

APPENDIX T: SANFORD SCHOOL OF PUBLIC POLICY

Bylaws of the Sanford School of Public Policy

August 24, 2015

*Amended August 24, 2015, September 8, 2014, January 6, 2014, August 29, 2013, May 21, 2012,
November 28, 2011, February 21, 2011, May 5, 2010*

*Modified appendixes June 25, 2015, August 1, 2014, July 7, 2014, January 6, 2014, August 29, 2013,
June 15, 2012*

I. Mission Statement

The mission of the Sanford School of Public Policy is to educate tomorrow's leaders and improve the quality of public policymaking through research, professional training, and policy and community engagement.

II. Voting Rights

A. Determination of Rules Governing Voting Rights and Other Procedural Matters

Tenured faculty with a primary appointment in the Sanford School of Public Policy will determine rules governing voting rights and other procedural matters, subject to University regulations.

An amendment to these bylaws will be adopted if two-thirds of the tenured faculty who are not on leave vote affirmatively for adoption at a faculty meeting. Proposed amendments will be distributed by the dean at least five days prior to that faculty meeting.

B. Assignment of Voting Rights (see Appendix 1)

The "Tenured and Tenure-Track Faculty" of the School (hereafter the TTT Faculty) consists of the Dean and all tenure-line full-time Duke faculty with rank of Assistant Professor, Associate Professor, or Professor, and with primary appointment in the School, together with any other tenure-line Duke faculty (including those with joint appointments between the Sanford School and another unit) added by majority vote of the tenured faculty with primary appointments in PPS.

The "Voting Faculty" of the School consists of the TTT Faculty and other members of the regular-rank faculty granted the vote based on the recommendation of the Dean and supported by a majority vote of the tenured faculty with a primary appointment in Public Policy.

Ordinarily, the right to vote will be extended to regular-rank faculty with full-time, multi-year appointments who are significantly involved in the School's teaching or research missions.

C. Quorum

A quorum is required for every vote that is mandated by these Bylaws and that occurs in a meeting of the faculty. A quorum consists of two-thirds of the tenure-line faculty of rank relevant to the vote as specified in these bylaws. Faculty members who are on leave are not counted against the quorum unless they attend the meeting. By agreement with the Dean, a faculty member may attend a meeting by telephone. For votes taken electronically, two-thirds of the tenure-line faculty eligible to vote on the issue and not on leave must cast a ballot for the vote to be valid.

D. Voting Procedures

A meeting must be held for all votes with the following exceptions. An electronic or other remote vote will be held for the following procedures:

- Initial appointment of a regular rank non TTT faculty member if the candidate has been employed for a minimum of three years by Duke prior.
- Renewal of non-tenure line regular rank faculty

- Promotion from assistant to associate research professor
- Secondary appointment

“Other Matters for Decision by the Faculty” falling under Section VI and a) and b) in these bylaws are ordinarily voted on in meetings but may be held by electronic vote if the Executive Committee agrees.

Electronic or remote votes must be conducted by a procedure that gives reasonable assurance of confidentiality and a defined deadline for submitting a vote.

All votes pertaining to TTT faculty and to changes of these bylaws must be held in face to face meetings.

III. Definition of Faculty Titles

The Sanford School of Public Policy follows the University’s nomenclature regarding faculty titles, as defined in the most recent articles in the Faculty Handbook.

The following titles are available for regular-rank appointments in Public Policy:

- assistant professor
- associate professor
- professor
- associate professor of the practice
- professor of the practice
- assistant research professor
- associate research professor
- research professor
- senior lecturer
- lecturer

In addition the Dean will make appointments using non-regular-rank titles as appropriate.

IV. Appointment Procedures

Any new appointment, promotion, or contract renewal for a member of the regular-rank faculty requires an affirmative vote by a majority of that portion of the voting faculty who are qualified by rank and tenure status, who are not on leave, and who attend a meeting (if that is required for the decision at hand) called by the Dean. Voting is by secret ballot.

Prior to the vote, a written report will be distributed to the faculty members who are eligible to vote. This report will describe the search process (in the case of a new appointment) and the qualifications of the candidate.

A. Initial appointments

1. The TTT Faculty vote on whether to offer an initial appointment to a tenure-line position. The entire Voting Faculty vote on initial appointments for other regular rank faculty positions.
2. The tenure status and rank of initial offers are determined by the relevant subgroup of faculty consistent with University regulations.
 - For tenure-line appointments, the relevant subgroup consists of the TTT Faculty with equal or higher rank than that which is proposed.
 - For other regular rank appointments, the relevant subgroup consists of the Voting Faculty with equal or higher rank than that which is proposed.

B. Reappointments

For renewal of contract for a tenure-line assistant professor, the TTT Faculty holding rank of associate professor or professor vote on reappointment at the rank of assistant professor.

Reappointments at the rank of lecturer or senior lecturer will be made at the dean’s discretion, in consultation with the Executive Committee. A faculty vote will not be required. For other regular rank reappointments, the voting faculty with higher rank are eligible to vote, except in the case of renewals at the rank of professor, where the vote is by others of that rank (not including the candidate).

C. Tenure and Promotion:

The TTT Faculty with tenure and rank of associate professor or professor vote on internal promotions from assistant professor to associate professor with tenure. The TTT Faculty with rank of professor vote on promotions to that rank.

For a promotion review of a member of the regular rank, non-tenure-line faculty, all those Voting Faculty members are eligible to vote who have rank equal to or higher than the rank to which the candidate is being considered for promotion.

All votes on recommendations for promotion of members of the regular-rank faculty other than lecturers require a majority vote. Such votes shall occur by secret ballot.

Promotion from lecturer to senior lecturer will be made at the dean's discretion, in consultation with the Executive Committee. A faculty vote will not be required.

D. Secondary Appointments

In the case of secondary appointments, the entire Voting Faculty votes on the initial appointment. In the last year of the term of a secondary appointment, the Dean, in consultation with the Executive Committee, will determine whether it is to be renewed, and for how long.

V. Criteria for Appointments, Reappointments, and Promotions for Regular Rank, Non-Tenure Track Faculty in Public Policy

A. Lecturer

Candidates for teaching positions who have completed a master's degree or JD or the equivalent, will be considered for appointment as lecturer. Exceptions to the requirement of completion of an advanced degree must be satisfactorily justified in the report of the review committee.

Senior Lecturer:

Candidates who have been in their lecturing position a minimum of two years may be considered for promotion to senior lecturer. Promotion will be considered based on performance in the areas in teaching, development of curriculum and administration.

Reappointment: Satisfactory performance as a Duke teacher is required for reappointment. Reappointment also requires satisfactory performance in administration, program development, research and writing, and fundraising, to the extent that these activities are included in the job definition.

B. Professor of the Practice

Candidates whose appointments are justified by contributions to the policy process, or by their scholarly qualifications and contribution to the administrative and teaching mission of the school, will be considered for appointment as "Professor of the Practice" or "Associate Professor of the Practice."

Initial Appointments: Initial appointment as Professor of the Practice will be reserved for those who have had a highly distinguished career in government, journalism, politics, documentary studies, the private sector, the nonprofit sector, or in administration and teaching in the Sanford School of Public Policy. The appropriate basis for evaluating distinction depends on the particular area of his or her contribution, but would ordinarily include such indicators as seniority, rank within the relevant organization, reputation among peers, quality of publication (if any), honors and awards, and demonstrated ability to translate experience into useful lessons for students.

Initial appointment as Associate Professor of the Practice will be for individuals whose careers show significant achievement but not at the level of distinction and seniority that would warrant appointment at the level of professor of the practice.

Reappointments and Promotion: Satisfactory performance as a teacher of undergraduate or professional students is normally required for reappointment at both levels. Reappointment also requires satisfactory performance in administration, program development, research and writing, and fundraising, to the extent that these activities are included in the job definition.

Professors of the Practice also will be evaluated based on evidence of continued engagement and achievement in their professions outside their University responsibilities, as evidenced by relevant research and writing; service on major governmental commissions; service on other professional commissions, task forces or comparable groups; governmental or other service during leave periods; professional honors and awards; external funding for their teaching; programs and other University activities; and other professional activities; and by their administrative and teaching contributions to the Sanford School.

Promotion from Associate to full Professor will be based on further achievement related to University responsibilities or recognition within his or her profession outside the University. Evidence of such further achievement and recognition will be based on the same criteria noted above as well as peer recognition.

C. Research Professor

Faculty members for whom no tenure-track position is available, but whose research credentials and accomplishments meet the standard of the School for the equivalent tenure-track rank, will be considered for appointment as “research professor” (or “assistant research professor” or “associate research professor”).

Initial appointment and promotion: Appointments will ordinarily be made after an open search. Dossiers in support of promotion to associate or full rank will follow university guidelines.

Reappointment: Satisfactory performance in research and other activities specified in the job description is required for reappointment.

D. Distinguished Professorships

From time to time the Dean may recommend to the Provost appointment of a Sanford School faculty member to a distinguished professorship. This recommendation can only be made after the proposed appointment has been reviewed favorably by the Sanford School Distinguished Professorships Committee.

The following procedures apply to nominations for two types of distinguished professorships: those that “belong to” the Sanford School (either endowed or eponymous), and those University chairs that are assigned by the Provost.

The Distinguished Professors Committee (DP Committee) will consist of all full-rank distinguished professors (DP) with primary appointment in the Sanford School of Public Policy. Those who are eligible for service on the committee may opt out during a semester in which they are on leave. They should state their intention by written communication to the Dean.

A Chair of the committee will be elected from its membership each year by an absolute majority vote of the Committee.

Process:

Nominations for a distinguished chair may be made by any regular rank faculty member, and submitted to the Chair of the DP Committee. Nominations will be solicited annually. Only members of the Sanford faculty, or those who have been made a formal offer to join the Sanford faculty, are eligible for consideration. Nominations will be kept strictly confidential and consist of a dossier containing the candidate’s current curriculum vitae, a nominating statement describing why the individual is outstanding, and names of six arm’s length experts external to the institution who are qualified to evaluate the candidate.

The nominations in any one year will be reviewed according to a two-step process. In the first step, the Committee shall meet and select from the pool of nominees those candidates who by their CV and nominating letter are deemed to meet or exceed the minimum expectations for a DP. These candidates will be selected by an absolute majority of the committee membership in a secret ballot.

In the second step, the Committee will solicit letters from four or more arm’s length experts external to Duke University. These letters may include, but will not be limited to, the names suggested by the nominator. The Committee Chair will assign the candidate’s dossier to two members of the Committee, who will be responsible for leading the discussion for their assigned candidate. A secret ballot will be taken after each candidate is discussed on a motion to recommend the candidate to the Dean for DP designation. The Dean does not vote, but will attend all meetings at which votes are taken. A majority of the Committee must attend and vote in favor in order for a candidate to be recommended as “school chair eligible.”

The Dean will consider the vote and advice of the Committee in recommending candidates for a distinguished professorship to the Provost. The Dean may draw from the resulting pool of faculty recommended as eligible by the DP Committee any candidate(s) he or she wishes to recommend to the Provost for any type of University-wide named chair. The recommendation will consist of a nomination letter to the Provost.

Should the Committee recommend more candidates for DP designation than are awarded, the names will remain in a pool of faculty that are deemed "School Chair Eligible" for three years. After three years, the candidate will have to be reconsidered by the Committee.

Each year, at the end of the academic year when reviews of the candidates have been completed, the DP Committee Chair shall forward to the Provost's Office for retention purposes all records related to each school chair candidate's nomination.

VI. Other Matters for Decision by the Faculty

Decisions regarding the following issues shall be decided by secret ballot of the Voting Faculty following review by the Executive Committee.

- a. Creation of a certificate program or undergraduate minor within Public Policy Studies; and
- b. Creation of a new degree program

The Executive Committee shall make decisions, based on consensus (with a quorum of five elected members), regarding the following issues:

- c. Changes in requirements for the undergraduate major or for one of the graduate degree programs;
- d. Modification of a certificate program or undergraduate minor within Public Policy Studies;
- e. The establishment of a center or the major modification of an existing center within the School;
- f. Other issues that the Dean, in consultation with the Executive Committee determines warrant Executive Committee decision, or on which the Dean wishes to gain Executive Committee input or approval; and,
- g. Other duties assigned to the Executive Committee by the Dean or by documents approved by the Dean

Matters pertaining to Section VI a) – d) should be coordinated with the Associate Dean for Academic Programs before review by the Executive Committee.

Matters pertaining to Section VI a) – e) should receive appropriate consultation and coordination before being brought to the Executive Committee for final ExCom action. Appropriate consultation and coordination will depend on the significance of the proposals but include circulation of the written proposals to the full faculty with opportunities to provide timely feedback. Individuals putting together a particular proposal should consult with ExCom early in the process regarding what constitutes such appropriate consultations and coordination in that particular instance.

If the Executive Committee cannot reach a decision on matters pertaining to Section VI c) – e) after due deliberations, the matter will move to a faculty vote.

The Executive Committee may, at any time, decide that a matter brought before it by the Dean warrants a full faculty discussion and vote, and refer the decision to the full faculty. If the Executive Committee decides that a matter requires such full faculty attention, the matter may go before the faculty in a regular faculty meeting or be decided via an electronic vote, according to the method that the Executive Committee considers most appropriate.

When the Executive Committee is scheduled to decide on an issue under Section IV c) – e), a notice and information regarding the issue must go out to the full voting faculty with appropriate advance notice; any faculty member may submit their views in advance to the committee and attend the Executive Committee discussion in connection with such a meeting.

VII. School Officers

Sanford School officers consist of the Dean, appointed by and reporting to the Provost; the Director of Undergraduate Studies (appointed by the Dean of Arts and Sciences by recommendation of the Sanford Dean); the director of the PhD program (appointed by the Dean of the Graduate School by recommendation of the Sanford Dean); and the Directors of Graduate Studies (appointed by the Sanford Dean) who oversee the Master of Public Policy and the Master of International Development Policy programs.

The Dean may appoint a Senior Associate Dean of Faculty, and other Associate and Assistant Deans, and delegate to them specified decanal responsibilities. An addendum to these Bylaws provides a current listing of such positions and their responsibilities.

VIII. Standing Committees

The Sanford School Executive Committee. This Committee shall consist of the Dean (as chair), five members of the TTT Faculty (including at least one member with rank of assistant professor and one with rank of associate professor), and two members of the Voting Faculty who are not on the tenure line. The Senior Associate Dean of Faculty will serve as an *ex officio* member.

Members of the Executive Committee (other than *ex officio*) will ordinarily serve staggered two-year terms. Election will be by secret ballot at the beginning of fall semester each year. Members of the Voting Faculty will choose from a list of eligible faculty members that excludes those who are unable or choose not to serve. To be counted, a ballot must include votes for the same number of candidates as there are vacancies in the 5 TTT positions, and for the same number of candidates as there are vacancies in the 2 non-TTT positions. Furthermore, if there is no TTT assistant professor with a continuing term, then each ballot must include at least one vote for an assistant professor. If there is no TTT associate professor with a continuing term, then each ballot must include at least one vote for an associate professor.

Those candidates who get the most votes among the TTT candidates, and the most among the non-TTT candidates, will fill the vacancies in these two categories, with the proviso that there must be at least one assistant professor and one associate professor serving on the Executive Committee.

If an elected member resigns, the remainder of his or her term will be filled by the faculty member next in line in the vote count for the appropriate category.

The Committee will advise the Dean on such matters as he or she brings before it. As specified in section VII (c, d, and e) the Executive Committee will dispose of certain issues by vote.

An *ad hoc* subcommittee of the Executive Committee will be appointed by the Dean from time to time to serve as an Appointments Committee. This Committee will be chaired by the Senior Associate Dean of Faculty. The Committee has two areas of responsibility:

- Review nominations for secondary appointments and make a recommendation to the Dean about whether to proceed with a faculty vote on appointment
- Review proposals to initiate a review of a specific person for a new regular-rank non-tenure-line primary appointment without a search.

The Sanford School Honor Board. The composition and responsibilities of the Honor Board are described in detail in a separate document.

Admissions Committees for the MPP, MIDP, and Doctoral program are appointed by the Dean in consultation with the appropriate program director, and in each case advise that director on admissions and financial-aid decisions.

The Administrative Committee, consisting of all levels of Sanford Deans, advises the Dean on matters that he or she brings forward.

Sanford School Distinguished Professorships Committee, consists of all full-rank distinguished professors (DP) with primary appointment in the Sanford School of Public Policy. Those who are eligible for service on the committee may opt out during a semester in which they are on leave. They should state their intention by written communication to the Dean.

A Chair of the committee will be elected from its membership each year by an absolute majority vote of the committee.

APPENDIX 1
SANFORD SCHOOL OF PUBLIC POLICY FACULTY

TTT faculty as of fall 2015:

Ananat, Barnes, Bermeo, Brands, Brownell, Carnes, Clotfelter, Conrad, Cook, Darity, Dodge, Frankenberg, Gassman-Pines, Gibson-Davis, Goss, Hamoudi, Harding, Jentleson, Jeuland, T. Johnson, Kelley, Korstad, Krishna, Kuniholm, Ladd, Mayer, Merli, Mohanan, Odgers, Pattanayak, Pearson, Peck, Pfaff, Pizer, Price, Rangel, Rose, Sanders, Sexton, D. Taylor, and Whetten

Other voting faculty as of fall 2015:

Adair, Babinski, Bennett, Blount, Brown, Charney, Cook-Deegan, Fernholz, Fleishman, Frey, Glenday, Harris, Kelly, Krupp, Lansford, McCorkle, Mirovitskaya, Mlyn, Muschkin, Owen, Pickus, Pomerantz, Profeta, Rogerson, Schanzer, Shukla, So, T. Taylor, and Vaupel

APPENDIX 2
DEANS OF THE SANFORD SCHOOL OF PUBLIC POLICY (as of fall 2009)

Dean of the Sanford School

Senior Associate Dean of Faculty, with the following responsibilities: (revised spring 2014)

- *Ex officio* member of the Executive Committee
- Chair of the Appointments Committee
- Primary responsibility for managing faculty searches, appointments, and reviews
- Shared responsibility (with the Dean) for counseling faculty members on career development
- Responsibility for any other responsibilities delegated by the Dean

Associate Dean for Finances and Administration, with the following responsibilities:

- Chief financial and administrative officer
- Primary responsibility for short- and long-term budget development, grant administration, human resources management, facilities planning, space utilization, and major construction/renovation projects

DEANS OF THE SANFORD SCHOOL OF PUBLIC POLICY (as of fall 2010)

Associate Dean for International Academic Programs (Open position AY2015-16)

- Implement the Global Semester Abroad in India and, on behalf of the School, explore the possibility of building additional academic ventures upon this platform.
- Explore and, in consultation with the Dean, initiate academic collaborations involving Sanford faculty and students, initially in India and later in other countries.
- Help develop and oversee other overseas academic enterprises as determined by the Dean.

Associate Dean for Executive Education Programs (Open position AY2015-16)

- Establish in consultation with the Dean the School's Ex Ed goals and policies and ensure their consistency with University policies.
- Advise on related strategies and provide assistance as needed in their implementation.
- Coordinate specific programs involving several Schools (e.g. Kunshan in China and VNU in Vietnam) and liaise on behalf of the School with the University on such programs.

- Promote collaboration among the School's faculty and Centers undertaking Ex Ed and identify potential synergies.
- Ensure the longer term sustainability of Ex Ed programs.

Associate Dean for Development and Alumni Relations

- Direct all phases of a development and alumni relations program for the Sanford School, including principal and major gifts, annual fund and stewardship;
- Serve as primary liaison to the Sanford School's Board of Visitors;
- Provide oversight of the alumni relations program, including student engagement, life-long engagement, and volunteer and philanthropic cultivation.

Assistant Dean for Communications and Marketing

- Develops and implements an integrated external communications program
- Brand management,
- Media relations,
- Advertising and marketing,
- Design and development of web-based, multimedia and traditional publications,
- Promotion of public events and management of the school's social media initiatives.

DEANS OF THE SANFORD SCHOOL OF PUBLIC POLICY

Assistant Dean of Academic Programs and Student Affairs (as of fall 2011)

- Strategic leadership and effective management for the administrative support of the undergraduate and graduate programs of the Sanford School
- Development of new initiatives, as well as management and oversight of student affairs functions, ranging from marketing and recruitment to career transitions and outreach to alumni, in coordination with the Associate Dean for Development & Alumni Relations
- Administrative lead on new program development
- Supervision of program staff and program budgets
- Oversee coordination with other Duke professional schools and offices regarding dual degrees, student services and technology
- Strategic planning of Faculty FTE's across academic programs

Associate Dean for Academic Programs (as of fall 2012)

Oversees and coordinates all domestic degree-granting programs and administrative staff that support them. In order to fulfill those responsibilities, the Associate Dean:

- In conjunction with the Administrative Committee, oversees curriculum planning and reviews of all academic degree-granting programs, and other programs (e.g., SACS review, Geneva, HLP or National Security Public Policy Fellows) as designated by the Dean.
- Has a dotted line reporting relationship with the DGSs for the PhD, MPP, and MIDP programs, and the DUS. The Associate Dean will provide input into the annual reviews of the directors.
- Manages the academic program infrastructure for SSPP (but not MIDP) – the Assistant Dean for Academic Programs and Student Affairs and Director of Career Services report directly to the Associate Dean.
- Ensures planning of future course schedules (with the assistance of the DUS), with attention to faculty responsibilities in fulfilling core teaching requirements and meeting evolving student needs; resolves differences among directors regarding who should teach in which programs.

- Ensures faculty adherence to course-load obligations, endorses exceptions to rules and (with the Senior Associate Dean of Faculty) leave/sabbatical requests to the dean, oversees points accrued toward course relief and eligibility for sabbaticals.

Associate Dean for Strategy and Innovation (as of fall 2014)

Strategic Planning

- Assist the Dean in coordinating strategic planning for the Sanford School.
- Work with the Dean to develop means for carrying out the strategic plan, and to monitor progress towards goals established in the plan.
- Work with the Dean to establish and monitor a system for ongoing input into Sanford's strategic thinking from students, staff, faculty, alums, and other relevant groups.

Engagement and Impact

- Work with faculty, staff, students, alumni and other stakeholders to develop new programs and initiatives to increase engagement and impact.

Fostering Innovation

- Work with other associate deans, faculty directors, students, and key staff to institutionalize practices that encourage innovation in research, teaching and engagement.
- Develop and carry out a plan for engaging with other innovation activities on campus.
- Work with the Dean to oversee the administration of innovation funds and activities.

Assistant Dean for Career and Professional Development (new as of spring 2015)

- Provide strategic leadership and effective management for the Office of Career Services within the Sanford School
- Ensure that all Sanford undergraduate and MPP students successfully complete the policy internship requirement
- Provide advising and programming for Sanford undergraduate and MPP students for improving career exploration and job search skills
- Create and nurture relationships with employers, including alumni
- Collaborate with MPP Director of Graduate Studies to provide professional development programs for MPP students
- Participate on cross-Sanford and cross-university committees and teams to provide career-related perspectives to plans and initiatives