it. We'll be happy to supply you with as many as you would like, commensurate with our supply before we need to reprint, which I hope we'll have to do.

"We have microcomputer services in West Sibley and in Warren Hall. West Sibley happens to have IBM PC's; Warren Hall happens to have IBM PC/XT's, and the College of Agriculture and Life Sciences just opened a splendid microcomputer facility in Mann Library. If you haven't seen it, you ought to stop by. It is very impressive, and to the great credit of Jan Olsen and Howard Curtis. It is going to change things a lot in the Agricultural College.

"In our projections, we'll have new terminal facilities in Clara Dickson dormitory by the end of August -- there will be another 16 terminals and a printer put in there. The IBM XT's in Warren Hall are scheduled to be replaced by DEC Rainbows in August because we need to get some Rainbows into the public area, and Rainbows are particularly convenient to serve as terminals. With them you can have terminals that talk to mainframes and microcomputers and, besides, there are a lot of IBM PC's around the campus in any case. Current plans also anticipate the installation of approximately 50 Apple Macintoshes in Carpenter Hall this summer so that the Computer Science 100 course may be taught using the Mac. That's

not absolutely certain, but it is likely, and Computer Science will be changing their language of instruction from PL/1 (PL/C) to Pascal. By the way, a Mac is fully portable. You can carry it on the airplane with you.

"A little bit more about our projected facilities. We hope to install Macs in Uris Library before the fall semester begins. Right now part of our concern is how we can do so within acceptable noise limits with respect to the printers. Consideration is being given to creating yet another public facility for microcomputers in space offered to us by the ILR school, which would again be central. The so-called terminal room in Uris G-26 will become an area where people will be able to go in and experiment with microcomputers -- sit down, try them out, see what they are like, ask questions, learn about what other questions to ask, lend software, borrow software, plug it in, use, try it, just get acquainted. We will have there the various microcomputers sold and supported by Cornell Computer Services. Generally, this means equipment made by Apple, DEC, IBM, and soon, we hope, maybe tomorrow, Hewlett-Packard. The Hewlett-Packard deal, so to speak, has not yet been closed, but its closure is imminent.

"The last thing that I feel particularly good about -- I still don't believe it will happen, but I'm hopeful -- is that we are now in an exploratory phase of converting the auditorium in Stimson Hall into a microcomputer facility for faculty, staff, and graduate students only. If this takes place, it's going to be a signal for the forward march of computing on the campus. If the faculty have a place centrally located where they can go and do things without the intrusion of students, that would be very nice. So, we're moving ahead on that, and Provost Kennedy and the President are both very interested in seeing that happen.

"Project Ezra is something that many of you may have heard of. It is a grant request presently under consideration by IBM to supply roughly 500 work

stations to Cornell over a three-year period for the purpose of improving the efficiency of instruction and research. The goal simply is that faculty will create and document innovative and creative software which will function on IBM work stations. We hope to ascertain where and with what facility we can use these work stations to improve the efficacy of academic computing. We hope to determine the potential limits of an environment which integrates these work stations with a campus network. The new telephone network will begin to be installed this summer with communications for data and video as well as voice, and we will investigate ways for integrating individual efforts via appropriate networking strategies. IBM will in turn furnish the hardware, the maintenance for one year beyond the normal warranty, and some number of supportive personnel -- no fewer than two, perhaps three or four -- to assist faculty in the development work. This is a major effort and a major grant. We will know probably in a few days -- May 22nd is the last review. If we are approved on May 22, we'll probably get this grant, and it will represent no less than 5 million dollars. So, we're very proud of having gotten this far. It is going to change the character of computing at Cornell. Interested faculty may obtain more information from the IBM coordinator who represents their school or college. All schools and colleges are represented including the Division of Biological Sciences.

"We also have a discount sales program that most of you probably know about already. Sales are handled through the network communications area, managed by Alan Personius on the fourth floor of Day Hall. Sales and service are available for personal computers manufactured by Apple, DEC, IBM, and, soon to come, Hewlett-Packard. Some assorted peripherals in the way of printers and connectors and necessary interfaces are also sold, but fundamentally, we sell only Apple, DEC, IBM and Hewlett-Packard. Discounts vary according to vendor, but in some cases they are as high as 50%; in particular, the DEC configurations

are discounted very heavily. You don't have complete freedom, but most people's needs would be met by one or more of these configurations. Each faculty person can buy one of each kind -- one Apple, one DEC, one IBM, one Hewlett-Packard at the discount. So, if you've got plenty of money, why you're in business, as long as you promise not to resell.

"We're trying hard to have a better image for CCS, as to the services it can provide. We want to know what we can't do so that we can learn how to do it, and we want to do better what we do so that people won't feel as though we are not serving. We are here to serve you. For example, we hope to have more assistance on selecting microcomputers. My colleague, Tom Hughes, is offering sessions on how to select a microcomputer, if you want to attend. These are the first set of sessions that are scheduled for how to pick a microcomputer. Tom is very knowledgeable in this area. He is the Acting Director of Decentralized Computer Services, having succeeded Doug Gale, who is on a leave of absence. We also will be moving the software lending library from Uris 401 in DCS down to Uris G-26 as we make Uris G-26 a place where you have microcomputers to try. We will have greater frequency of workshops and tutorials with great emphasis on micros. I think Joe Bugliari can tell you that the micro sessions that begin May 30 and go through June 14 are already heavily subscribed. If any of you haven't had an opportunity to take one of those, I think you'd find it worthwhile.

"Laser printing is now available in Uris at 15 cents a page. Anything that runs on a Cornell mainframe can be printed with a laser printer at 15 cents a page cash, and that is a very fine quality printing.

"We are going to implement this summer a production of color overheads for \$3.00 to \$3.50 on a trial basis. We will hope to improve our graphic services including the matrix camera system making 2 x 2 color slides of selected graphical representations, particularly the SAS graph. These kinds

of transparencies are very popular, and we have a system now where you walk in and almost do it yourself. We hope to acquire a suitable batch plotter to replace the existing complot devices. Some of these words mean nothing to some of you; I apologize for that. Lastly we will have expanded UNIX facilities via a second VAX 11/750 already installed in Uris Hall.

"I've got about four minutes left for questions. I know that was a hurry-up presentation, but at least you have something of the flavor of what we're doing and where we hope to be."

Speaker Martin: "Are there questions for Mr. Galloway?"

Professor Antonie Blackler, Genetics and Development: "This room in Stimson Hall, is it G-27? The thing that's falling apart?"

Mr. Galloway: "It may be G-25. Correct."

Professor P.C.T. deBoer, Mechanical and Aerospace Engineering: "Gordon, do you have any recommendations yet when networking might be put in the departments, say to secretaries' offices, that would take final print?"

My Galloway: "Well, we haven't gone as far as we should, perhaps, in this area. I think probably right now the ETHERnet looks like a most attractive networking facility, but I think that each networking arrangement would depend largely on what you wanted to do and the configuration of the equipment that you have. I really would feel much more comfortable by referring you to Alan Personius in Network Communications to discuss it with him. He would be happy to come, examine what you have, make a recommendation and suggest the cost."

Speaker Martin: "Thank you very much. If any of you wish to stay around afterward for a little demonstration, Gordon will be with us."

Since there was no further business to come before the FCR, the meeting was adjourned at 6:00 p.m.

Respectfully submitted,

Joseph B. Bugliari, Dean of the Faculty
Secretary pro tem

INCOME	1981-82 ACTUAL	1982-83 ACTUAL	1983-84 BUDGET	1984-85 PLAN	1985-86 PROJ	1986-87 PROJ
TUITION & FEES	80,234	68,282	75,246	81,955	88,382	95,328
ACCESSORY INSTRUCTION	3,873	4,429	5,177	5,781	6,006	6,387
INVESTMENT	13,420	14,241	14,833	16,695	17,531	18,196
GIFTS	4,652	4,548	4,200	3,700	3,885	4,079
APPROPRIATIONS	3,408	3,456	3,430	3,450	3,450	4,140
INDIRECT COST RECOVERY						
SPONSORED PROGRAM	12,813	13,518	15,821	16,820	17,829	18,899
TUITION RETAINAGE						
STATUTORY	10,117	11,963	14,062	15,315	15,915	16,805
ENDOWED	3,337	4,080	4,115	4,408	4,881	5,187
OTHER RECOVERIES	3,041	3,505	3,623	3,860	3,843	3,980
TOTAL INDIRECT RECOVERIES	29,408	33,064	37,621	40,204	42,468	44,861
OTHER INCOME	3,080	3,409	3,093	3,455	3,578	3,731
TOTAL INCOME	118,075	131,429	143,700	155,240	165,300	176,720

EXPENDITURES						

FACULTY/STAFF COMPENSATION (SALARY & BENEFITS)	62,580	70,804	79,810	85,891	92,084	98,262
GENERAL OPERATING EXPENSE	16,446	17,891	17,882	18,812	19,948	21,188
UTILITIES	6,804	8,490	9,400	10,200	11,400	12,100
REPAIRS & MAINTENANCE	3,279	2,982	3,731	4,418	4,683	4,984
LIBRARY COLLECTIONS	2,139	2,162	2,507	2,758	3,061	3,398
COMPUTING	5,649	6,400	7,020	7,960	8,398	8,860
STUDENT SUPPORT						
STUDENT WAGES	839	1,141	998	1,146	1,214	1,287
TA STIPENDS	3,028	3,408	3,727	3,938	4,174	4,424
TA SCHOLARSHIPS	4,554	4,987	6,029	6,548	7,072	7,638
UNDERGRADUATE SCHOLARSHIPS	8,014	7,138	7,680	10,100	11,312	12,889
GRADUATE FELLOWSHIPS	2,868	2,815	3,620	3,908	4,221	4,558
TOTAL STUDENT SUPPORT	17,101	19,587	22,032	25,840	27,993	30,578

DEBT SERVICE	781	820	768	768	766	768
SHORT-TERM COMMITMENTS			921	444	98	135
CONTINGENCY			610	776	828	884
NET BASE REDUCTION				(800)	(954)	(1,011)
PROGRAM IMPROVEMENTS--PERMANENT			1,408	500	1,030	1,582
PROGRAM IMPROVEMENTS--ONE-TIME				800	0	0
CONDITIONAL APPROPRIATION			800	0	0	0
IN-YEAR SAVINGS			(3,187)	(2,625)	(2,933)	(3,085)
TRANSFERS TO PLANT	1,344	999				
INTRAFUND TRANSACTIONS	1,913	998				
TOTAL EXPENDITURES	118,046	130,913	143,700	155,240	168,380	178,645

SURPLUS/(DEFICIT)	29	516	0	0	(1,080)	(1,925)

Three-year Projection
(Analysis of Change, 1984-85)

Gap (December '83)	\$ - .2 M
Undergraduate aid	- 1.3
CCS inflation & base reduction	.3
Revised estimates	
Indirect cost recoveries (G&C)	1.0
Average cash balances (STIP)	.5
Retainage & other recoveries	- .4
Other income & expense	- .3
Employee tuition waivers	- .2
Rounding	- .1

	\$ - .7 M
Tuition @ \$9,600 (from 7% to 7.8%)	.7

Gap (02/03/84)	0
	=====

Softspots and open issues -

Transportation and Parking Fees
Unrestricted gifts -
 Annual giving
 Major donors
Faculty salaries
Program improvements
Conditional budget
Projections for the out years

STATUS OF 1984-85 GENERAL PURPOSE FUNDS
(in thousands of dollars)
As of 04/24/84

	<u>Permanent/ Short-Term</u> \$	<u>One-Time</u> \$
Beginning balance (March '84)	500	600
Revised projections of income & expense	125	
NYS Tuition Assistance Program	<u>1,300</u>	
	1,925	600
Improvements in academic programs and interdisciplinary research	-300	-100
<p>This will provide upper-level courses in the Writing Program, establish the Study Abroad Program, continue support of the Cornell Institute for Social and Economic Research (CISER), and increase the allocation to the Materials Science Center. In addition, general purpose funds will be used to continue offerings within the Center for International Studies while the Center evaluates each of its programs and activities; over the past few years, the Center has been drawing down available reserves from endowment to point that the reserves are nearly depleted.</p>		
Improvements in student aid	-225	
<p>This will extend reduced self-help expectations to all minorities and provide additional fellowship support to minorities in their second year of graduate study. In previous years, minority students in their first year of graduate study were provided fellowships from the Graduate School Fellowships in their second year and beyond were expected to come from their field of study through assistantships. This additional funding will allow students to continue to concentrate more fully upon their academic performance during their second year.</p>		
Improvements in student services	-225	- 20
<p>This will provide additional counseling and improve processes within the offices of Student Employment, Financial Aid and the Graduate School. In addition, this will extend career counseling by alumni working within students' fields of study.</p>		
Environmental Health/Life Safety	- 70	
<p>This will fund a technician for testing of fume hoods, a life safety inspector to oversee disposal of chemical wastes, protective clothing, and cyclincal replacement of scientific equipment.</p>		
Student activities	- 70	

	<u>Permanent/ Short-Term</u> \$	<u>One-Time</u> \$
Recruiting and counseling	- 80	
This offsets extraordinary increases in the cost of producing and mailing admissions brochures, and further efforts in graduate admissions and counseling within the Learning Skills Center.		
Operations	- 60	
This funds periodic replacement of equipment for on-campus messenger service, strengthens administration of insurance programs, and provides a building manager for the Biological Sciences Building.		
Changes in sources of funding	-140	
Financial administration costs previously charged against all fund groups as a reduction of earnings are now more appropriately expensed against general purpose funds.		
Base reductions waived	- 40	
The requirement has been waived for a few units because it would have been impossible to absorb the reduction without having adverse effects on programs.		
Lost revenue	- 80	
The increases anticipated in March for on-campus parking permits have been reduced substantially.		
Unrestricted reserves	-225	
Cornell has tentatively committed to set aside \$225 thousand in unrestricted reserves. These funds may be used for financial aid or other institutional purposes.		
Other	-110 ---	---
Funds available to cover cost pressures and contingencies	300 *	480

* Reduced after April 24th to \$80 thousand. Primarily responsible for this change were the revised projections of income and expense, which totalled a negative \$30 thousand rather than the positive \$125 thousand anticipated in April. In addition, additional funds were committed to student services (\$40 thousand), and Environmental Health/Life Safety (\$30 thousand).

REPORT FROM THE COMMITTEE ON NOMINATIONS AND ELECTIONS
SLATE OF CANDIDATES FOR FCR SEATS ON COMMITTEES
Spring 1984

EXECUTIVE COMMITTEE OF THE FCR - 4 tenured vacancies, 2-year term

Richard S. Booth, Associate Professor, City and Regional Planning
W. Ronnie Coffman, Professor, Plant Breeding and Biometry
Robert M. Cotts, Professor of Physics, LASSP
James A. Liggett, Professor, Civil and Environmental Engineering
John E.H. Sherry, Associate Professor of Law, Hotel Administration
Robert H. Silsbee, Professor of Physics

EXECUTIVE COMMITTEE OF THE FCR - 1 non-tenured vacancy, 2-year term

H. Dean Sutphin, Assistant Professor, Education
Kathleen M. Vernon, Assistant Professor, Romance Studies

ACADEMIC FREEDOM AND RESPONSIBILITY COMMITTEE - 2 vacancies, 3-year term

June M. Fessenden-Raden, Associate Professor, Biochemistry, Molecular and Cell
Biology, member, Program on Science, Technology and Society
Leopold W. Gruenfeld, Professor, Organizational Behavior, I&LR
Mary A. Morrison, Professor, Nutritional Sciences
Andrew Ramage, Associate Professor and Chairman, History of Art

ACADEMIC PROGRAMS AND POLICIES COMMITTEE - 1 vacancy, 3-year term

Steven B. Caldwell, Associate Professor and Chairman, Sociology
Terrence L. Fine, Professor, Electrical Engineering
Martha P. Haynes, Assistant Professor, Astronomy

ADMISSIONS AND FINANCIAL AIDS COMMITTEE - 2 vacancies, 3-year term

Caryl G. Emerson, Assistant Professor, Russian Literature
Peter Harriott, Fred H. Rhodes Professor of Chemical Engineering
Robert McGinnis, Professor, Sociology

BUDGET COMMITTEE - 1 vacancy, 3-year term

Robert D. Boynton, Associate Professor, Agricultural Economics
Mary H. Tabacchi, Associate Professor, Hotel Administration

PHYSICAL EDUCATION COMMITTEE - 1 vacancy, 3-year term

Wilmot W. Irish, Professor, Agricultural Engineering
S. Leigh Phoenix, Associate Professor, Mechanical and Aerospace Engineering

May 16, 1984

110 Ives Hall

The Speaker, Russell D. Martin, called the meeting to order at 4:30 p.m. He then called on Dean Bugliari.

1. RESULTS OF ELECTION

Dean Bugliari: "I believe you all received a copy of the election results. I do not plan to read through them all. I would, however, congratulate, specifically, or maybe offer commiseration to our Secretary, Francine Herman, who has been elected for a three-year term, and I would also point out that we elected Olan D. Forker from Agricultural Economics as our Faculty Trustee. I also would like to point out that we had over 600 faculty ballots returned out of a total faculty count of 1567. I think that's a pretty good return, and I want to thank all of you for voting, all of you for running whether you won or lost, and all of you for participating in this election. (Results attached as Appendix A)

2. ANNOUNCEMENT OF DEATHS OF FACULTY MEMBERS

Dean Bugliari: "It's with great regret that I announce the death of the following colleagues:

Reginald C. Collison, Professor of Pomology and Viticulture, Emeritus, Geneva, June 25, 1983

Barbara Wertheimer, Associate Professor, Extension and Public Service, September 20, 1983

Florence E. Wright, Associate Professor (retired), Cooperative Extension, September 29, 1983

Frederick M. Wells, Andrew Dickson White Professor of Architecture, Emeritus, July 18, 1983

Fred G. Lechner, Professor of Agricultural Engineering,
Emeritus, November 1, 1983

Frank D. Alexander, Professor (retired), Cooperative Extension,
November 20, 1983

Michell J. Sienko, Professor of Chemistry, December 4, 1983

Clyde W. Mason, Emile M. Chamot Professor of Chemical
Microscopy Emeritus, December 8, 1983

Thomas L. Bayne, Associate Professor (retired), Rural
Education, December 16, 1983

Margaret L. Humphrey, Professor of Textiles and Clothing,
Emeritus, December 20, 1983

William A. Smith, Professor of Rural Education, Emeritus,
January 4, 1984

Hugh M. Wilson, Associate Professor (retired), Soil Science,
January 29, 1984

Helen G. Canoyer, Professor Emeritus, Home Economics
Administration, February 25, 1984

Baxter L. Hathaway, Old Dominion Foundation Professor of
Humanities, Emeritus, March 29, 1984

Edward C. Raney, Professor of Zoology, Emeritus, April 20, 1984

He then asked the group to stand for a moment of silence.

3. RETIREMENTS

Speaker Martin: "We now come to a very pleasant part of the meeting, that of recognizing retiring members of the faculty, and it's my pleasure to turn this part of the meeting over to our Vice President and soon-to-be Provost, Bob Barker."

Vice President Barker: "I should warn you, I don't have a watch that goes 'beep', so I might talk all night, but I won't."

"As Russ just said, retirement should be and, I hope, is a happy occasion, but it's also going to be mixed with a little bit of sadness and nostalgia. As I looked at the list, there are 20 people who are retiring this year. In sum, they must have contributed more than 500 person years to Cornell. I didn't actually add up the numbers, but that's a very conservative estimate of the contribution that we are going to acknowledge this afternoon. Because of something that is going to happen to me when one of these people retires, it had occurred to me that they leave very large shoes to fill, and I keep noticing Keith Kennedy's feet. The same is going to be true for the others who are retiring.

"I'll now call upon Associate Dean Kenneth Wing from the College of Agriculture and Life Sciences, who will introduce or make comments about those who are retiring from that College."

Dean Wing: "The College of Agriculture and Life Sciences recognizes the retirement of six faculty, representing 172 years of combined service. These individuals, some of whom I have not had the opportunity to meet, either in my undergraduate days or since returning just a year ago are the following:

"The first is Dr. Roderick Clayton, Liberty Hyde Bailey Professor of Biology, Section of Plant Biology, who came to Cornell as Professor in 1966. I don't believe Dr. Clayton is here today.

"The second individual is Dr. Eugene Delwiche, Professor of Biology, who came to Cornell in 1947 as a Fellow in Bacteriology and has served in the Department of Biology since that time. I don't believe Dr. Delwiche is here today.

"The third individual, Dr. Norman Dondero, Professor of Microbiology, came to Cornell in 1966 as a Professor in Food Science, and in 1977 moved to the Department of Microbiology and has served since that time in that capacity.

"The fourth individual I do know is here today, Dr. Keith Kennedy, Provost and Professor of Agronomy, came to Cornell in 1949, and I had the privilege of taking a course from Dr. Kennedy when he was a Professor of Agronomy. The course was outstanding, the Professor was outstanding, and the Provost is outstanding, and, Keith, would you stand, please, and be recognized."

[Standing ovation for retiring Provost, Keith Kennedy.]

"The fifth individual is John Kingsbury, Professor of Botony in the Section of Plant Biology, who came to Cornell in 1954, the same year I did, and I never had a chance to take a course from him, but I've discovered since that he has some Wing ancestors as I also did. I don't believe John is here today.

"The sixth individual is Bernice M. Scott, Associate Professor, Department of Rural Sociology, who came to Cornell as an instructor in Rural Sociology in 1950, and I don't think that Bernice Scott is here today.

"We recognize and honor our retirees, and we wish them a successful retirement."

Vice President Barker: "For the College of Arts and Sciences, I'll call first on Meyer Abrams."

Meyer H. Abrams, Class of 1916 Professor of English,

Emeritus: "It's Scott Elledge that I've been asked to talk about.

Scott Elledge has been at Cornell even longer than I have, but then he had the advantage of coming here as a graduate student in 1935.

He was one of the remarkable group of students under the aegis of Lane Cooper. After earning his doctorate in 1941, Scott taught for four years at Cornell and then deviated to Harvard in 1945, where he was co-founder of the famous Salzburg Seminar of American Studies in Austria, and in 1947 he went to Carlton College, where he very soon became Chairman, but in 1962 he was solicited back to Cornell, where he has remained firmly rooted ever since, laterly as Goldwin Smith Professor of English, except for such excursions as a two-year teaching stint for the Rockefeller Foundation in Bangkok.

"Scott is renowned for his publications in seventeenth and eighteenth century literary criticism, both in French and in English and for indispensable scholarly editions of books like Milton's Paradise Lost and Hardy's Tess of the d'Urbervilles. He has always especially concerned himself, long before it got to be recognized as a crisis subject, with the teaching of English Composition. His national distinction was recognized in his appointment by the National Council of Teachers of English as one of four distinguished lecturers. But it was only this last February that Scott published what he was born to write, E.B. White, A Biography. For that book, he took advantage of E.B. White's papers in the Cornell library and the personal friendship with that extraordinary man of letters and one of the great men of Cornell. The biography has been acclaimed by reviewers everywhere, and I can attest that Scott's mail receptacle in Goldwin Smith - right next to mine - is crammed everyday with fan letters, all of which he faithfully answers. He hasn't had time even for the ordinary conversations in the hall that I've always enjoyed with him.

"Scott is retiring, but I'm happy to announce, only technically. He will continue to teach--for love, of course, not money--and he will continue to occupy an office in Goldwin Smith, a table in the Rathskeller, and a seat in the football box for the fall games. So, it's appropriate that we reverse the Latin salutation and say to him, 'vale atque ave', farewell and hail."

[Applause]

Vice President Barker: "To introduce the other two retirees from Arts and Sciences, I introduce Andrew Ramage.

Professor Andrew Ramage, History of Art: "I'm to recognize Hans Peter Kahn and Albert Sutherland (otherwise known as Shad) Roe.

"Peter Kahn, as he's better known, first. He has been around a very long time, but he is not as ancient as all that, and he's anxious to get on with some of his own work, which I suspect will mean continuing doing much as he has done, but with more feeling of freedom. He first joined the Cornell community in 1957 and has been a well-known part of it most of the time since, except for occasional jaunts out west, and to Europe and so forth. I would say hardly anyone in the University has not heard of Peter Kahn, and certainly no one has not encountered his work. He has given freely of his talent to University organizations in posters for music, theater and lectures; in fact, if there is such a rare bird as hasn't seen his work, there is an exhibit of it in retrospective at the Johnson Museum and there is an extra exhibit of the poster part in the Goldwin Smith gallery. As I say, he has given freely of his time to the University organizations; he is very generous with students. Numerous student organizations have had great advantage of his expertise, particularly the print shop, the pottery

shop, things like book binding and puppetry. He has an enormous breadth of interests and a very warm, engaging manner which runs from intellectual history in Europe to mushroom hunting in the fields of Tompkins County, which he does with great expertise, I might say. He has brought to the Department and to the College, I think, a real humanity and a keen eye for the doing of art, as well as the describing of it. We all too often get lost in the theory and forget that the painters with their brushes are realities also. He has taken a great part in the creation of the Temple of Zeus coffee shop. I think we should reserve him a seat there for his enspirited defense of its very existence. Overall, I think we shall remember Peter, and I hope he comes back frequently. He has had a very sparkling and warm involvement with students and colleagues all over the University, and he has been an inspiration to many.

[Applause]

"Albert Sutherland Roe came to Cornell 23 years ago, give or take a little, and is a much more retiring personality, shall we say. I've known him ever since I came and the first impression I had of Cornell and of being welcomed at Cornell is a direct result of his and his wife's (Daphne) taking me into their house, and my wife, too, and giving me food and helping me really find my feet, and that's one of the ways in particular that Shad Roe has contributed to the life of a great many people in this University. You may not have heard about it that much, but it certainly exists. "His special interests are broad, too. He has worked on Titian and on Blake, in particular. He came here from Winterthur and is a great expert in American decorative arts, and in particular is interested in silver; lately he has been a very important contributor to a grand show at the Boston Museum of Fine Arts, which

has really widened enormously, horizons of what was happening in decorative arts of the colonial period, and in this respect, particularly, he has inspired a great number of students with his remarkable interest in those particular things. I can vouch for it. It's a marvelous thing to hear Shad bring a salt cellar alive and explain that it was turned upside down and used as something quite different and now has attained this canonical position, although it was really something quite other in its beginning. I would like to salute Shad Roe as being a real gentleman of the old school, and we shall miss him." [Applause]

Vice President Barker: "I call now on Dean Tom Everhart to introduce the retirees from the College of Engineering."

Dean Thomas Everhart: "It is my pleasure to introduce three gentlemen today who have an accumulation of over 105 years service to Cornell University in the College of Engineering and over 110 years of association with the University, and I will introduce them in order of their length of service.

"The first is Bart Conta, Professor of Mechanical and Aerospace Engineering, who has been at Cornell since 1936 when he graduated from the University of Rochester and came here to do a Master's degree. Bart worked for a few years and then came back and joined Cornell as an Assistant Professor in 1942 and rose through the ranks becoming a Professor in 1951; he has held that position since. His specialty is Thermodynamics (solar energy) and explaining to students the importance of both technology and society and how they interact. He spends a good deal of time with students. He is one of the most popular professors in the College of Engineering, not only for his ability from the podium as a lecturer, but also

because of his sincere interest in students and anything that concerns them. I see him often going into Anabel Taylor to some of the discussions that are going on over there, so he's much broader, as many of you know, than just a faculty member in the College of Engineering doing technical things. Bart has been active in many professional societies and clubs, including being President of the Statler Club in 1966-67.

[Applause]

"The next gentleman is George Lyon from Civil and Environmental Engineering. George graduated from the University of Illinois in 1940, got a Master's from the University of Iowa in 1942 and has been on the faculty of the School of Civil and Environmental Engineering since 1947, spending a total of over 36 years here as a professor in the University. He has been Assistant Director of that School. He has been Secretary of the Engineering faculty for several years, but probably all of you have seen him, whether you realize it or not, leading a group of students, teaching surveying across the Engineering quadrangle and many other places in the State of New York, but it's most likely you saw him on the Engineering quadrangle. George has done work with K and E, Keuffel and Esser, Inc. You may have remembered that company. It's the one that was famous for many years for making slide rules. Slide rules are something engineers don't use much anymore, but nonetheless, they were very important to our profession for a good many years.

"George, stand and take a bow, please."

[Applause]

"Finally, I'd like to introduce a person I can only describe as one of the real gentlemen, not only of the College of Engineering, but of Cornell University, Ta Liang, Professor of Civil and Environmental Engineering. Ta did his first degree at Tsing Hua University in 1937, as you may recall, a most tumultuous time in China. He was active as a civil engineer in the Chinese government after that time. He was a senior engineer for the armed forces in China, Burma and India during the war. He came to this country after the war and got his Master's in Civil Engineering from Cornell in 1948 and his Ph.D in 1952. After a few years of experience in a well-known engineering firm on the east coast, he joined the faculty as an Associate Professor in 1957. He was promoted to Professor in 1963, and in total has been on the faculty of the School of Civil and Environmental Engineering some 27 years. Ta's specialty is remote sensing, telling what is going on on the earth from either high-flying aircraft or satellites, and a few years ago, when I was fortunate enough to go with the President of the University and others in the University party, he gave me a remote sensing photograph taken from a satellite of Beijing and surrounds, and that made a great hit with the people in China when we gave it to them as a gift in Beijing. There's one thing about Ta that I know and he knows, but he doesn't know that I know, and that is once in the history of my term as dean in the College of Engineering and I had my own private key, I asked what's behind that door and they said that's a locked door. No one goes behind that door but Ta Liang, and I put my key in it and it fit, and I opened the door and I looked inside. Inside was Ta's office - there are one or two people who I see smiling in the back of the

room have also seen it - which could only be described as the office of a professor who really believes in remote sensing.

"Ta, please stand up and take a bow."

[Applause]

Vice President Barker: "I call now on Director Allyn Ley to introduce the retirees from Health Services."

Professor Allyn B. Ley, Director of Health Services:

"Dr. Raymond Haringa is the most senior member of our Department and has been for some time. He came to Cornell about thirty years ago, having graduated from Clark University, took a couple of years to get a Master's degree in zoology at the University of New Hampshire, and then after three years of unpleasantness in the U.S. Navy during World War II, returned to school at Boston University School of Medicine, where he finished his degree and had an internship at the what used to be called, still is, the old Boston City Hospital, because it's no newer now than it was then. After additional training, both in Boston and later in New York, a stint in the Air Force, he came to Cornell under Dr. Moore's direction in 1954. During this time, Ray has been a valued member of the staff who has been, I think, both dedicated to the science and the art of medicine. He is highly regarded by his colleagues in our small, perhaps anomalous but vital, Department. He has been devoted to the care and the caring of the student population. I think one of the remarkable things has been the equanimity with which he has seen the many changes that have occurred before I came and perhaps even afterwards, and although they have been very upsetting in many ways to other members of the staff and perhaps the administration, neverthelsss, Ray has preserved his equanimity during all this and

has adapted very well to changing times, the measure after all of the educated physician or educated individual. We're very happy to share time and contemplation. We're sad that Ray will not be with us full time, but he will continue on a part-time basis for the indefinite future, I guess."

[Applause]

Vice President Barker: "From the College of Human Ecology, Associate Dean Nancy Saltford will introduce the retiree."

Associate Dean Nancy C. Saltford: "I have the privilege of recognizing this afternoon Professor Clara Straight. Professor Straight is a member of the Department of Design and Environmental Analysis. She has been a faculty member in our College since 1948. During this time she's had major responsibility for the design program in our design area of the College, and it's through these many contributions that the Department has the reputation that it enjoys today, which is a very strong design area. In addition, Professor Straight has been an exceptionally productive artist, and I think many of us have enjoyed her works. I noted that they have been displayed in many galleries around, and I also might add in many faculty homes, including my own. Many of us, I'm sure, own Professor Straight's paintings. She has had a number of paintings recognized, has won many awards in a number of juried shows throughout the country, and we will very much miss Clara's talent, her enthusiasm, her good sense of humor. We wish her well as she goes back to her native Missouri."

[Applause]

Vice President Barker: "And from the Graduate School of Management, Professor Thomas Dyckman will introduce the retiree."

Professor Thomas R. Dyckman, Graduate School of Management: "It's a pleasure for me to come over here and to speak about our retiring Professor, Earl Brooks. Again, the retirement is a mere technicality with Earl, who goes faster than anybody else in the School, it seems, in terms of his teaching responsibilities, his executive development programs, and his trips around the world. If I were to list the countries, it would be easier for me to list the countries he has not taught in rather than the ones he has. When I started over here with him I was sort of thinking of the day when I may reach retirement age and wondering what I might do, and I asked Earl what he was about to do, other than what I knew he was going to do - teaching. He indicated to me he was about to go out for the local softball team, so while some of us do our athletics early, Earl is going to get into this a little bit later.

"When I first arrived at this meeting, I was somewhat disappointed at the number of people who showed up to honor these distinguished people and all they've done for the University. Earl, for example, has been here almost forty years, and I suspect has taught more students than any of the rest of us are likely to see. On the other hand, it's perhaps a problem of our size, and I think that in some way this is a very ineffective and insufficient token for all they have done for us.

"Earl will continue to be active in our School, he'll keep his office, he will be there, I will enjoy seeing him, as will his colleagues. I do know that perhaps even more important than what we give them as individuals are what every once in a while happens

to each of us - at least I hope it happens to each of us - sometimes you'll get a call from a student and they will want to know how you're doing, they've just taken the time to call you up to tell you about something that has happened to them - a new job they have, a new person in their family, whatever it might be - and I think that all of us live for many, many weeks on those phone calls and those expressions of gratitude for what has happened in the past. Earl, I assume, gets many of these, because I get them about him, and that's quite an honor when people call up and say, 'Remember me to Earl because I remember some things I learned in his class that have helped me to be successful in my career and my daily living.' That's a very important thing, and, indeed, Earl not only does that for his students, but for his faculty colleagues.

"A story that might embarrass him slightly - is something I know about him. He might not know that I know that recently, one of our faculty who was in Beirut, Lebanon, which is not a very attractive place to have to be these days, was trying to run a management program. He found that there were faculty who were unable to get there or, unwilling, I think is probably a better word. So he called Earl who was traveling around the world at that time - I think caught him somewhere in Switzerland or something like that - and Earl dropped what he was doing and went to Beirut. Earl not only helped this person organize a program that the individual didn't know how to do, but then he came down and ran the initial sessions, memorized 30 or 40 Arab names - try that sometime - and essentially made that program a success, all on the spur of the moment. Now, people who can do that for you and are willing to do

that for you, you never forget. I'm not going to ever forget Earl, whether he makes the baseball team or not. It has been a pleasure to be associated with him for the 20 years I have been here, which is only about half of what he has been here, and I hope that our association continues. His fine health, I think, assures that it may do that, and I wish to recognize him at this time and give him my best wishes for the future." [Applause]

Vice President Barker: "Now I'll call on Dean Bugliari who will recognize several retirees who could not be present."

Dean Bugliari: "I, too, think this is sort of a special time, and I would like to just mention the people who are retiring as of the end of this semester who are not here today. They are:

Robert A. Beck, former Dean and Professor of Hotel
Administration

Kenneth I. Greisen, Professor of Physics, former Dean of
the Faculty, Ombudsman, Chairman of the Department of Astronomy

Joseph A. Kahl, Professor of Sociology

Gordon M. Kirkwood, Frederic J. Whiton Professor of Classics

David A. Thomas, Professor of Accounting and Dean, Graduate
School of Management

"I think we ought to have a hand for those retirees, too,
who could not be with us today." [Applause]

As the applause faded, the Cornell Glee Club "Hangovers" sang a tribute to the retiring faculty, ending with the "Evening Song" and the "Alma Mater".

The meeting was adjourned at 5:22 p.m.

Respectfully submitted,

Francine A. Herman, Secretary

REPORT ON ELECTIONS

Spring 1984

SECRETARY OF THE UNIVERSITY FACULTY, 547 ballots cast

Francine A. Herman, Hotel Administration

FACULTY TRUSTEE, 609 ballots cast

Olan D. Forker, Agricultural Economics

AT-LARGE MEMBER, FCR - 4 seats, 556 ballots cast

Robert D. Boynton, Agricultural Economics

Robert M. Cotts, Physics

Peter Harriott, Chemical Engineering

Andrew Ramage, History of Art

REVIEW AND PROCEDURES COMMITTEE - 3 seats, 494 ballots cast

Sander L. Gilman, German Literature

James W. Mayer, Materials Science and Engineering

Richard M. Talman, Physics

NOMINATIONS AND ELECTIONS COMMITTEE - 3 seats, 542 ballots cast

Barry B. Adams, English

Edward S. Flash, Jr., Graduate School of Management

Mary A. Morrison, Nutritional Sciences

MEMBERSHIP OF THE UNIVERSITY FACULTY COMMITTEE - 1 seat, 491 ballots cast

Mary Purchase, Design and Environmental Analysis

ACADEMIC PROGRAMS AND POLICIES COMMITTEE - 1 seat, 478 ballots cast

Donald B. Zilversmit, Nutritional Sciences

FREEDOM OF TEACHING AND LEARNING COMMITTEE - 2 seats, 551 ballots cast

Urie Bronfenbrenner, Human Development and Family Studies and Psychology

David I. Grossvogel, Comparative Literature and Romance Studies

MINORITY EDUCATION COMMITTEE - 1 seat, 495 ballots cast

Sally McConnell-Ginet, Modern Languages and Linguistics

PHYSICAL EDUCATION COMMITTEE - 1 seat, 512 ballots cast

Daphne Roe, Nutritional Sciences

PROFESSIONAL AND ECONOMIC STATUS OF THE FACULTY COMMITTEE - 2 seats, 547 ballots cast

Ronald G. Ehrenberg, Economics and Labor Economics, ILR

Richard E. Schuler, Economics and Civil and Environmental Engineering

RESEARCH POLICIES COMMITTEE - 1 seat, 513 ballots cast

John F. Wootton, Veterinary Physiology

RESEARCH POLICIES COMMITTEE - 1 non-tenured seat, 445 ballots cast

Thomas A. Gavin, Natural Resources

UNIVERSITY-ROTC RELATIONSHIPS COMMITTEE - 2 seats, 499 ballots cast

Stephen M. Parrish, English

David Pimentel, Entomology

COUNCIL ON PHYSICAL EDUCATION AND ATHLETICS - 1 seat, 456 ballots cast

Franklin K. Moore, Mechanical and Aerospace Engineering

UNIVERSITY ASSEMBLY - 4 seats, 2-year terms, 453 ballots cast

Thomas J. Kelly, Hotel Administration

David A. Levitsky, Nutritional Sciences

Andy L. Ruina, Theoretical and Applied Mechanics

John E.H. Sherry, Hotel Administration

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