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BULLETIN

OF THE AMERICAN ASSOCIATION OF UNIVERSITY PROFESSORS

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Academic Freedom and Tenure: Pacific Lutheran University (Washington)¹

(JANUARY 2020)

I. Introduction

This report, prepared by the Association's staff, concerns the case of Dr. Jane Harty, a part-time faculty member with forty years of service in the Department of Music at Pacific Lutheran University. In November 2018, Dr. Harty was suspended from her teaching responsibilities for the remainder of her one-year contract and informed that she would not be reappointed for the following academic year. The stated reason for the action was that she had violated a directive issued by her department chair that prohibited faculty members from accepting payment from PLU students for private lessons given independently of the university. The summary nature of the action, the relatively minor character of the infraction, and the fact that Dr. Harty's longtime advocacy for the rights of faculty members on contingent appointments had brought her into repeated conflict with her administrative superiors suggested that the administration had imposed the suspension for reasons that implicated principles of academic freedom. Following lengthy correspondence between the Association's staff and the administration, in which the administration's representatives repeatedly shifted their characterization of the action against Dr. Harty, the administration agreed to afford her a faculty dismissal hearing, as stipulated under AAUP-recommended standards. Regrettably, in that hearing

the administration declined to assume its responsibility for demonstrating adequate cause for dismissal, and the faculty hearing body did not therefore reach a determination on whether the charges warranted dismissal, rendering the proceedings moot. An AAUP investigation of Dr. Harty's case, which the Association's executive director had authorized and then suspended when the administration agreed to afford Dr. Harty a dismissal procedure, was reopened when the staff learned that the hearing did not conform to AAUP-recommended standards. This report is based on the written record of the case, which includes the account of an Association representative who attended the hearing as an observer.

II. The Institution

Pacific Lutheran University, located in Tacoma, Washington, is a coeducational institution affiliated with the Evangelical Lutheran Church in America. The university is regionally accredited by the Northwest Commission on Colleges and Universities, and its music department is accredited by the National Association of Schools of Music. Pacific Lutheran serves about 3,100 students, of whom some 2,800 are undergraduates. Its faculty comprises 223 full-time and 121 part-time members.

During the period in which the events under investigation occurred, the institution was conducting a presidential search. The acting president during the 2018–19 academic year was Mr. Allan Belton, who, after a twenty-five-year career with Bank of America Merrill Lynch, joined Pacific Lutheran in 2015 as chief financial officer and had most recently served as senior vice president and chief administrative officer. In April 2019, Mr. Belton was appointed as the university's

1. The text of this report was written in the first instance by the Association's staff. In accordance with Association practice, the text was then submitted to Committee A on Academic Freedom and Tenure. With the approval of Committee A, the report was subsequently sent to the subject faculty member and to the administration of Pacific Lutheran University. This final report has been prepared for publication in light of the responses received.

fourteenth president.² Serving in the position of interim chief academic officer was Dr. Joanna Gregson, who had previously been a faculty member and chair in the sociology department. She was subsequently appointed to the position on a permanent basis.

Beginning in 2012, Pacific Lutheran was the site of an academic labor dispute when the Service Employees International Union (SEIU) attempted to organize the contingent faculty at the institution. The administration opposed this effort, based on Pacific Lutheran University's religious affiliation and on the claim that full-time contingent faculty members are managerial employees. When the regional office of the National Labor Relations Board (NLRB) issued a decision upholding the contingent faculty's right to unionize, the PLU administration appealed that decision to the NLRB. Although the NLRB's 2014 decision was favorable to the union, the organizing drive at the institution was subsequently suspended.

III. The Case of Dr. Jane Harty

Dr. Jane Harty holds an MFA in piano performance from the University of Minnesota and a DMA in keyboard studies and arts criticism from the University of Southern California. She was first appointed as a part-time faculty member at Pacific Lutheran in 1978, initially as a lecturer in piano and from 2001 to 2017 as a senior lecturer, a rank that included at least a half-time teaching load and benefits. In 2017, the administration reclassified Dr. Harty and five other part-time faculty members as lecturers, a rank without benefits, at the same time as it established a second tenure line in piano.

Dr. Harty reports that between 2007 and 2011, she unsuccessfully applied for three tenure-track positions in her subject area at Pacific Lutheran and that, each time, the successful candidate had at least fifteen years less experience than she. According to Dr. Harty, the first two appointees resigned within a year or two. Dr. Harty reports that, in 2017, when the department sought to fill the tenure-track position

whose creation she believes led to her reclassification in rank, the chair of the search committee discouraged her from applying, telling her that the search committee was looking for an "early career" individual. The chair, however, reportedly reassured her that her part-time position was "safe." Dr. Harty filed two separate complaints of age discrimination with the US Equal Employment Opportunity Commission (EEOC) regarding the reduction in rank and the statement by the search committee chair. In both cases, she did not pursue litigation after receiving a notice of right to sue from the EEOC.³

In 2012, after Dr. Harty coauthored a report on a survey of the contingent faculty at the institution undertaken on behalf of the local AAUP chapter, SEIU representatives recruited her to lead the organizing effort among the contingent faculty at Pacific Lutheran. Following the conclusion of the organizing campaign, Dr. Harty continued to engage in activism on behalf of the non-tenure-track faculty on campus, which brought her into conflict with the administration.

In the spring 2018 semester, a student contacted Dr. Harty asking to study collaborative piano, an area of study not represented among the course offerings at Pacific Lutheran. On April 23, with Dr. Harty's encouragement, the student contacted Professor Brian Galante, chair of the music department, to request permission to enroll in an independent study course with Dr. Harty on that topic. That same day, Professor Galante denied the student's request in an email message, stating that because faculty members did not receive compensation for independent study courses, the department did not assign such courses to faculty members serving on contingent appointments "in fairness to them." Professor Galante added, "We do not offer a course in Collaborative Piano, and so there is no option for elective credit in this circumstance." As a result, Dr. Harty and the student, together with a voice student, arranged for her to offer instruction independent of the university during the fall 2018 semester.

Dr. Harty reports that other studio faculty members at Pacific Lutheran had provided such lessons at one time or another during her four decades at the institution and that the music department had never established a policy addressing this practice.

2. Had an investigating committee conducted a site visit, it could have inquired about conditions for academic governance at the institution, which may well have included inquiries about the process of selecting President Belton. According to reports in the press, faculty and students had stated concerns that the search process lacked transparency and that Mr. Belton was selected even though he was not among the finalists who visited the institution for on-campus interviews. According to these reports, President Belton's candidacy had not even been announced prior to his appointment.

3. The EEOC has authority to enforce violations of its statutes by filing a lawsuit in federal court. If the EEOC decides not to litigate, the charging party (here, Dr. Harty) will receive a notice of right to sue and may file a lawsuit in federal court within ninety days.

On September 6, Professor Galante sent the following email message to the department:

Today, I overheard a few students discussing the possibility of paying a faculty member privately rather than registering for credited lessons. While a faculty member may, with all good intentions, be tempted to enter into such an agreement, PLU faculty (full-time or contingent) may not take payment “under the table” from, nor use PLU resources to teach, a current PLU student, even if that student is at the credit maximum. A student should not, for example, register for one-credit of a lesson, and then pay for the other half hour privately in order to avoid tuition expenses and course fees. Imagine a similar circumstance where a student requests to pay cash to an instructor to take a biology class off the record. It wouldn’t happen.

We certainly cannot monitor what a faculty member chooses to do on their own time, in their own place, but we do not want to get into a situation where it appears that a student or teacher is undercutting the university. That is not good for the health of our budgets and our ability to plan appropriately for teaching loads. It also wades into murky ethical, legal and tax waters.

Should a current student approach you about taking lessons for cash, please decline. Let me know if you have any questions.

Around the same time, Dr. Harty emailed the student an invoice for the private instruction in collaborative piano, which the student forwarded to her parents. In late September, the student’s mother contacted the Office of Student Services to inquire about the bill that her daughter had sent her. The office contacted the music department, and on October 12, Professor Galante’s administrative assistant contacted Dr. Harty to ask for clarification. After calling the student’s mother to explain the arrangement, Dr. Harty informed the music department that the matter had been settled to everyone’s satisfaction.

Following that conversation, the student’s mother sent Dr. Harty a check for \$420 to pay for the lessons. Even though Dr. Harty did not believe that Professor Galante’s directive applied to her case, because it did not mention a scenario in which a student wished to take lessons in a subject area not included in the curriculum, she feared that it might nevertheless be interpreted to apply to her situation. As a result, she returned the check.

In late October, Dr. Harty was called into the human resources office to discuss the inquiry received from the student’s parent. Dr. Harty reports that Ms. Teri Phillips, the director of human resources, accused Dr. Harty of having “undermined the university” when she accepted payment for private instruction and informed her that she was referring the case to the provost and, ultimately, to the president. Dr. Harty further reports that when she informed Ms. Phillips that she had returned the payment to the student’s mother, Ms. Phillips replied that she had done so only because she had been “caught.”

On November 29, Provost Gregson informed Dr. Harty by letter that she would be placed on unpaid leave after the conclusion of her teaching responsibilities in the fall semester, with the leave continuing through the end of the spring semester, when her most recent one-year appointment was set to expire. Provost Gregson’s letter also informed Dr. Harty that her part-time appointment would not be renewed for the following academic year. As the reason for these actions, the provost’s letter stated that her providing instruction to PLU students independently contravened not only the September 6 directive from Professor Galante but also the “long-standing expectations of the University” and had “created a conflict of interest” on Dr. Harty’s part.

On the same day, Dr. Harty wrote an appeal to Provost Gregson. In her letter, Dr. Harty requested that the provost reconsider her decision in light of Dr. Harty’s long record of dedicated service to the institution, what Dr. Harty viewed as a lack of clear institutional expectations regarding private music instruction, the vagueness of the policy promulgated by Professor Galante, and Dr. Harty’s having returned the check. On the following day, Provost Gregson responded by email: “I have received and reviewed the information you provided. My original decision stands.”

IV. The Association’s Involvement

On December 3, a member of the AAUP’s staff wrote to the administration to convey the Association’s concern that Dr. Harty’s terminal suspension appeared to constitute a summary dismissal under Association-supported procedural standards and urged her immediate reinstatement. In his response, dated January 10, 2019, President Belton rejected the Association’s contention that Dr. Harty had been dismissed: “Contingent faculty members are not guaranteed reappointment in the same manner as tenure

line faculty and the notice periods applicable to tenure line faculty do not apply to the non-renewal of a contingent appointment. To my knowledge, the decision to not reappoint a contingent faculty person has never been viewed as ‘dismissal’ that would be subject to the dismissal procedures of the PLU Faculty Handbook. I believe this is the case at most US colleges and universities.”

President Belton further claimed not only that Dr. Harty had contravened Professor Galante’s directive and “a longstanding expectation that persons teaching music students on behalf of PLU will not simultaneously offer private instruction to the same students for personal profit” but also that she had violated “the duty of loyalty she has as a PLU employee under Washington law.”

President Belton described the action taken against Dr. Harty in terms that differed markedly from those provided in Provost Gregson’s November 29 letter. Instead of referring, as the provost had done, to Dr. Harty’s ongoing separation from her teaching responsibilities as the administration’s having placed her “on leave,” he explained the actions as follows:

The information indicating that Dr. Harty had not complied with PLU’s longstanding expectations, the specific direction from the Music Chair and her obligations under Washington law, resulted in PLU being unwilling to assign additional PLU students to her for private music lessons. A contingent faculty in the Music Department is not guaranteed any specific assignment from term to term and the assignments for private music instruction are made on a term-by-term basis. Additionally, PLU had adequate resources to accommodate the few students Dr. Harty taught so there was no necessity to continue this contingent assignment. . . . Nevertheless, in an effort to avoid any potential financial disruption, PLU continues to pay Dr. Harty the amounts she would have received had she continued to provide private music instruction at the same level as in Fall 2018.

Thus, according to this account, some students had already been assigned to Dr. Harty when the administration decided not to assign additional students to her because of her alleged misconduct. Since the administration was now able to assign the initial group of students to other instructors, it regarded Dr. Harty’s enrollment as insufficient to warrant providing her with any teaching assignment at all.

The staff noted in response that the conditions that led to the modification of Dr. Harty’s contract had in fact been created by the administration. That is, by the administration’s own account, the only reason that Dr. Harty’s enrollment was “insufficient” was that the administration itself had decided not to assign additional students to her. The modification of her contract, the staff stressed, thus constituted a suspension by another name, leaving the Association’s concerns in Dr. Harty’s case unresolved.

With Dr. Harty’s status remaining unchanged at the beginning of the spring 2019 semester, the Association’s executive director appointed an ad hoc committee to conduct an investigation into Dr. Harty’s case, and the AAUP’s staff so informed President Belton on February 8. On February 19, Mr. Warren Martin, an attorney retained by the administration, responded to the staff’s letter. In addition to assuring the administration’s full cooperation with the investigation, the letter provided the following account of Dr. Harty’s case: “Dr. Harty requested and received an opportunity to discuss and respond to the allegations before PLU made any decision. And Dr. Harty did not dispute or deny the underlying misconduct. The AAUP’s 1940 *Statement [on Principles of Academic Freedom and Tenure]* indicates that a hearing before a faculty panel ‘should’ be provided, especially where the ‘facts are in dispute.’ Dr. Harty had an opportunity to be heard by the Provost, who is a long-time tenured member of the faculty, which confirmed that the facts are not in dispute.” In its response on February 22, the staff stated that it was pleased to hear that the administration, as evidenced by its citing provisions of the 1940 *Statement* concerning dismissal, now acknowledged that Dr. Harty had in fact been dismissed. With respect to the administration’s adherence to the Association’s recommended procedural standards, the staff further noted that although some facts were not in dispute, others were, including those related to the question whether the misconduct in which Dr. Harty was alleged to have engaged warranted dismissal. The letter noted that the latter question, in particular, required consideration by a duly constituted faculty body. The letter concluded, “The Association accordingly views the provost’s nominal faculty status as having no bearing on this requirement.”

As Mr. Martin’s letter had stated that the administration was “amenable to discuss possible resolutions,” the staff’s response reiterated that the administration should restore Dr. Harty to her regular

faculty duties, or, failing that, afford her a dismissal hearing before an elected faculty body in which the administration was responsible for demonstrating that she had engaged in conduct that warranted her dismissal. The staff's letter noted that the dismissal procedures contained in the Pacific Lutheran University faculty handbook comported in essential respects with Association-supported standards.

On March 8, only days before the investigating committee was scheduled to visit the institution, Mr. Martin wrote that, in order "to resolve AAUP's concerns and for no other purpose, PLU is prepared to convene a formal dismissal hearing committee process." The Association's executive director consequently suspended the investigation. In informing the administration of that decision, the AAUP's staff also noted that the Association did not consider Dr. Harty's case closed and would reserve the right to publish a report on Dr. Harty's case should the hearing fail to comport in essential respects with Association-recommended standards. In closing, the letter noted that Dr. Harty had asked for the AAUP's national office to arrange for an AAUP representative to be present as an observer at the proceedings.

On April 12, President Belton notified Dr. Harty that the hearing would take place on May 24 and that Provost Gregson's November 29 letter would serve as the statement of charges setting forth the grounds for her dismissal. At the hearing, the committee and the administration were both represented by legal counsel, and Dr. Harty was accompanied by a faculty colleague who served as her adviser. A faculty member from another institution attended in the capacity of an observer representing the AAUP's national office.

In his report on the hearing submitted to the Association, the AAUP observer made the following assessment: "Technically speaking, on my understanding, this proceeding conformed to the letter of the process specified in the PLU faculty handbook." But he qualified this assessment by adding that he had "concerns" about the proceeding's "integrity," specifically, whether it had been conducted in good faith.

The observer noted that in his closing remarks the attorney representing Pacific Lutheran University asked the faculty committee to endorse the following three conclusions:

- (1) In handling this matter, PLU did not in any way or at any time violate the procedures specified in its faculty handbook;

- (2) The termination of Dr. Harty's relationship with PLU had been effected via the non-renewal of her contingent appointment; and
- (3) Had it been necessary for PLU to demonstrate "adequate cause" to warrant Dr. Harty's dismissal, however, the record demonstrates that this standard would have been met in this case.

To the observer, these instructions raised concerns as to whether the proceedings did in fact constitute a dismissal hearing. In order to confirm that he had understood the administration's position, the observer paraphrased the above summary to the university's attorney, and the attorney confirmed that this characterization was accurate.⁴ Consequently, the observer reported, "It would appear to follow that this proceeding was not in fact a dismissal hearing because Dr. Harty has not in fact been dismissed; and, if that is so, then I remain unsure how to understand and assess the nature and purpose of the session I attended." The observer further stated, "It seems not unreasonable to speculate that this proceeding was conducted only in order to appease the AAUP and, more specifically, to forestall a full investigation. If that is correct, then one might conclude that this proceeding was a show whose chief purpose was to give the appearance of legitimacy to conclusions already determined by the provost and president. This conclusion appears to be implied by the PLU attorney's closing remarks to the faculty body."

The observer's impressions found confirmation when the hearing committee issued its findings on June 3, 2019. The committee determined that Dr. Harty had violated a directive by her department chair and that the administration acted within its rights in not renewing her appointment. The committee also concluded that the administration's action to suspend Dr. Harty "fail[ed] to provide the level of faculty review and due process inherent in the PLU

4. The observer's description is further confirmed by the transcript of the proceedings. In the administration's November 22 written response to the draft text of this report, the university's attorney took the position that the administration did make the specific request to the committee to "find that adequate cause is proven on this record," citing the transcript. Again, what the administration actually requested of the committee was to "find that adequate cause is proven on this record," but only "to the extent that adequate cause would be required for this decision," which it denied was required. In other words, the administration asked the committee to endorse a hypothetical or, more precisely, a counterfactual.

faculty handbook.” The committee did not address, however, the one issue that the hearing was supposedly conducted to determine: whether the administration had demonstrated that the charges against Dr. Harty warranted her dismissal for cause.

In a July 22 letter to Dr. Harty, President Belton enclosed a memorandum, dated the same day, that he had sent to the hearing committee. In it, the president acknowledged that “the Formal Dismissal Hearing Committee did not make a specific recommendation—one way or the other—regarding whether ‘adequate cause for dismissal’ was or was not established.” After noting that the dismissal procedures in the bylaws required the committee to report to the president if it concluded that the administration had failed to establish adequate cause, he pointed out that the committee had not done so. He then quoted from the same section of the bylaws a provision permitting the president to transmit “a recommendation for dismissal to the Board when the faculty Hearing Committee has not recommended dismissal” and stated that he intended to do so.

The July 22 letter to Dr. Harty invited her to appear at the October 19 meeting of the board of regents, at which the board would take final action in the matter. It further informed her that, “regardless of any issues relating to a ‘dismissal’ under the 2018–19 agreement, Pacific Lutheran University is exercising its right to not offer [her] a Contingent Faculty Teaching Agreement for 2019–2020.”

On September 11, President Belton forwarded to the governing board and Dr. Harty a memorandum recommending dismissal. It states that the hearing committee had found that Dr. Harty had violated the directive against charging for private instruction that was unsanctioned by the university. As additional rationales supporting his recommendation, the memorandum alleges that Dr. Harty had violated the institutional bylaw that “[e]very faculty member is expected to be committed to the mission and objectives of the university” and had engaged in conduct “not consistent with excellence in teaching.” It should be noted that the administration had not cited these last two grounds for dismissal in any prior communication to Dr. Harty or to the Association, including in Provost Gregson’s letter that served as the statement of formal charges, nor had the hearing committee listed them among its findings. The president’s recommendation also reiterated that, “regardless of any [board] action taken on this recommendation for ‘dismissal,’” the administration had “exercised its right” not to renew Dr. Harty’s appointment.

On October 23, following Dr. Harty’s appearance before the board of regents four days earlier, board chair Edward Grogan IV wrote to inform her that the board had “voted to accept the President’s recommendation” that she be “dismissed from employment under [the] 2018–19 Contingent Faculty Teaching Agreement.”

Based on the observer’s report, the committee’s findings, and the administration’s correspondence, the executive director reopened the previously suspended investigation and directed the staff to prepare this report on the case.

V. Issues

The following are the most salient issues presented by Dr. Harty’s case.

A. Procedural Issues

The administration’s action to suspend Dr. Harty from her teaching responsibilities through the end of her 2018–19 appointment constituted a dismissal under AAUP-supported procedural standards because of the concurrent action not to renew her appointment for the 2019–20 academic year. Under Regulation 5c(1) of the Association’s *Recommended Institutional Regulations on Academic Freedom and Tenure*, “A suspension that is intended to be final is a dismissal and will be treated as such.” The nonrenewal made the suspension final and therefore tantamount to dismissal.

The *Recommended Institutional Regulations* further provides that “termination of an appointment with continuous tenure, or of a probationary or other nontenured appointment before the end of the specified term, may be effected by the institution only for adequate cause,” as demonstrated in an adjudicative hearing before an elected faculty body, with the burden of proof resting with the administration. Even though the administration furnished a written statement of charges, its failure to assume the responsibility of demonstrating adequacy of cause and the consequent failure of the hearing committee to reach a judgment on that issue rendered the hearing pointless.

President Belton betrayed the bad faith in which the administration had agreed to hold the hearing when he placed the word *dismissal* in scare quotes in his correspondence with Dr. Harty and the board, indicating that the administration did not actually regard the action taken against her as a dismissal. Moreover, the administration’s statements that the university would not renew Dr. Harty’s appointment

regardless of the final disposition of her case simply underscored the summary nature of the action taken against her.

In the absence of a hearing in which the administration demonstrated adequacy of cause, the termination of Dr. Harty's appointment was effected by a summary dismissal, in violation of Association-supported procedural standards.

B. The Stated Grounds for Dr. Harty's Summary Dismissal

The stated reason for the administration's actions against Dr. Harty was that she had violated her department chair's directive against providing paid independent instruction to Pacific Lutheran University students. The hearing committee concluded that she did violate the directive. The committee also concluded that the decision not to renew her appointment was within the administration's discretion under the faculty handbook.⁵

Since the hearing committee did not render a judgment as to whether the stated charges warranted Dr. Harty's dismissal, this report will compare them with commonly used grounds for dismissal such as "incompetence," "gross misconduct," "gross neglect," and the like. For this purpose, it is appropriate to consider the circumstances of Dr. Harty's conduct. First, she had agreed to provide the private instruction before her chair had issued the directive. Second, her stated belief was that, contrary to the administration's assertion that Professor Galante's directive represented a long-standing expectation, other music faculty members had in the past provided private paid lessons without university approval.⁶ Third, the directive itself

appeared to have been framed to apply to circumstances other than those in which Dr. Harty agreed to provide the lessons. Fourth, she returned the payment to the student's mother.

Considered within this context, Dr. Harty's violation of the directive would appear to most disinterested observers to fall far short of gross misconduct. Furthermore, while the possibility cannot be ruled out that a faculty body might have concluded that Dr. Harty's misconduct was so grave as to warrant dismissal, the faculty body ostensibly constituted for that purpose did not reach that conclusion. Neither does this report.

C. Academic Freedom

This report has concluded that the administration failed to provide Dr. Harty with an appropriate dismissal hearing and, moreover, that Dr. Harty's conduct did not warrant the severe sanction of dismissal. These findings naturally lead to the question whether Dr. Harty's dismissal was based on considerations other than those cited by the administration. This report has alluded to Dr. Harty's long-standing conflicts with the administration and her department, as indicated by her EEOC complaints, and her activism on behalf of the union campaign and of contingent faculty members more generally. The manner in which the administration sought to dismiss her, the relatively minor nature of the misconduct in which she was alleged to have engaged, and the absence of any other evident basis for the action taken against her lend credibility to the notion that the administration's action to dismiss her was based on considerations that violated her academic freedom.

The Association has long held that speech "on any matter of institutional policy or action" is protected under principles of academic freedom. Such speech certainly includes speaking out on behalf of one's colleagues or pursuing grievances related to potential instances of discrimination.

VI. Conclusions

1. The Pacific Lutheran University administration acted in violation of the 1940 *Statement of Principles on Academic Freedom and Tenure*

5. Although the hearing committee did not address this matter explicitly, it is reasonable to conclude that the committee regarded Dr. Harty's misconduct as sufficient to warrant her nonreappointment. It is important to note, however, that such a finding is not dispositive of the question of adequacy of cause for dismissal, as previous investigations have observed. The Association has recognized that misconduct that does not rise to the level of adequate cause for dismissal may nevertheless be grounds for nonrenewal of an appointment. See "Academic Freedom and Tenure: Northwestern University," *Academe*, May–June 1988, 55–70, and "Academic Freedom and Tenure: University of Southern California," *Academe*, November–December 1995, 40–51.

6. The university's November 22 response to the draft text of this report states that the testimony of a witness called by Dr. Harty contradicted Dr. Harty's claim that this practice was "common." The witness was a part-time faculty member who indicated that she had not provided such lessons for "many years." While this report cannot

reach a definitive conclusion on whether the practice remains common, it can note that expecting a part-time faculty member to testify at a dismissal hearing that she herself had recently engaged in an activity that is the stated ground for dismissing her colleague does present certain challenges.

and derivative Association-supported procedural standards when it summarily dismissed Dr. Jane Harty after forty years of service.

2. The Pacific Lutheran University administration acted in bad faith when it agreed to conduct a dismissal hearing in Dr. Harty's case. By declining to demonstrate adequate case for dismissal, the administration reduced the dismissal hearing to a sham exercise.
3. With respect to academic freedom, the nature of the misconduct in which Dr. Harty engaged and the summary nature of the administrative action lead to the inference that the real reasons for her dismissal may have stemmed from long-standing displeasure with Dr. Harty's activities in defending her rights and the rights of others.⁷ ■

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Committee A on Academic Freedom and Tenure has by vote authorized publication of this report on the AAUP website and in the *Bulletin of the American Association of University Professors*.

Chair: **HENRY REICHMAN** (History), California State University, East Bay

Members: **JEFFREY A. HALPERN** (Sociology), Rider University; **EMILY M. S. HOUH** (Law), University of Cincinnati; **IBRAM X. KENDI** (History and International Relations), American University; **MICHAEL E. MANN** (Meteorology), Pennsylvania State University; **MICHAEL MERANZE** (History), University of California, Los Angeles;

7. In an eight-page letter of November 22 responding to the draft text of this report, the university's counsel wrote that the university "strongly disagrees with the draft report, including [its] factual assertions and conclusions." The letter enumerated some of the administration's specific objections under the following headings:

1. The [administration's stated] reasons for [Dr. Harty's] employment separation have never changed.
2. PLU and AAUP have disagreed over the process required for employment decisions involving contingent faculty members.
3. Dr. Harty received all process required under the PLU Faculty Handbook even for a tenure line faculty member.
4. The draft report attempts to substitute its author's judgment for that of the Board of Regents.
5. There is no evidence of retaliation.
6. The draft report grossly mis-states the record.

In preparing the final text of this report, the staff took into full account the specific comments in the administration's letter.

In Defense of Knowledge and Higher Education

(JANUARY 2020)

The following statement, prepared by a subcommittee of the Association's Committee A on Academic Freedom and Tenure, was approved by Committee A in October 2019 and adopted by the AAUP's Council in November 2019.

“Knowledge,” as Francis Bacon observed in 1597 at the dawn of the modern era, “is power.” Without knowledge no nation can govern its economy, manage its environment, sustain its public health, produce goods or services, understand its own history, or enable its citizens to understand the circumstances in which they live.

Knowledge is produced by the hard work of disciplined, well-trained investigators. Industry and government must hire doctors, chemists, lawyers, architects, teachers, journalists, economists, and engineers. Colleges and universities are the only institutions qualified to provide this expert training. It is therefore most unfortunate that at this moment of intense global instability, there is an ongoing movement to attack the disciplines and institutions that produce and transmit the knowledge that sustains American democracy.

This is not the first time that the very idea of expert knowledge has been under assault. Indeed, US secretary of education Betsy DeVos unironically recycles Pink Floyd—who in the 1970s sang, “We don’t need no education . . . teachers leave those kids alone”—when she warns college students that “the fight against the education establishment extends to you too. The faculty, from adjunct professors to deans, tell you what to do, what to say, and more ominously, what to think.”¹ When college students are

encouraged to confuse education with, as one student recently put it, being “intimidated by the academic elite in the classroom,” we have a crisis.²

Is it intimidation to teach eighteen-year-olds to solve differential equations? Is it intimidation to teach them the principles of quantum mechanics? Is it intimidation to teach them the somatic effects of nicotine? Is it intimidation to teach them about the history of slavery and Jim Crow, or the history of the Holocaust? Is it intimidation to teach them how to read closely the texts of Toni Morrison or Gabriel García-Márquez? Is it elitism to predict the path of a hurricane? Is it elitism to track the epidemic of opioid addiction? Or to study the impact of tariffs on the economy?

We do not think so. This is research and education, not intimidation or elitism. Coiled beneath the comments of Secretary DeVos lies the assumption that all knowledge is just opinion and that each person has an equal right to her own opinion. Stephen Colbert put it nicely, referring to what he called “truthiness”: “It used to be everyone was entitled to their own opinions, but not their own facts. But that’s not the case anymore. Facts matter not at all.”³ Now some would urge us to inhabit a universe of “alternative facts.”

1. Betsy DeVos, “Prepared Remarks at 2017 Conservative Political Action Conference,” February 23, 2017, US Department of Education, transcript, <https://www.ed.gov/news/speeches/us-secretary-education>

-betsy-devos'-prepared-remarks-2017-conservative-political-action-conference.

2. John K. Wilson, “The Tennessee Legislature’s Attack on Free Speech,” *Academe Blog*, February 12, 2017, <https://academeblog.org/2017/02/12/the-tennessee-legislatures-attack>.

3. Stephen Colbert, interview by the A.V. Club, *A.V. Club*, January 25, 2006, <https://www.avclub.com/stephen-colbert-1798208958>.

But, as John Adams long ago observed, “Facts are stubborn things; and whatever may be our wishes, our inclinations, or the dictates of our passion, they cannot alter the state of facts and evidence.”⁴ If we ignore facts, we will forever be running aground on their unseen shoals. It is especially worrisome, then, to witness what has become an organized attack on knowledge.

The AAUP has recently reported on the assault on science and technology, as has the Union of Concerned Scientists. Both organizations document what one journalist has called “an all-out war on science.”⁵ The war has taken many forms: shutting out scientific expertise from decision-making, “suppressing scientific studies when their findings undercut the administration’s political agenda,” and politicizing the research grant-making process by subordinating it to political appointees.⁶

No state can organize effective government policy except on the basis of informed, dispassionate investigation. What kind of government policy can we make when the Department of Agriculture refuses to release studies into the effects of climate change on rice production, allergenic grasses, and cattle feeding, merely because such studies contradict the fantasy that climate change is not occurring?⁷ Or when the Department of Justice suppresses its own data collection on white supremacist domestic terrorism? Or when the Centers for Disease Control and Prevention are prohibited from funding research on gun violence? Or when a gag order is imposed on doctors under Title X

regulations prohibiting discussion of abortion or contraception? We cannot eat ideological belief; wishful thinking will not keep us safe.

How can we better prepare for future storms when an independent university study of the impact of Hurricane Irma is dismissed on political grounds? How can we develop a credible foreign policy, ensure effective diplomacy, and prepare our military when area studies and foreign language programs are curtailed, eliminated, or made subject to political intrusion? Slogans and superstition are no match for the growing complexity and interconnectedness of today’s world.

It is not only research that is affected; teaching is as well. Teaching is, after all, the transmission of knowledge and a means of its production. A narrowing focus on vocational training, combined with attacks on the liberal arts and general education, closes off access to the varieties of knowledge and innovative thinking needed to participate meaningfully in our democracy. As one journalist wrote, “Stripping higher education, especially public higher education, of anything but pragmatic, technical, or transactional courses completely undermines the mission of a college or university.”⁸ Or, as the AAUP and the Association of American Colleges and Universities stated in 2018, “Institutions of higher education, if they are truly to serve as institutions of higher education, should provide more than narrow vocational training and should seek to enhance students’ capacities for lifelong learning.”⁹

What Do We Mean by Knowledge?

There are, of course, endless philosophical debates about the meaning of “knowledge.” For our purposes, however, we need define it only as those understandings of the world upon which we rely because they are produced by the best methods at our disposal. The expert knowledge to which we refer is not produced merely by immediate sense impressions. One cannot know the half-life of plutonium-238 merely by starting at a lump of rock. One cannot know the effect of sugar on the body merely by eating candy. One cannot

4. John Adams, “Argument for the Defense: 3–4 December 1770,” *Founders Online*, National Archives, <https://founders.archives.gov/documents/Adams/05-03-02-0001-0004-0016>.

5. Nick Paumgarten, “The Message of Measles,” *New Yorker*, September 2, 2019, <https://www.newyorker.com/magazine/2019/09/02/the-message-of-measles>. See also *National Security, the Assault on Science, and Academic Freedom*, in *Bulletin of the American Association of University Professors* (special issue of *Academe*), July–August 2018, 25–37, and Jacob Carter et al., *The State of Science in the Trump Era: Damage Done, Lessons Learned, and a Path to Progress* (Union of Concerned Scientists, 2019), <https://www.ucsusa.org/center-science-and-democracy/state-of-science-trump-era>.

6. Carter et al., *The State of Science*.

7. Helena Bottemiller Evich, “Agriculture Department Buries Studies Showing Dangers of Climate Change,” *Politico*, June 23, 2019, <https://www.politico.com/story/2019/06/23/agriculture-department-climate-change-1376413>.

8. Willard Dix, “The ‘Wisconsin Idea’ Is More Important Than Ever in Higher Education,” *Forbes*, March 19, 2018, <https://www.forbes.com/sites/willarddix/2018/03/19/the-wisconsin-idea-is-more-important-than-ever-in-higher-education/>.

9. AAUP, “Joint Statement with AAC&U on the Liberal Arts,” May 31, 2018, <https://www.aaup.org/news/joint-statement-aacu-liberal-arts>.

know whether the climate is changing merely by bringing snowballs into the well of the Capitol.¹⁰

To know any of these things, one must use the disciplinary methods of chemistry or medicine or atmospheric science. These disciplines cumulatively produce understandings that are continuously tested and revised by communities of trained scholars. Expert knowledge is a process of constant exploration, revision, and adjudication. Expert knowledge, and the procedures by which it is produced, are subject to endless reexamination and reevaluation. It is this process of self-questioning that justifies society's reliance on expert knowledge. Such knowledge may in the end prove accurate or inaccurate, but it is the best we can do at any given time. That is why we are largely justified in relying on it.

Expert knowledge is not produced in a "marketplace of ideas" in which all opinions are equally valid. The dialogue that produces expert knowledge occurs among those who are qualified by virtue of their training, education, and disciplinary practice. To know why vaping presents a harm to public health, we need to know the difference between a type I and type II error in statistics; to know whether Caliban is Shakespeare's comment on colonization in the Americas, we need to know both the facts of Elizabethan expansion and the history of Elizabethan theater; to begin to understand conflicts in the Middle East, we need to know about the collapse of the Ottoman Empire. The debate is open and fierce, but mere opinion has no place at the table. That is why we need experts.

Knowledge comes in different forms. Scientific knowledge is pragmatic; it "can be tested against the sharp and bounded imperatives of prediction and control."¹¹ In contrast, the social sciences and humanities, as John Dewey described them, address and sometimes challenge "the habits and modes of life to which people have accustomed themselves and with which the worth of life is bound up."¹² They offer interpretive, evidence-based readings of social structures, of cultural patterns of differentiation, of the construction

of art and literature. For that reason "what counts as knowledge" may be "far more controversial" in these areas of inquiry, but its advancement is no less dependent on expertise.¹³

In the end, it is for society to judge whether the knowledge produced by these practices is worth having. Knowledge, including knowledge of the past, exists to serve the needs of the living. As more groups gain access to higher education, they bring new demands for the expansion of expert knowledge. The pursuit of knowledge is enriched by these new challenges. American intellectual history began to look different when it finally included Frederick Douglass and Fred Korematsu. It continues to look different now that it includes Pauli Murray and Sandra Cisneros.

Academic Freedom and Free Speech

Academic freedom, the lifeblood of American higher education, protects the independence of faculty members in their pursuit of expert knowledge and in their transmission of this knowledge to students. The founders of the AAUP cited approvingly the words of a university president who insisted on the importance of critical thinking for faculty members and students alike: "It is better for students to think about heresies," he wrote, "than not to think at all; better for them to climb new trails and stumble over error if need be, than to ride forever in upholstered ease on the over-crowded highway."¹⁴

A line of attack on higher education has proceeded under the seemingly impeccable banner of freedom of speech. There has been an explicit political campaign attacking universities as enemies of freedom of speech. Since all are equally entitled to freedom of speech, scholarly standards and criteria are attacked as mere intimidation and unjustifiable censorship.

This attack rests on a fundamental misunderstanding. Freedom of speech is a political and civil liberty. We have freedom of speech, as the Supreme Court has said, so that "government may be responsive to the will of the people and that changes may be obtained by lawful means."¹⁵ In our democracy, every person, regardless of competence or qualification, is entitled to have an opinion because democracy requires political

10. Philip Bump, "Jim Inhofe's Snowball Has Disproven Climate Change Once and For All," *Washington Post*, February 26, 2015, <https://www.washingtonpost.com/news/the-fix/wp/2015/02/26/jim-inhofes-snowball-has-disproven-climate-change-once-and-for-all/>.

11. Robert Post, "Debating Disciplinarity," *Critical Inquiry* 35, no. 4 (Summer 2009): 6.

12. John Dewey, "Academic Freedom," in *John Dewey, The Middle Works: 1899–1924*, ed. Jo Ann Boydston (Carbondale: Southern Illinois University Press, 1976), 2:58.

13. Post, "Debating Disciplinarity," 6.

14. 1915 *Declaration of Principles on Academic Freedom and Academic Tenure*, in AAUP, *Policy Documents and Reports*, 11th ed. (Baltimore: Johns Hopkins University Press, 2015), 10.

15. *Near v. State of Minnesota Ex Rel. Olson*, 283 U.S. 697 (1931).

equality. Freedom of speech is therefore a precious right possessed by each individual, including members of colleges and universities. Together, through the exercise of freedom of speech, we forge a common political will.

The production of expert knowledge, by contrast, is not about the formation of political will. The first premise of scientific procedure, Thomas Kuhn famously observed, is that we do not submit questions of scientific knowledge to a vote. That is because knowledge is not about our political preferences; it is about the nature of the world. Expert knowledge is therefore not produced by simple freedom of speech. A major symptom of our contemporary crisis is that some nevertheless seek to subordinate expert knowledge to public opinion.

Academic freedom rests on a paradox. There must be freedom of inquiry, but that freedom must always be subject to peer judgment and evaluation. “Free inquiry in academia” is thus “predicated on voluntarily assumed forms of unfreedom that are unique to the academy.”¹⁶ So proclaimed the AAUP and the Association of American Colleges in 1940, in a statement now endorsed by more than 250 educational organizations: “Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole.”¹⁷ Academic freedom seeks to insulate research and teaching from political pressure.

The Undermining of Colleges and Universities since the 1970s

Knowledge is a public good. Because it serves the common good, it should be available for use by all. For that reason, America in the years after World War II believed that colleges and universities deserved increased public investment.¹⁸ From the very start, however, that commitment was not always equal. In the 1970s, the commitment to producing knowledge as a public good began to wane.

Just as the civil rights movement started to open the doors of higher education to historically excluded populations, federal and state support of public universities declined.¹⁹ With less public financial support, colleges and universities were forced to increase their reliance on student tuition, which in turn increased student debt. “Public higher education has undergone a financial and conceptual shift,” writes journalist Scott Carlson. “Once an investment covered mostly by the state to produce a workforce and an informed citizenry, today it is more commonly shouldered by individuals and families and described as a private benefit, a means to a credential and a job.” He further notes, “As the student population has diversified, the language that many people use to define the value of a college degree has shifted, from a public good to an individual one. Is that merely a coincidence?”²⁰

Cuts in funding have weakened colleges and universities in other ways. They have led to greater reliance on private support, which has augmented the role of wealthy donors, who may seek to restrict or direct scholarship in service of ideology or interest. They have encouraged the substitution of cheaper and more precarious contingent positions for faculty appointments with tenure. They have widened the gap between richer and poorer institutions. They have facilitated the rise of corporate management styles by administrators and trustees, with the consequent diminution of faculty participation in university governance. They have stimulated a consumerist conception of education, in which colleges

16. Adam Sitze, “Academic Unfreedom, Unacademic Freedom,” *Massachusetts Review* 58, no. 4 (2017): 598.

17. 1940 *Statement of Principles on Academic Freedom and Tenure*, in AAUP, *Policy Documents and Reports*, 11th ed. (Baltimore: Johns Hopkins University Press, 2015), 14.

18. For data on spending on higher education between 1949 and 1990, see Marvin Lazerson, “The Disappointments of Success: Higher Education after World War II,” *Annals of the American Academy of Political and Social Science* 559 (1998): 64–76.

19. Since the 1970s the federal share of all basic research support, mainly directed to universities, has fallen steadily, dropping from some 70 percent of all funding to just 44 percent in 2015. Between 2003 and 2013 state support for public research universities declined by 28 percent on a per-student basis. In 2017, only five states spent more per student than in 2008, with the average state spending 16 percent less. Between 2013 and 2016 some six hundred foreign language programs were eliminated. Ronald Brownstein writes that “[t]he latest annual survey of state spending by the State Higher Education Executive Officers found that, since 1992, spending per student—measured in inflation-adjusted dollars—has declined at public colleges and universities by about 8 percent (even after a recovery in spending after states’ low point in 2012). In turn, per-student tuition revenue has increased by 96 percent.” Ronald Brownstein, “American Higher Education Hits a Dangerous Milestone,” *Atlantic*, May 3, 2018, <https://www.theatlantic.com/politics/archive/2018/05/american-higher-education-hits-a-dangerous-milestone/559457/>.

20. Scott Carlson, “When College Was a Public Good,” *Chronicle of Higher Education*, November 27, 2016, <https://www.chronicle.com/article/When-College-Was-a-Public-Good/238501>.

and universities submit to the preferences of student demand and interest. They have spawned an “assessment movement” to measure the impact of research and teaching in entirely “objective,” quantitative terms. They have produced “partnerships” with industry in which sponsoring corporations receive privileged access to and control of the direction of faculty research and teaching.

Undoubtedly, these developments have weakened American colleges and universities. The faith that American higher education produces expert knowledge that benefits the entire society has diminished. Indeed, the unequal and unfair distribution of educational opportunity may well have played a significant role in making expertise appear more like a privilege of the wealthy and an expression of their interests than a disinterested contribution to the public good.

But facts are facts. We need the knowledge, the technology, the art, and the culture that in a modern society are so deeply dependent on our colleges and universities. We also need a more equal and accessible system of education.

First Principles

Against these developments, we seek to recall first principles. Colleges and universities are disciplinary, not political, institutions. They exist to serve the common good in the production and distribution of expert knowledge, as well as in the pedagogical inculcation of a mature independence of mind. Research and teaching are sites of critical thinking.

Colleges and universities deserve public support to the extent that American society requires expert knowledge. Expert knowledge has fueled American progress. It has checked ideological fantasies and partisan distortions. It has provided a common ground on which those with competing political visions can come together constructively to address common problems. Without expert knowledge, we lose our ability to know the past, to shape the future, and to acknowledge the differences and similarities we share as human beings.

A modern society that turns its back on knowledge and trusts instead to wishful thinking is fated for a serious crisis. Stalin destroyed Soviet biology for a generation when he insisted that it deny the relevance of genetics because his version of Communist ideology demanded that causal explanations depend upon environmental factors. Dictators always seek to rewrite history and to control science. Democracy requires facts and accessible knowledge.

Opinions are cheap. Everyone has (and is entitled to have) an opinion. But patient disciplinary work is required to understand, compile, and convey the knowledge necessary for educated action. The mission of colleges and universities is to produce and to disseminate this knowledge, which is not a mere commodity to be defined and purchased at the whim of consumers. Higher education serves the common good, not the interests of a few.

In 1915 the founders of the AAUP characterized the university as “an inviolable refuge” from the “tyranny of public opinion,” as “an intellectual experiment station, where new ideas may germinate,” but also as “the conservator of all genuine elements of value in the past thought and life of mankind which are not in the fashion of the moment.” On that basis they asserted “not the absolute freedom of utterance of the individual scholar, but the absolute freedom of thought, of inquiry, of discussion and of teaching, of the academic profession.”²¹ They pledged, as do we, to safeguard freedom of inquiry and of teaching against both covert and overt attacks and to guarantee the long-established practices and principles that define the production of knowledge.

It is up to those who value knowledge to take a stand in the face of those who would assault it, to convey to a broad public the dangers that await us—as individuals and as a society—should that pledge be abandoned. ■

21. 1915 *Declaration of Principles*, in AAUP, *Policy Documents and Reports*, 8–9, 11.

Association Procedures in Academic Freedom and Tenure Cases

(OCTOBER 2019)

The following procedures were initially approved by Committee A on Academic Freedom and Tenure in August 1957. Subsequent revisions were approved by Committee A in June 1982, November 1999, June 2000, and October 2019.

1. The executive director¹ is authorized to receive, on behalf of Committee A, complaints from faculty members at duly accredited colleges and universities about departures from the Association's recommended standards concerned with academic freedom and tenure and related principles and procedures which are alleged to have occurred or to be threatened at their institutions. Incidents coming to the executive director's attention through other channels may also be subject to examination, if in the executive director's judgment the incidents in question are likely to be of concern to the Association. In cases where attention by the Association seems justified, the executive director shall make a preliminary inquiry and, where appropriate, communicate with the administration of the institution concerned in order to secure factual information and comments.
2. The executive director should attempt to assist the complainant(s) and the institution in arriving at a satisfactory resolution of the situation, if that appears to be possible.
3. If there is substantial reason to believe that a serious departure from applicable Association supported standards has occurred, and if a satisfactory resolution of the situation does not appear to be possible, the executive director shall determine, upon the advice of the staff's committee on investigations and of others as appropriate, whether an ad hoc committee should be established to investigate and prepare a written report on the situation. In an exceptional case in which a violation of the 1940 *Statement of Principles on Academic Freedom and Tenure* or related Association standards is clearly established by incontrovertible written evidence, the executive director may authorize the preparation of a report without an onsite investigation.
4. If a decision is made to establish an investigating committee, the executive director shall designate a committee of two, three, or occasionally a larger number of members of the Association, depending on the importance and complexity of the case. One of the members ordinarily shall be designated as chair. In selecting the members, the executive director shall take account of such relevant factors as their experience and expertise in academic freedom and tenure issues, their subject matter fields in relation to those of the faculty member(s) involved in the incident(s), and the relation of

1. As used in this statement, the "executive director" may be another member of the Association's professional staff to whom the executive director has assigned responsibility.

- their home institutions to the institution where the investigation will occur.
5. The executive director shall provide the committee with an advisory briefing on the procedures it will be expected to follow, on the existing information about the situation to be reported upon, and on the issues that appear to call for analysis, accompanied by available documentary evidence relevant to the investigation. The task of the investigating committee is to ascertain the facts involved in the incident(s) under investigation and the positions of the principal parties. The committee will determine whether the 1940 *Statement of Principles on Academic Freedom and Tenure* and/or related standards as interpreted by the Association have been violated, whether the institution's own stated policies have been disregarded, and whether conditions for academic freedom and tenure, as well as related conditions, are generally unsatisfactory. The executive director shall assist the committee so far as possible in making arrangements for its work and in providing it with clerical and editorial services.
 6. The investigating committee shall, at Association expense, visit the institution where the incident(s) under investigation occurred, for the purpose of securing information and interviewing the parties concerned and others who may possess relevant information or views.
 7. The investigating committee should inquire fully into the violation(s) of AAUP standards alleged to have occurred, into conditions of academic freedom and tenure in the institution that form the background of the particular case(s) or that may have given rise to related incidents, and into relevant subsequent developments. The investigating committee may seek to secure such facts and viewpoints as it may deem necessary for the investigation, through onsite interviews, written documents, or correspondence or interviews both before and after the campus visit. In communications with the principal parties and on its visit to the institution, the investigating committee should make clear that it acts not in partisanship, but as a professional body charged with ascertaining the facts and respective positions as objectively as possible and as related to applicable Association-supported standards.
 8. In an institution where a local chapter of the Association exists, the executive director should consult with the chapter officers when an investigation is being considered, when one is authorized, and when the visit of the investigating committee is being arranged. Either the executive director or the committee may seek the assistance of these officers in making local arrangements. The appropriate officer of the state conference shall also be consulted.
 9. The investigating committee should not accept hospitality or any form of special treatment from the administration, from a faculty member whose case is being investigated, or from anyone else who has had a direct involvement in the case. The AAUP chapter should be alerted to the need to avoid situations, such as social events, which might compromise the integrity of the investigation. If the administration provides a room or other facilities for the committee's interviews, the committee may accept the arrangements if this will serve the convenience of the investigation.
 10. The investigating committee may interview any persons who might be able to provide information about the matter(s) under investigation, and it must afford the subject faculty member(s) and the chief administrative officers the opportunity to meet with the committee. The committee should set up personal interviews with individuals who have firsthand information, whether members of the faculty, members of the governing board, or officers of the administration. The committee should also seek meetings with officers of faculty bodies and of the AAUP chapter. Such persons should ordinarily be interviewed separately from each other, but exceptions may be made upon the wishes of those interviewed and at the discretion of the committee. In order for the Association's investigative and mediative processes to be most effective, faculty members, board members, and administrators alike need to be able to communicate freely with the investigating committee. Accordingly, the committee should encourage candor from all interviewees by protecting their confidentiality to the fullest extent possible consistent with the committee's need to prepare its report to Committee A. Information gathered in the course of an investigation should be kept confidential to the maximum extent permitted by law.
 11. The function of the investigating committee is to prepare a report for submission to Committee A. The members of the investigating committee

should not express opinions on the matter(s) under investigation, either confidentially to the parties concerned or publicly. If questions about a potential resolution of the situation under investigation should arise, the committee should refer the matter promptly to the executive director.

12. The investigating committee should determine its plan for the writing of its report. The report should include a sufficiently full statement of the evidence to enable the reader to understand the situation and judge the adequacy of the information in support of the committee's findings and conclusions. The report should state definite conclusions, either on the issues suggested to the committee by the executive director or on its own alternative formulation of the issues involved. The committee should determine whether the administration's actions that were investigated were in procedural and substantive compliance with principles and standards supported by the Association. The committee may set forth recommendations for or against publication of its report and for or against Association censure of the administration concerned, but the decision on these matters will rest with Committee A and, as to censure, with the Council of the Association. Hence, any recommendation as to censure will not be published as part of the report. The report should be transmitted in confidence to the executive director.
13. As soon as possible after receiving the report of the investigating committee, the executive director shall review it and communicate with the committee regarding any suggestions for revision. The committee's completed draft shall be transmitted to the members of Committee A, who may call for further revisions prior to the report's release to the principal parties and its potential publication. With Committee A's approval, the revised text shall then be transmitted on a confidential basis to the persons most significantly involved in the report, and to the local chapter president, with the request that they provide corrections of any errors of fact that may appear in it and make such comments as they may desire on the findings and conclusions reached. The appropriate state conference officer shall be provided with the prepublication report on a confidential basis and be invited to offer comments. The executive director shall invite the investigating committee to revise its report in the

light of comments received. If significant revisions are to be made, the executive director shall seek Committee A's approval. The final text shall be published through its posting on the Association's website and subsequently in printed form in the annual *Bulletin of the American Association of University Professors*. The members of the investigating committee shall be listed as the authors of the published report unless they withhold their names because of disagreement with changes required by Committee A or as a result of comments from the principal parties.

14. At any time during the process described above, the Association remains open to the possibility of a resolution agreeable to all parties that will serve to confirm the administration's acceptance of Association-supported policies and procedures and provide corrective measures for the events that gave rise to the investigation. ■

Standards for Investigations in the Area of College and University Governance

(JULY 2019)

In 1991, the Association's Council adopted a proposal from the Committee on College and University Governance that makes it possible for the Association to sanction an institution for "substantial non-compliance with standards of academic government." The following procedures set out the steps along the path that could lead from an expression of faculty concern at an institution to the imposition of an Association sanction. They were initially approved by the Committee on College and University Governance in May 1994 and were revised by the committee in November 2010 and July 2019.

1. The executive director¹ is authorized to receive, on behalf of the Committee on College and University Governance, complaints of departures from the Association's recommended standards relating to academic governance at a particular college or university.
2. Such complaints should include a description of the situation and specific information on the past or contemplated use of local remedies. They should be accompanied by supporting documentation.
3. The executive director shall, in each instance where attention by the Association seems justified, make a preliminary inquiry and, where appropriate, communicate with the administration and involved faculty bodies at the institution to secure information and comments.
4. When feasible, the executive director shall attempt, by correspondence and discussion, to assist the parties in arriving at a resolution compatible with AAUP principles and standards. When significant departures from those principles and standards appear evident, the executive director shall write to the parties to convey the Association's concerns and invite a response to them.
5. If there is substantial reason to believe that a serious departure from applicable Association-supported standards has occurred, and if a satisfactory resolution of the situation does not appear to be possible, the executive director shall determine, upon the advice of the staff's committee on investigations, the chair of the Committee on College and University Governance, and others as appropriate, whether an ad hoc committee should be established to investigate and produce a written report.
6. In determining whether to proceed to investigation and report on situations related to college or university governance, the Association looks to the condition of faculty status and of faculty-administrative relations. The Association will investigate when it appears that corporate or individual functions of the faculty, as defined in the *Statement on Government of Colleges and Universities*, have been seriously threatened or

1. As used in this statement, the "executive director" may be another member of the Association's professional staff to whom the executive director has assigned responsibility.

impaired. Administrative actions such as the abolition of an existing faculty senate, the thorough restructuring of an institution, or the imposition of a faculty handbook, which occur without meaningful faculty involvement, are examples of situations that might be the basis for the authorization of an investigation. In reaching a decision on whether or not to undertake an investigation, the executive director will consider the magnitude of the problem for the faculty involved, for the institution as a whole, and for the Association in its capacity as an organization representing faculty interests in higher education.

7. The Association will ordinarily investigate only after local means for correction—formal as well as informal—have been pursued without satisfactory result. This precondition may not apply where local remedies are inadequate or where recourse to them would worsen the situation or expose individual faculty members to harm.
8. If a decision is made to establish an investigating committee, the executive director shall appoint the members of the committee, designating one of them as chair. In selecting the members, the executive director shall consider such relevant factors as their experience and expertise in governance matters and the relation of their home institutions to the institution where the investigation will occur.
9. The task of the investigating committee is to determine the relevant facts and the positions of the principal parties and to reach findings on whether the standards enunciated in the *Statement on Government* and in derivative Association documents have been violated, and whether unacceptable conditions of academic governance prevail. The executive director shall provide the investigating committee with an advisory briefing on the procedures it will be expected to follow during a campus visit and on the facts, issues, and available documentary evidence relevant to the investigation. The executive director shall also assist the committee so far as possible in making arrangements for its work and in providing it with clerical and editorial support.
10. The investigating committee's report, to be submitted in confidence to the executive director, should include sufficient facts for the reader to understand the situation and judge the adequacy of the evidence in support of the committee's findings and conclusions. The committee should determine whether actions by the principal parties were reasonable under the circumstances and consistent with applicable Association-recommended procedural and substantive standards. The committee may offer advice to the Committee on College and University Governance as to whether the Association should impose a sanction on the institution concerned, but such advice is not to be included in either the draft report sent to the principal parties or the final published report. It is the responsibility of the Committee on Governance to determine whether a recommendation to impose a sanction should be presented to the Council of the Association.
11. As soon as possible after receiving the report of the investigating committee, the executive director shall review it and communicate any suggestions for revision to the investigating committee. When the report has been satisfactorily revised, the executive director shall send it to the members of the Committee on College and University Governance for comment and a decision concerning its publication. As a condition of approving publication, or by way of suggestion to the authors of the report, the members of the Committee on Governance may propose changes in the draft text. After further revision, the text shall then be transmitted confidentially to the persons most significantly affected by or implicated in the report, including the chief administrative officers of the institution, with the request that they provide corrections of any errors of fact that may appear in it and make such comments as they may desire upon the findings and conclusions reached. If their responses indicate a need for significant changes in the report, the text with the resulting revisions may be resubmitted to the Committee on College and University Governance. With that committee's concurrence, and after the investigating committee has been consulted as to final revisions, the report will be published through its posting on the Association's website and subsequently in printed form in the annual *Bulletin of the American Association of University Professors*. An advance copy of the published report shall be transmitted to the principal parties.
12. If the Committee on College and University Governance judges, based on the published report and any subsequent developments, that

the administration and/or governing board of the institution under investigation have seriously infringed standards of college and university governance endorsed by the Association, it may recommend to the next Council meeting that the institution be sanctioned for “substantial non-compliance with standards of academic government.” In reaching its decision, the Committee on Governance shall again invite comment from the investigating committee, though it is not bound to follow the investigating committee’s recommendation. If the Council concurs with the recommendation of the Committee on College and University Governance, notice of “non-compliance” will be published regularly in *Academe*, for the purpose of informing Association members, the profession at large, and the public that unsatisfactory conditions of academic governance exist at the institution in question.

13. After a notice of sanction has been published by the Association, the executive director, acting on behalf of the Committee on College and University Governance, will correspond periodically with the administration and appropriate faculty groups at the institution, seeking to ascertain whether stated policies and procedures have been brought into substantial conformity with standards of college and university governance endorsed by the Association, and whether evidence exists of meaningful faculty participation in academic governance. So long as a particular college or university remains under sanction, the Committee on College and University Governance will monitor and report on developments at the institution.
14. When evidence has been obtained that a sanctioned institution has achieved substantial compliance with Association-supported governance standards, the Committee on College and University Governance will review the information and determine whether to recommend to the Council of the Association that the sanction be removed. Notice of the recommendation and the action will be published in *Academe*. ■

The Annual Report on the Economic Status of the Profession, 2019–20

(MAY 2020)

With the COVID-19 pandemic currently raging through the country, higher education has entered grim and uncertain times. Although we naturally look to past economic crises for guidance on how colleges and universities and their faculties should respond, the current crisis is distinguished in its abruptness and severity as well as its particular impact on some sectors, including higher education. This year's Annual Report on the Economic Status of the Profession highlights some areas of concern—the “preexisting conditions”—for faculty as higher education enters a new economic era. Our findings provide a snapshot of faculty compensation for the 2019–20 academic year, when the country was on the brink of what may be the most serious economic crisis since the Great Depression.

The primary data source for this report is the 2019–20 Faculty Compensation Survey. For this survey, the AAUP collected data from 928 colleges and universities across the United States, including community colleges, small liberal arts colleges, and major research universities (see survey report table 17). Data collection began in December 2019 and concluded in February 2020, just as the first cases of COVID-19 were being reported in the United States. The survey covered almost 380,000 full-time and more than 96,000 part-time faculty members, as well as senior administrators at nearly 600 institutions. Data on part-time faculty members were collected for the prior academic year, 2018–19, to ensure that institutions could provide complete data.

Background and Historical Context

Last winter, the AAUP Research Office engaged in numerous informal discussions with Faculty Compensation Survey participants about what we should focus on in this year's annual report. Participants wanted to

know why and how we changed our full-time faculty benefits data collection. They wanted to see salary comparisons that account for relative differences in the cost of living between cities and states. And they wanted to know more about the prevalence of contingent faculty appointments, both part- and full-time. We have addressed these issues where possible in this report.

Our work was set in the same historical context as the last several years: a postrecession economy with stagnant wages for full-time faculty members, slow progress toward gender equity, and continued reliance on faculty members on contingent appointments, who are often compensated at scandalously low rates. In an era of falling state appropriations, rising tuition costs, and declining confidence in higher education across the country, how can we convey the urgency of these matters to governing boards and other policy makers?

The COVID-19 pandemic changed our plans, and our attention has turned to the likely economic impact of the crisis on the profession given the trends over the last several years. Since our data collection ended in February, colleges and universities have been forced to close their campuses and move instruction online for the foreseeable future at a time when many were already struggling to balance their budgets. They have taken blow after blow—huge endowment losses for private institutions, swift and deep cuts to state appropriations for public institutions, and enrollment declines—and many have responded by implementing cost-cutting measures such as hiring freezes, pay cuts, furloughs, and layoffs. The \$2 trillion Coronavirus Aid, Relief, and Economic Security Act may help the economy overall, but it does not include nearly as much funding—or guidance—for higher education as the 2009 American Recovery and Reinvestment

TABLE A

Average Percent Change in Salaries for All Faculty in Nominal and Real Terms for Institutions Reporting Comparable Data for Adjacent One-Year Periods, and Percent Change in the Consumer Price Index, 1971–72 to 2019–20

Interval	NOMINAL TERMS					REAL TERMS					Change in CPI-U
	Prof.	Assoc.	Asst.	Inst.	All Ranks	Prof.	Assoc.	Asst.	Inst.	All Ranks	
1971–72 to 1972–73	4.3	4.2	4.1	3.9	4.1	0.9	0.8	0.7	0.5	0.7	3.4
1972–73 to 1973–74	5.2	5.2	4.8	4.7	5.1	-3.2	-3.2	-3.6	-3.7	-3.3	8.7
1973–74 to 1974–75	5.8	5.9	5.7	5.8	5.8	-5.8	-5.7	-5.9	-5.8	-5.8	12.3
1974–75 to 1975–76	6.2	5.9	5.7	6.1	6.0	-0.7	-0.9	-1.1	-0.7	-0.8	6.9
1975–76 to 1976–77	4.7	4.7	4.7	4.7	4.7	-0.2	-0.2	-0.2	-0.2	-0.2	4.9
1976–77 to 1977–78	5.2	5.4	5.3	5.4	5.3	-1.4	-1.2	-1.3	-1.2	-1.3	6.7
1977–78 to 1978–79	5.6	5.8	5.9	6.0	5.8	-3.1	-2.9	-2.8	-2.7	-2.9	9.0
1978–79 to 1979–80	7.5	7.0	6.8	6.4	7.1	-5.1	-5.5	-5.7	-6.1	-5.4	13.3
1979–80 to 1980–81	8.8	8.5	8.8	8.6	8.7	-3.3	-3.6	-3.3	-3.5	-3.4	12.5
1980–81 to 1981–82	9.0	8.8	9.1	8.2	9.0	0.1	-0.1	0.2	-0.7	0.1	8.9
1981–82 to 1982–83	6.3	6.3	6.8	6.7	6.4	2.4	2.4	2.9	2.8	2.5	3.8
1982–83 to 1983–84	4.6	4.4	5.0	5.1	4.7	0.8	0.6	1.2	1.3	0.9	3.8
1983–84 to 1984–85	6.7	6.4	6.6	6.2	6.6	2.7	2.4	2.6	2.2	2.6	3.9
1984–85 to 1985–86	6.1	5.9	6.2	5.9	6.1	2.2	2.0	2.3	2.0	2.2	3.8
1985–86 to 1986–87	6.0	5.8	5.7	4.9	5.9	4.9	4.7	4.6	3.8	4.8	1.1
1986–87 to 1987–88	5.0	4.8	4.9	3.8	4.9	0.6	0.4	0.5	-0.6	0.5	4.4
1987–88 to 1988–89	5.8	6.7	6.0	5.3	5.8	1.4	2.3	1.6	0.9	1.4	4.4
1988–89 to 1989–90	6.3	6.3	6.3	5.4	6.1	1.7	1.7	1.7	0.8	1.5	4.6
1989–90 to 1990–91	5.5	5.3	5.5	5.0	5.4	-0.6	-0.8	-0.6	-1.1	-0.7	6.1
1990–91 to 1991–92	3.4	3.5	3.8	3.9	3.5	0.3	0.4	0.7	0.8	0.4	3.1
1991–92 to 1992–93	2.6	2.3	2.6	2.3	2.5	-0.3	-0.6	-0.3	-0.6	-0.4	2.9
1992–93 to 1993–94	3.0	3.1	3.0	3.2	3.0	0.3	0.4	0.3	0.5	0.3	2.7
1993–94 to 1994–95	3.4	3.4	3.2	3.5	3.4	0.7	0.7	0.5	0.8	0.7	2.7
1994–95 to 1995–96	3.1	2.9	2.7	2.6	2.9	0.6	0.4	0.2	0.1	0.4	2.5
1995–96 to 1996–97	2.9	3.0	2.4	3.2	3.0	-0.4	-0.3	-0.9	-0.1	-0.3	3.3
1996–97 to 1997–98	3.6	3.2	2.8	2.6	3.3	1.9	1.5	1.1	0.9	1.6	1.7
1997–98 to 1998–99	4.0	3.6	3.5	2.9	3.6	2.4	2.0	1.9	1.3	2.0	1.6
1998–99 to 1999–00	4.3	4.0	3.9	3.7	3.7	1.6	1.3	1.2	1.0	1.0	2.7
1999–00 to 2000–01	4.4	3.9	4.4	3.6	3.5	1.0	0.5	1.0	0.2	0.1	3.4
2000–01 to 2001–02	4.2	3.8	4.8	4.2	3.8	2.6	2.2	3.2	2.6	2.2	1.6
2001–02 to 2002–03	3.4	3.1	3.8	2.2	3.0	1.0	0.7	1.4	-0.2	0.6	2.4
2002–03 to 2003–04	2.4	2.0	2.3	2.0	2.1	0.5	0.1	0.4	0.1	0.2	1.9
2003–04 to 2004–05	3.4	3.0	3.2	2.7	2.8	0.1	-0.3	-0.1	-0.6	-0.5	3.3
2004–05 to 2005–06	3.7	3.3	3.3	3.2	3.1	0.3	-0.1	-0.1	-0.2	-0.3	3.4
2005–06 to 2006–07	4.2	3.9	4.1	3.9	3.8	1.7	1.4	1.6	1.4	1.3	2.5
2006–07 to 2007–08	4.3	4.1	4.1	3.9	3.8	0.2	-0.0	-0.0	-0.2	-0.3	4.1
2007–08 to 2008–09	3.8	3.6	3.6	3.3	3.4	3.7	3.5	3.5	3.2	3.3	0.1
2008–09 to 2009–10	1.0	0.8	1.1	1.4	1.2	-1.7	-1.9	-1.6	-1.3	-1.5	2.7
2009–10 to 2010–11	1.4	1.2	1.5	0.9	1.4	-0.1	-0.3	0.0	-0.6	-0.1	1.5
2010–11 to 2011–12	2.2	1.6	2.1	1.7	1.8	-0.8	-1.4	-0.9	-1.3	-1.2	3.0
2011–12 to 2012–13	2.1	1.7	2.1	2.0	1.7	0.4	-0.0	0.4	0.3	-0.0	1.7
2012–13 to 2013–14	2.4	2.1	2.3	2.0	2.2	0.9	0.6	0.8	0.5	0.7	1.5
2013–14 to 2014–15	2.6	2.4	2.6	2.4	2.2	1.8	1.6	1.8	1.6	1.4	0.8
2014–15 to 2015–16	3.7	3.5	4.0	n.d.	4.0	3.0	2.8	3.3	n.d.	3.3	0.7
2015–16 to 2016–17	2.4	2.6	2.9	2.7	2.5	0.3	0.5	0.8	0.6	0.4	2.1
2016–17 to 2017–18	3.0	2.5	2.8	3.6	2.8	0.9	0.4	0.7	1.5	0.7	2.1
2017–18 to 2018–19	2.2	2.2	2.1	1.9	2.0	0.3	0.3	0.2	0.0	0.1	1.9
2018–19 to 2019–20	2.9	2.4	2.8	-2.9	2.8	0.6	0.1	0.5	-5.2	0.5	2.3

Note: Consumer Price Index for all Urban Consumers (CPI-U) from the US Bureau of Labor Statistics; change calculated from December to December. Nominal salary is measured in current dollars. The percent increase in real terms is the percent increase in nominal terms adjusted for the percent change in the CPI-U. Figures for All Faculty represent changes in salary levels from a given year to the next. Figures for prior years have been recalculated using a consistent level of precision. N.d. = no data.

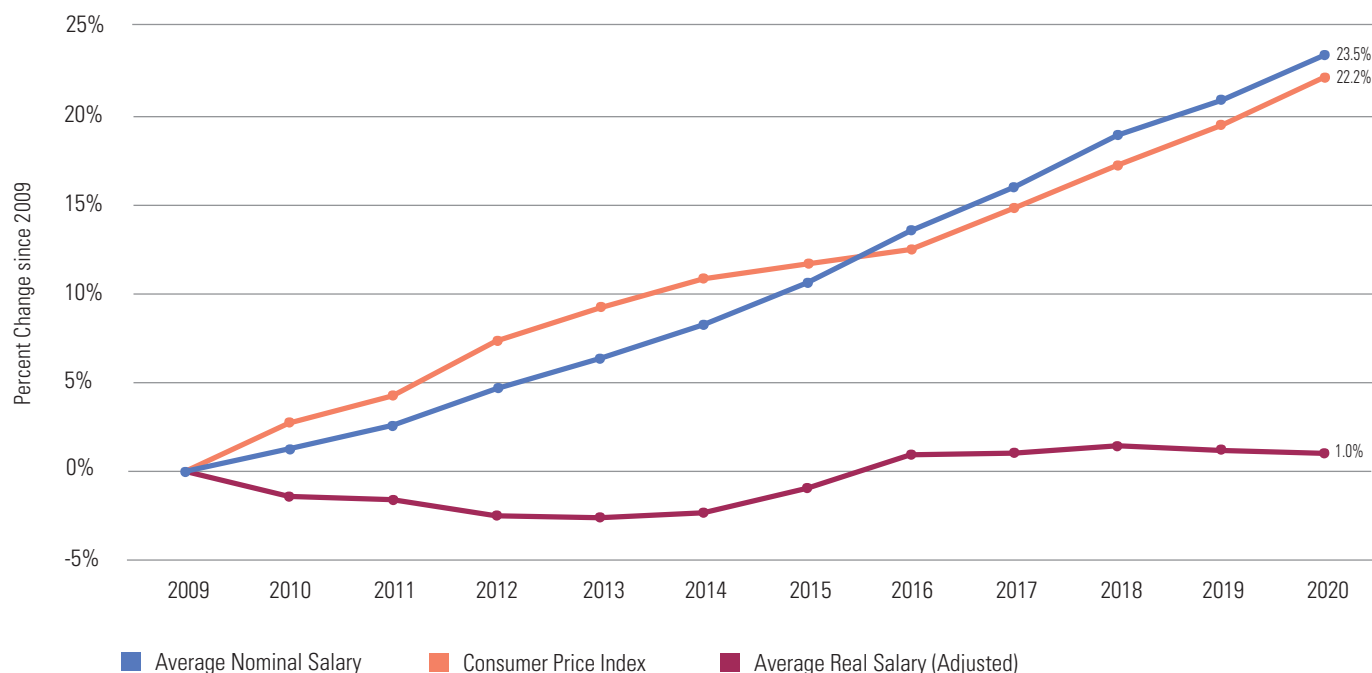
TABLE B

Average Percent Change in Salaries for Continuing Faculty in Nominal and Real Terms for Institutions Reporting Comparable Data for Adjacent One-Year Periods, and Percent Change in the Consumer Price Index, 1971–72 to 2019–20

Interval	NOMINAL TERMS					REAL TERMS					Change in CPI-U
	Prof.	Assoc.	Asst.	Inst.	All Ranks	Prof.	Assoc.	Asst.	Inst.	All Ranks	
1971–72 to 1972–73	4.7	5.7	5.9	6.3	5.5	1.3	2.2	2.4	2.8	2.0	3.4
1972–73 to 1973–74	5.4	6.3	6.5	7.0	6.1	-3.0	-2.2	-2.0	-1.6	-2.4	8.7
1973–74 to 1974–75	6.7	7.4	7.9	8.7	7.4	-5.0	-4.4	-3.9	-3.2	-4.4	12.3
1974–75 to 1975–76	7.1	7.7	8.0	8.5	7.6	0.2	0.8	1.0	1.5	0.7	6.9
1975–76 to 1976–77	6.2	6.8	7.2	7.4	6.7	1.2	1.8	2.2	2.4	1.7	4.9
1976–77 to 1977–78	5.9	6.0	5.9	5.9	5.9	-0.7	-0.6	-0.7	-0.7	-0.7	6.7
1977–78 to 1978–79	6.9	7.6	8.0	8.4	7.4	-1.9	-1.3	-0.9	-0.5	-1.5	9.0
1978–79 to 1979–80	7.8	8.2	8.7	8.9	8.1	-4.8	-4.5	-4.0	-3.8	-4.6	13.3
1979–80 to 1980–81	9.6	10.0	10.6	10.6	10.0	-2.6	-2.2	-1.7	-1.7	-2.2	12.5
1980–81 to 1981–82	9.4	10.0	10.7	10.6	9.9	0.4	1.0	1.6	1.5	0.9	8.9
1981–82 to 1982–83	7.5	7.8	8.5	8.3	7.9	3.5	3.8	4.5	4.3	3.9	3.8
1982–83 to 1983–84	5.4	5.7	6.3	5.9	5.7	1.6	1.8	2.4	2.0	1.8	3.8
1983–84 to 1984–85	6.7	7.2	7.8	7.9	7.1	2.7	3.2	3.8	3.8	3.1	3.9
1984–85 to 1985–86	7.0	7.4	7.9	7.6	7.3	3.1	3.5	4.0	3.7	3.4	3.8
1985–86 to 1986–87	6.3	6.7	7.0	6.5	6.6	5.2	5.6	5.9	5.4	5.5	1.1
1986–87 to 1987–88	6.1	6.6	7.1	6.9	6.5	1.7	2.2	2.7	2.5	2.1	4.4
1987–88 to 1988–89	6.4	7.1	7.6	7.4	6.8	2.0	2.7	3.2	3.0	2.4	4.4
1988–89 to 1989–90	6.9	7.4	7.8	7.5	7.3	2.3	2.8	3.2	2.9	2.7	4.6
1989–90 to 1990–91	6.1	6.8	7.2	7.0	6.6	0.0	0.7	1.1	0.9	0.5	6.1
1990–91 to 1991–92	3.9	4.5	4.9	5.1	4.3	0.8	1.4	1.8	2.0	1.2	3.1
1991–92 to 1992–93	3.2	3.7	4.2	4.4	3.6	0.3	0.8	1.3	1.5	0.7	2.9
1992–93 to 1993–94	3.8	4.4	4.7	4.5	4.2	1.1	1.7	2.0	1.8	1.5	2.7
1993–94 to 1994–95	4.1	4.7	4.9	4.9	4.6	1.4	2.0	2.2	2.2	1.9	2.7
1994–95 to 1995–96	3.7	4.1	4.5	4.4	4.0	1.2	1.6	2.0	1.9	1.5	2.5
1995–96 to 1996–97	3.0	4.0	4.2	4.6	3.5	-0.3	0.7	0.9	1.3	0.2	3.3
1996–97 to 1997–98	4.0	4.6	4.8	5.0	4.3	2.3	2.9	3.1	3.3	2.6	1.7
1997–98 to 1998–99	4.5	5.0	5.3	5.3	4.8	2.9	3.4	3.7	3.7	3.2	1.6
1998–99 to 1999–00	4.5	4.9	5.4	5.3	4.8	1.8	2.2	2.7	2.6	2.1	2.7
1999–00 to 2000–01	5.0	5.4	5.8	5.8	5.3	1.6	2.0	2.4	2.4	1.9	3.4
2000–01 to 2001–02	4.8	5.1	5.7	5.4	5.0	3.2	3.5	4.1	3.8	3.4	1.6
2001–02 to 2002–03	4.1	4.4	4.7	4.5	4.3	1.7	2.0	2.3	2.1	1.9	2.4
2002–03 to 2003–04	2.8	3.3	3.5	3.8	3.1	0.9	1.4	1.6	1.9	1.2	1.9
2003–04 to 2004–05	4.5	4.7	4.8	4.7	4.5	1.2	1.4	1.5	1.4	1.2	3.3
2004–05 to 2005–06	4.5	4.7	4.8	4.4	4.4	1.1	1.3	1.4	1.0	1.0	3.4
2005–06 to 2006–07	4.5	5.3	5.4	5.1	5.0	2.0	2.8	2.9	2.6	2.5	2.5
2006–07 to 2007–08	4.5	5.4	5.4	5.7	5.1	0.4	1.3	1.3	1.6	1.0	4.1
2007–08 to 2008–09	4.5	5.0	5.2	6.0	4.9	4.4	4.9	5.1	5.9	4.8	0.1
2008–09 to 2009–10	1.4	2.1	2.1	2.1	1.8	-1.3	-0.6	-0.6	-0.6	-0.9	2.7
2009–10 to 2010–11	2.2	2.7	2.8	2.3	2.5	0.7	1.2	1.3	0.8	1.0	1.5
2010–11 to 2011–12	2.7	3.1	3.3	3.2	2.9	-0.3	0.1	0.3	0.2	-0.1	3.0
2011–12 to 2012–13	2.9	3.4	3.5	3.6	3.2	1.2	1.7	1.8	1.9	1.5	1.7
2012–13 to 2013–14	3.0	3.5	3.7	3.6	3.4	1.5	2.0	2.2	2.1	1.9	1.5
2013–14 to 2014–15	3.2	3.7	3.8	3.8	3.7	2.4	2.9	3.0	3.0	2.9	0.8
2014–15 to 2015–16	2.9	3.7	3.8	4.3	3.4	2.2	3.0	3.1	3.6	2.7	0.7
2015–16 to 2016–17	2.7	3.3	3.6	3.6	3.0	0.6	1.2	1.5	1.5	0.9	2.1
2016–17 to 2017–18	2.9	3.4	3.5	3.6	3.3	0.8	1.3	1.4	1.5	1.2	2.1
2017–18 to 2018–19	2.7	3.3	3.4	3.7	3.1	0.8	1.4	1.5	1.8	1.2	1.9
2018–19 to 2019–20	2.8	3.3	3.6	3.4	3.2	0.5	1.0	1.3	1.1	0.9	2.3

Note: Consumer Price Index for all Urban Consumers (CPI-U) from the US Bureau of Labor Statistics; change calculated from December to December. Nominal salary is measured in current dollars. The percent increase in real terms is the percent increase in nominal terms adjusted for the percent change in the CPI-U. Figures for Continuing Faculty represent the average salary change for faculty employed by the same institution in both years over which the salary change is calculated. Figures for prior years have been recalculated using a consistent level of precision.

FIGURE 1
Faculty Salaries Have Barely Outpaced Inflation since the Great Recession
 Percent Change in Faculty Salary since 2009, All Faculty Ranks Combined



Source: AAUP Faculty Compensation Survey.

Act did during the Great Recession. Unlike in previous crises, we can no longer assume that the mission and structure of academe will remain the same for years to come; the ongoing politicization of colleges and universities that produce and distribute expert knowledge, the rise of consumerist conceptions of education, and the recent widespread implementation of online classes could change the nature of higher education itself. It is in this context that we present the findings from the AAUP’s Faculty Compensation Survey for 2019–20.

Summary of Findings from This Year’s Survey

On average, salaries for full-time faculty members at US colleges and universities are 2.8 percent higher in 2019–20 than they were in the preceding academic year. With consumer prices growing by 2.3 percent during the year, the increase in real terms was 0.5 percent. For continuing full-time faculty members—those who were employed full time in 2018–19 and remained employed full time at the same institution in 2019–20—salary growth was slightly higher at 3.2 percent, or 0.9 percent in real terms. Average salaries

for full-time faculty members range from \$49,000 for a lecturer at a religiously affiliated baccalaureate college to \$203,000 for a full professor at a private-independent doctoral university (see survey report table 1).

Table A lists historical growth in full-time faculty salaries in both nominal (unadjusted) and real (adjusted) terms for each year since 1971–72, calculated by comparing the “all categories combined” section of survey report table 1 with the published results from the prior year. Similarly, table B lists historical growth in salaries for continuing faculty members since 1971–72 and corresponds to survey report table 2.¹

Following the Great Recession of the late 2000s, nominal salary growth remained below consumer

1. In prior reports, table A listed the average percentage change in salaries for both all faculty and continuing faculty. Over the years, the table became so lengthy that the results had to be condensed by grouping the increases for the years to 2003–04 into two-year intervals in order to fit the table on one page. This year we have split the table into two tables that display all one-year intervals: table A for all faculty and table B for continuing faculty.

price growth until 2015–16, and real salary growth has remained flat ever since. Among the 842 institutions that have participated in the survey from 2008–09 to 2019–20, average salaries for full-time faculty members have increased 1.0 percent since 2008–09 and less than 0.1 percent since 2015–16 after adjusting for inflation (see figure 1).

Survey report table 2 presents average percent change in salary from 2018–19 to 2019–20 for all full-time faculty and continuing faculty. Salaries for all full-time faculty members in doctoral institutions increased 3.2 percent, or 0.9 percent in real terms after adjusting for the 2.3 percent increase in the consumer price index. Average salaries at master’s and associate’s institutions increased 1.2 percent and 1.0 percent, respectively; in real terms, average salaries decreased 1.1 percent and 1.3 percent, respectively, after adjusting for inflation. At baccalaureate institutions, average salaries increased 2.3 percent, matching the annual inflation rate. Average salaries for faculty members in associate’s institutions with ranks increased 1.0 percent overall, a decrease of 1.3 percent after adjusting for inflation. At associate’s institutions without ranks, average salaries did not change from the previous year; in real terms, average salaries decreased 2.3 percent after adjusting for inflation. Survey report table 1 presents average full-time faculty salaries for 2019–20; these figures were compared with the 2018–19 survey report table 1 to produce the figures in survey report table 2 for all full-time faculty. Survey report table 5 presents full-time faculty salaries as percentile distributions of institutions.

Average pay for part-time faculty members teaching a three-credit course section varies widely between institutional types, with average rates of pay ranging from \$2,263 per section in public associate’s institutions without ranks to \$4,620 per section in private-independent doctoral institutions. Within institutional categories, minimum and maximum pay rates span huge ranges (see survey report table 15). For example, part-time faculty pay for teaching a course section at doctoral institutions ranged from a minimum of \$568 to a maximum of over \$33,000.

On average, faculty salaries for women were 81.4 percent of those for men, a slight improvement from 81.0 percent in 2009–10. Within the ranks, the gender pay gap for professors (87.0 percent) and assistant professors (91.2 percent) has increased slightly since 2009–10, when the pay gap was comparatively smaller for professors (87.9 percent) and for assistant professors (93.0 percent). Despite shifts in distributions between men and women in terms of faculty

rank, the overall gender pay gap has not budged (and in some ranks has increased) over the last ten years (see survey report tables 3, 6, and 7).

Salary growth for college and university presidents continues to outpace growth for full-time faculty members across all institutional categories. Presidential salaries at doctoral and master’s institutions increased 6 percent since 2018–19, while presidential salaries at baccalaureate and associate’s institutions increased 3 percent and 9 percent, respectively. Median salaries in 2019–20 range from around \$230,000 at public associate’s institutions to nearly \$800,000 at private-independent doctoral universities. Ratios of presidents’ to full professors’ salaries range from just over three to one in public associate’s institutions to over five to one in private-independent doctoral institutions (see survey report tables 11 and 12). For chief academic officers and chief financial officers, the median salaries range from around \$133,000 and \$121,000, respectively, in associate’s institutions without ranks to around \$385,000 and \$303,000, respectively, in doctoral institutions (see survey report tables 13 and 14).

Full-Time Faculty Benefits

Before discussing the findings from the full-time faculty benefits data collection in detail, it is important to highlight a major change in the data collection for 2019–20. Benefits data collection in the AAUP Faculty Compensation Survey was simplified in 2019–20 to reduce the reporting burden on institutions, to simplify data validation processes, and to increase comparability between institutions with respect to compensation beyond base salary. The AAUP now collects information about full-time faculty retirement benefits, total medical insurance premiums, and dependent tuition benefits by contract length (nine-month or twelve-month). The “total compensation” statistic has been eliminated from the survey results in 2019–20.²

2. After 2011–12, when the National Center for Education Statistics stopped collecting fringe benefits data for full-time faculty members in the human resources survey component of the Integrated Postsecondary Education Data System, it became increasingly difficult to collect consistent benefits data from institutions. In recent years, the AAUP had reported “compensation” figures when an institution submitted data for any element of the benefits survey form, but the responses for these elements varied widely; the “total compensation” figures were no longer comparable and were, in fact, misleading. Therefore, for 2019–20 we have reduced the number of full-time faculty benefit items to three. See the Explanation of Statistical Data at <https://www.aaup.org/2019-20-faculty-compensation-survey-results> for additional details.

Almost 97 percent of full-time faculty members earn additional compensation in the form of contributions by the institution or state or local government toward retirement plans, with an average expenditure of 10.7 percent of the average salary of faculty members who are covered (see survey report table 8). The median of the average expenditures for retirement plans was 9.7 percent of average salaries, slightly lower than the average; several institutions reported average expenditures of more than 25 percent of average faculty salaries. Medians of the average expenditures for retirement plans as a percentage of salaries were comparable for faculty members on nine- or ten-month contracts (9.7 percent) and eleven- or twelve-month contracts (9.5 percent).

About 94 percent of full-time faculty members receive medical benefits in the form of institutional contributions to premiums for insurance plans, with an average expenditure of 11.9 percent of the average salary of faculty members who are covered (see survey report table 9). The median of the average expenditures for medical insurance plans was 13.3 percent of average salaries, somewhat higher than the average, and the distribution of the medians was bimodal—with a second peak occurring near 0 percent—since quite a few institutions reported average expenditures of less than 5 percent of average salaries. Medians of the average expenditures for medical insurance premiums as a percentage of salaries were higher for faculty members on nine- or ten-month contracts (13.3 percent) than for those on eleven- or twelve-month contracts (11.3 percent).

Survey report table 10 presents data on dependent tuition benefits. Table C provides further details on these benefits based on an analysis of open-ended responses from the plurality of institutions that reported “other” dependent tuition benefits. We conducted analyses of these responses and found that most of these institutions chose “other” because multiple choices applied but the survey item had been constructed to allow only one choice. For example, some institutions indicated that full-time faculty members receive full dependent tuition waivers both at the institutions as well as through consortia. This survey item will be revised in future years to account for institutions that provide multiple categories of dependent tuition benefits.

Our analysis showed that at least 68.3 percent of the institutions provide full-time faculty members with a full dependent tuition benefit, with 51.9 percent providing a full waiver at the institution. We also found that at least 48.3 percent of the institutions provide a partial dependent tuition benefit, with 32.0 percent providing a partial waiver at the school. At least 25.1 percent of institutions

provide either a full or a partial tuition waiver through a consortium. At least thirty-five institutions (4.6 percent) are members of the Tuition Exchange, a reciprocal scholarship opportunity for dependents of eligible faculty and staff. Institutions within systems often indicated that dependents of faculty members are eligible to receive full or partial tuition waivers at other institutions within the system; we categorized this as a “consortium” waiver for the purposes of our analysis. Finally, although we did not explicitly ask about relationships between dependent tuition benefits and years of service, thirty-five institutions (4.6 percent) indicated that their dependent tuition benefits varied depending on the faculty member’s years of service at the institution; in general, the greater the number of years of service, the higher the percentage of tuition that is covered.

Cost-of-Living Adjustments

This year we have incorporated regional price parities (RPPs) into the Faculty Compensation Survey, thus adding a new dimension to salary comparisons: cost-of-living adjustments for state and metro areas. RPPs are regional price levels expressed as a percentage of the US average price level. As in prior years, we are presenting a table of average salaries for full-time faculty members by region (see survey report table 4); RPP-adjusted average salaries for full-time faculty members by rank and for all ranks combined are now included in our data products.

RPPs were obtained from the US Bureau of Economic Analysis and assigned to institutions based on their Core Based Statistical Areas (CBSAs) in the Integrated Postsecondary Education Data System (IPEDS) Institutional Characteristics Survey.³ If an institution was not assigned to a CBSA, the state’s RPP was used. The RPP-adjusted salaries were calculated by dividing the average salary by the institution’s RPP and then multiplying the result by 100. For example, Stanford University had an average salary for full professors of \$262,000—the highest among our participating institutions—and its CBSA, San Jose–Sunnyvale–Santa Clara, California, had an RPP of 130.9, the highest in the nation. After adjusting for the RPP, the salary for full professors at Stanford was about \$200,000. In contrast, the average salary for full professors at Duke University increased from about \$221,000 to over \$233,000 after adjusting for the RPP of 95.2 assigned to its CBSA, Durham–Chapel Hill, North Carolina.

3. RPPs are from 2018 because the Bureau of Economic Analysis has not yet released the RPPs for 2019. Revised appendices, to be released in August, will incorporate the 2019 RPPs.

TABLE C

Institutions Providing a Dependent Tuition Benefit to Full-Time Faculty, All AAUP Categories Combined, 2019–20

Dependent Tuition Waiver	N	Percent
Full tuition waiver at this institution	393	51.9
Full tuition waiver at specified institutions through a consortium	109	14.4
Full (other)	15	2.0
Subtotal (full tuition)	517	68.3
Partial tuition waiver at this institution	242	32.0
Partial tuition waiver at specified institutions through a consortium	81	10.7
Partial (other)	43	5.7
Subtotal (partial tuition)	366	48.3
Tuition Exchange	35	4.6
None	75	9.9
Total	757	100.0

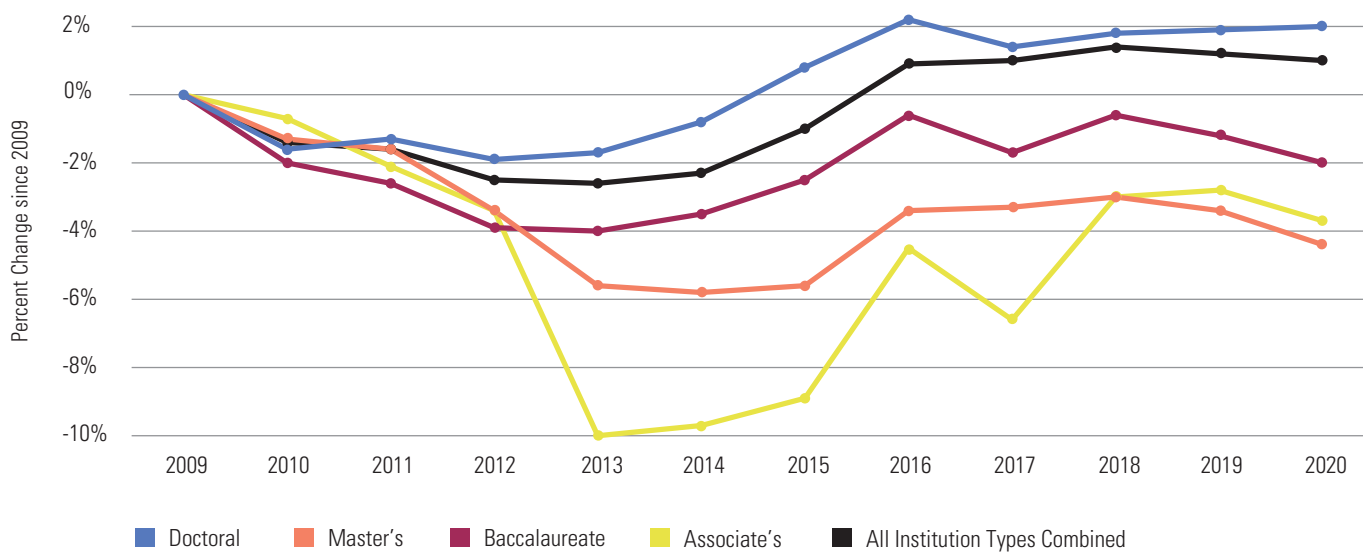
Note: Response percentages add up to more than 100 because many institutions provide more than one form of dependent tuition waiver.

Source: AAUP Faculty Compensation Survey.

FIGURE 2

Faculty Salary Growth Has Varied by Institution Type since the Great Recession

Inflation-Adjusted Percentage Change in Faculty Salary, All Faculty Ranks Combined



Source: AAUP Faculty Compensation Survey.

Analysis of the RPP-adjusted salary data is ongoing, and we hope to share the findings in a “data snapshot” on the AAUP’s website during the summer.

Trends in Salary, the Economy, and Funding

Some critics may argue that it is perfectly acceptable to have nominal wage growth on par with the inflation rate. Shouldn’t faculty members be happy that their wages are keeping up with inflation? However, economists tell us that inflation is only a part of the picture. While it is true that the Federal Reserve has set an overall price inflation target of 2 percent, it has also assumed 1.5 to 2 percent productivity growth on top of the inflation target, thus requiring a nominal wage target of 3.5 to 4 percent to be consistent with its overall target. In other words, keeping up with inflation would only be acceptable if we assume flat productivity growth; faculty members are no doubt taking advantage of technological innovations that make them more “productive” in their work.⁴ However, for real wage growth to match the Federal Reserve’s target, revenues (that is, tuition rates) for colleges and universities would also need to increase

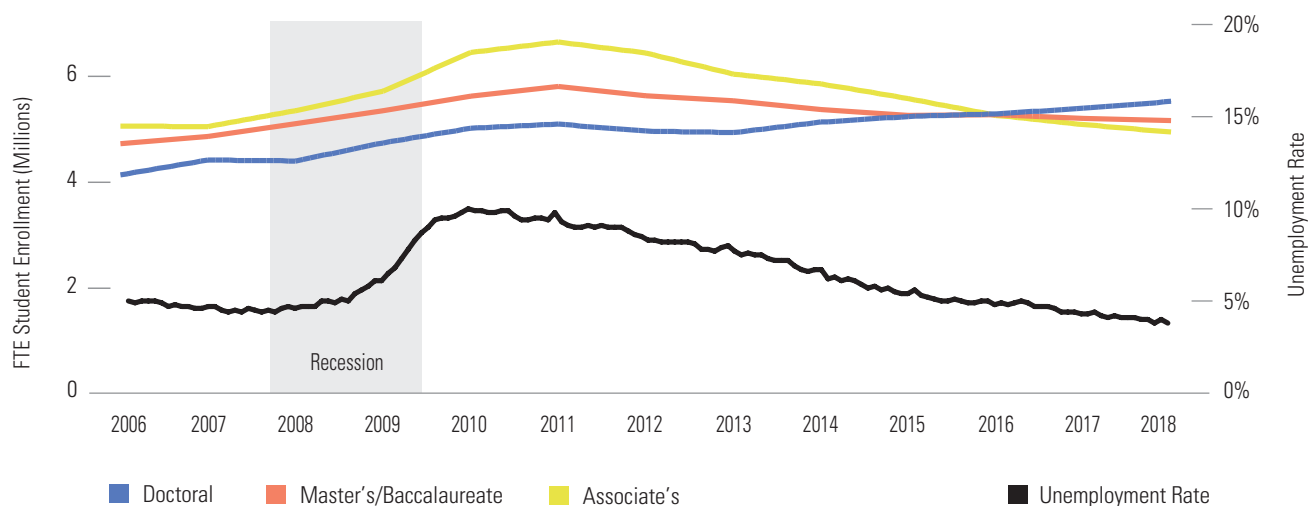
even faster than inflation. Unfortunately, continued flat wage growth places institutions at risk of losing talented faculty members in some fields to other sectors in which they would be paid better.

Differences between institutional types emerge when we look more closely at faculty wage growth since the Great Recession (see figure 2). Average real salaries for faculty members at doctoral institutions remained below prerecession levels until 2015–16 and have remained flat ever since, consistent with most studies on US earnings in general. For master’s, baccalaureate, and associate’s institutions, average real salaries have yet to return to prerecession levels and have, in fact, declined over the last three years. These institutions have been hit by declines in student enrollment combined with declines in funding for higher education in general. After rising unemployment rates drove up enrollment in the wake of the Great Recession—particularly in community colleges—enrollment peaked at 13 million full-time-equivalent students (FTES) in 2010–11 but has since declined sharply to the prerecession level of about 11 million FTES.⁵

4. Extreme caution must be exercised when considering “faculty productivity” in a quantitative sense. See, for example, the AAUP’s *Statement on “Academic Analytics” and Research Metrics*, available at <https://www.aaup.org/news/statement-urges-caution-toward-academic-analytics>.

5. FTES enrollment measures enrollment as a proportion of course load compared with what a full-time student’s expected course load would be. If the expected course load at a college is thirty credits per year, then a student who takes fifteen credits in a year would be counted as 0.5 FTES.

FIGURE 3
College Enrollment Is Correlated with Unemployment



Source: IPEDS Twelve-Month Enrollment Survey and the US Bureau of Labor Statistics. Data compiled by the AAUP Research Office.

Associate’s colleges have borne the brunt of the recent enrollment decline, with master’s and baccalaureate colleges not far behind (see figure 3). State and local appropriations—the primary mechanism for public colleges and universities to subsidize the cost of education—have finally returned to prerecession levels for public associate’s colleges, but funding for all other institutional categories has yet to return to the prerecession levels of 2007–08 (see figure 4).⁶ Appropriations for public institutions have declined 12 percent, after adjusting for inflation, from \$8,100 per FTES in 2007–08 to \$7,100 per FTES in 2017–18, and growth has been flat for several years. In addition, there is huge variation between states (see figure 5). In 2017–18, state and local appropriations ranged from under \$1,000 per FTES in Colorado to almost \$25,000 per FTES in the District

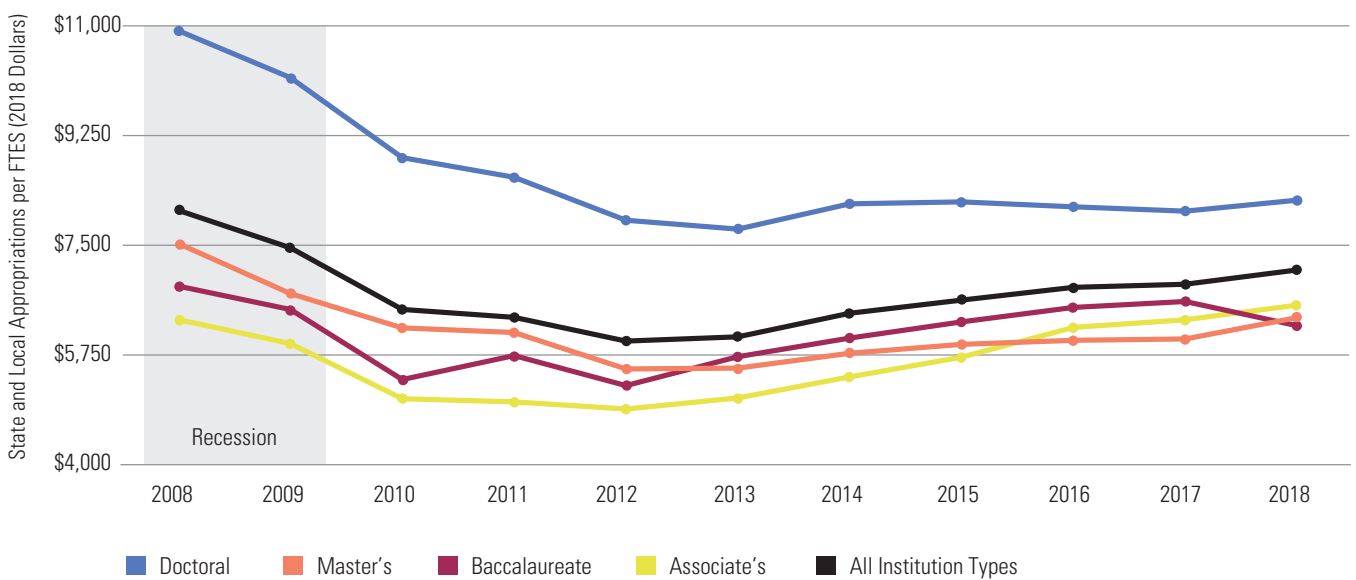
of Columbia.⁷ For the first time, the majority of funding for public higher education in half of the states now comes from student tuition and fees, according to a 2018 study by the State Higher Education Executive Officers. State and local appropriations make a difference in higher education, not only by reducing tuition and fees but also by increasing degree completion rates.

Private institutions that rely heavily on endowments for their operating budgets and federal funds for research had their own problems weathering the Great Recession, and in some recent years endowments have been well below their targets. While we have not conducted an in-depth analysis of endowments for this report, it is worth noting that during the Great Depression that took place in the 1930s

6. State and local appropriations are funds available to public institutions for operating expenses and exclude appropriations to private-independent institutions, research facilities, medical schools, and hospitals.

7. Many states also fund higher education through financial aid that goes directly to students. For example, Colorado provides substantial support directly to students through a mechanism called the College Opportunity Fund, which allocates a fixed dollar amount per credit hour throughout a student’s undergraduate career across all Colorado institutions.

FIGURE 4
State and Local Appropriations Have Not Recovered since the Great Recession
 Inflation-Adjusted Appropriations to Public Institutions

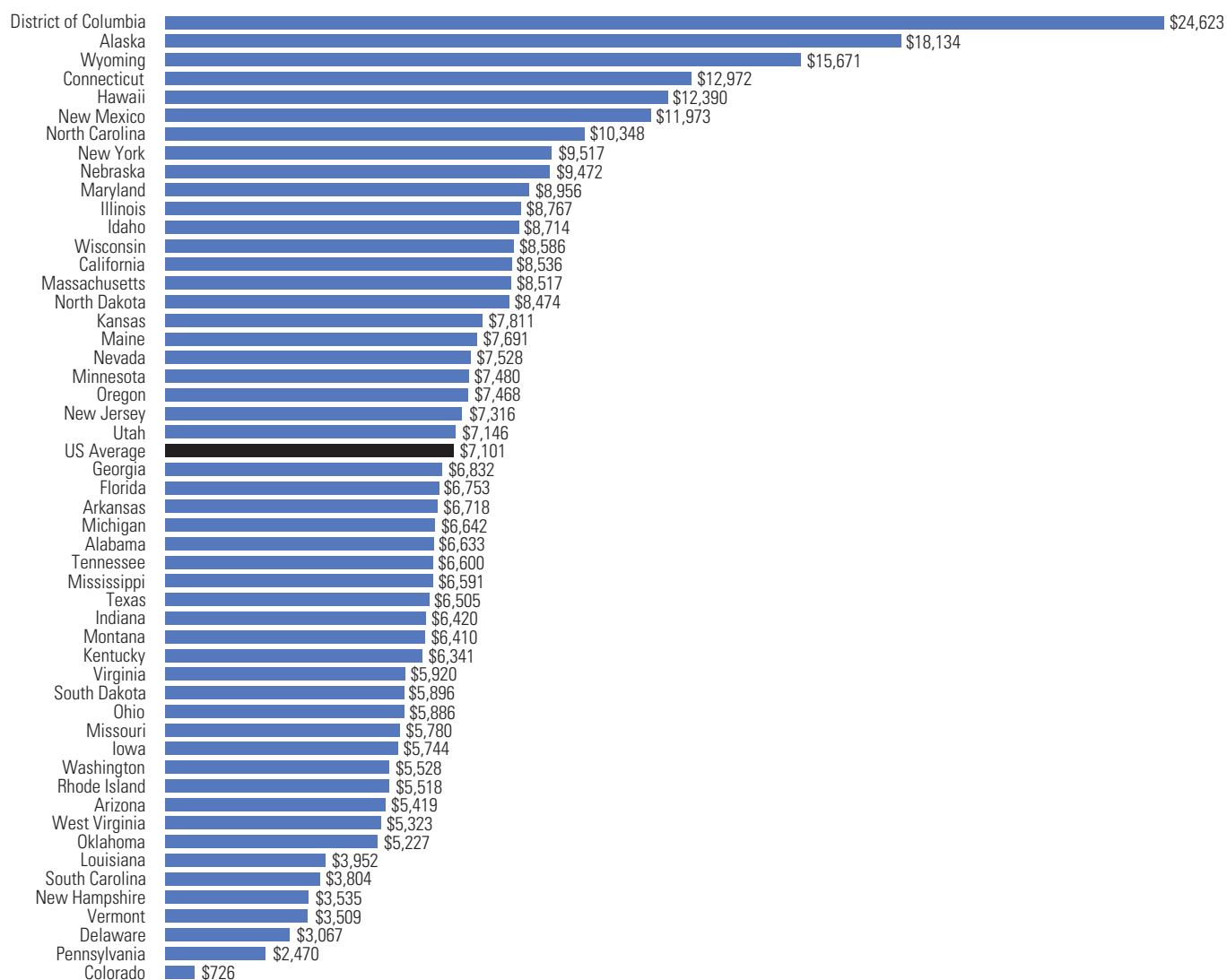


Source: IPEDS Finance Survey and Twelve-Month Enrollment Survey. Data compiled by the AAUP Research Office.

FIGURE 5

State and Local Appropriations Vary Widely by State

Appropriations per Full-Time Equivalent Student, Public Institutions, Fiscal Year 2018



Source: IPEDS Finance Survey. Data compiled by the AAUP Research Office.

there was some evidence that institutions depending more on tuition for operating budgets tended to fare better financially than those relying more on endowments.⁸ The AAUP Research Office will be monitoring the effects of the pandemic and the economic crisis on endowments, state and local appropriations, federal

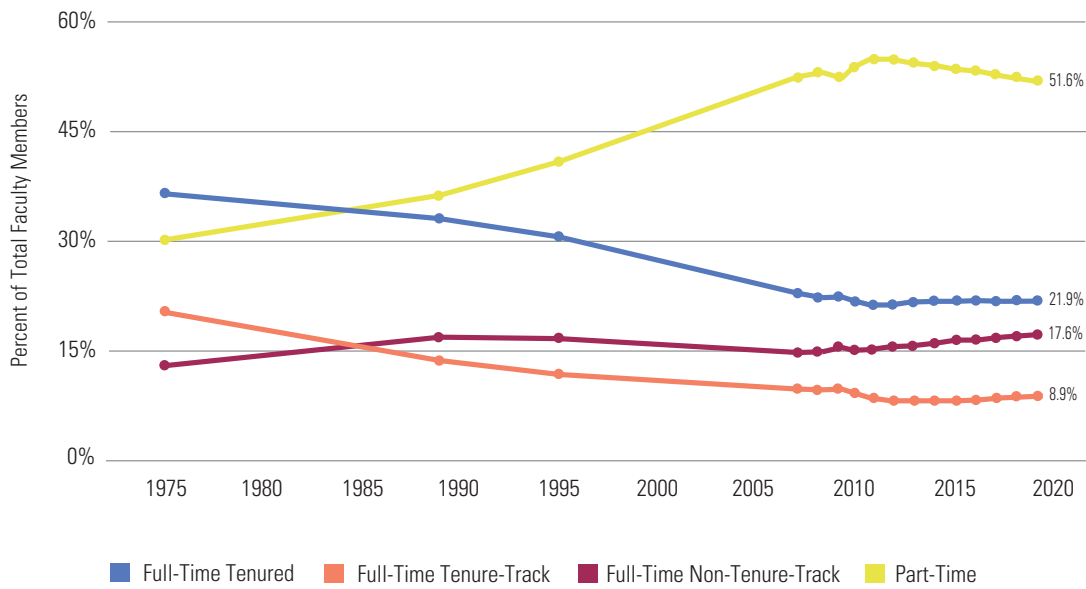
funding, and other funding sources in the months or years to come.

Contingent Faculty in the Academic Labor Force

The makeup of the academic labor force changed dramatically in the years leading up to the Great Recession. The proportion of part- and full-time faculty members on contingent appointments increased from 43 percent in 1975 to 68 percent in 2008,

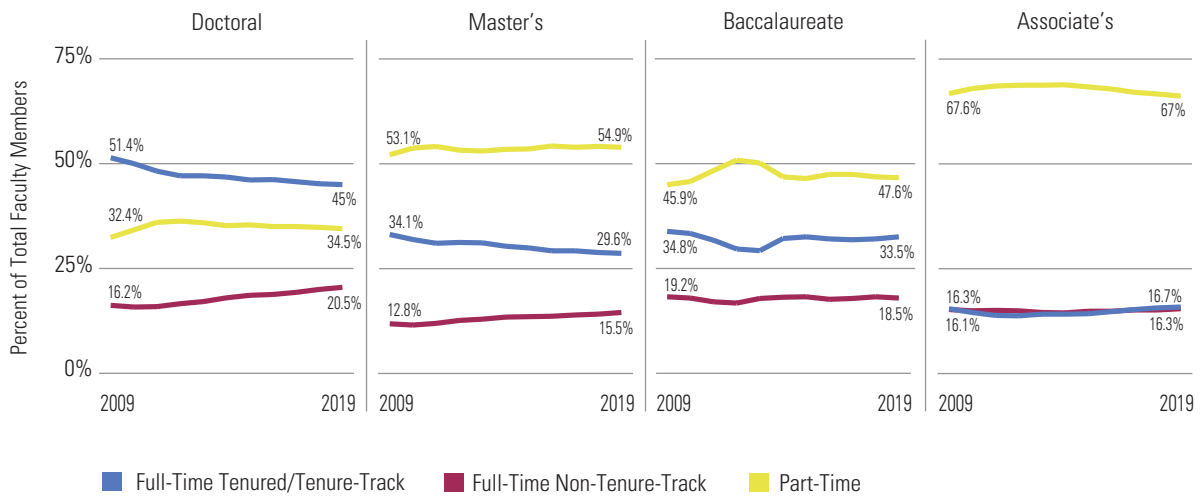
8. Robert L. Kelly, "Compensations of the Depression," *Bulletin of the American Association of University Professors* 18, no. 6 (1932): 442–43.

FIGURE 6
Full-Time Tenured and Tenure-Track Faculty Members Make Up Less Than One-Third of Today's Academic Labor Force



Source: IPEDS Human Resources Survey. Data compiled by the AAUP Research Office.

FIGURE 7
The Makeup of the Academic Labor Force Varies Widely by Institution Type



Source: IPEDS Human Resources Survey. Data compiled by the AAUP Research Office.

the start of the recession (see figure 6). During the Great Recession and in subsequent years, as enrollment grew, most colleges and universities hired more faculty members on contingent appointments, and when enrollment declined, they eliminated these positions. This was especially the case with baccalaureate and associate's colleges; these institutions filled the increased demand almost exclusively with part-time contingent faculty members (see figure 7). In the case of doctoral institutions, the continued increase in enrollment over the past few years has similarly corresponded with greater proportions of contingent faculty appointments; from 2009 to 2019, the proportion of tenured or tenure-track faculty members in doctoral institutions decreased from 51 to 45 percent, and now more than half of faculty members in doctoral institutions are serving in either full-time (20.5 percent) or part-time (34.5 percent) contingent positions.⁹ In 2018–19, more than 70 percent of the faculty at master's institutions were serving in either part-time (54.9 percent) or full-time (15.5 percent) contingent positions.

How the current crisis will affect the makeup of the academic labor force is anybody's guess. But from what we have observed in the years following the Great Recession, any sort of enrollment decline will certainly hurt faculty members on contingent appointments more than those with tenure or on the tenure track. Conversely, if enrollment somehow increases as it did following the Great Recession, colleges and universities would likely respond by making more contingent faculty appointments; it is difficult to imagine institutions meeting an increased demand for more faculty members in the next few years by creating more tenure-track positions, particularly as many institutions are already implementing hiring freezes in response to the COVID-19 pandemic.

Last year, the AAUP Faculty Compensation Survey began collecting data on pay rates for part-time faculty members who were paid per course section taught. This year participation increased from 335 to 370 institutions submitting part-time pay data, with 438 institutions providing data on their contributions to benefits for part-time faculty members (some institutions indicated available benefits but did not provide actual pay rates). AAUP staff carefully scrutinized the part-time data throughout the data collection

cycle, often contacting survey respondents to discuss their policies and practices around compensation for part-time faculty members. Despite our rigorous data validation processes, data on part-time faculty compensation are inherently messy and unreliable because of the lack of standards for tracking and reporting part-time faculty in general. Nonetheless, the AAUP's survey is the largest source of such data and may serve as a reminder that the rates of pay offered to part-time faculty members by some institutions remain appallingly low by any reasonable standards (see survey report table 15).

Most faculty members who are paid per course section do not receive either retirement or medical benefits contributions. Overall, 35 percent of institutions contribute toward retirement plans for some or all part-time faculty members, and 33 percent of institutions contribute to premiums for medical insurance plans. Part-time faculty members who are paid per course section are more likely to receive benefits at doctoral institutions, with 48 percent of institutions contributing to retirement plans and 57 percent contributing to medical insurance plans (see survey report table 16).

Survey Limitations

While the AAUP Research Office makes every effort to collect high-quality data, we understand that the Faculty Compensation Survey has its limitations. To begin with, we have grave concerns over the survey participation rates among some institution types. The participation rate among doctoral institutions has remained strong, with 227 of 287 doctoral institutions (79.1 percent) submitting data in 2019–20. Participation rates among master's and baccalaureate institutions were 49.2 percent and 31.8 percent, respectively. Participation rates among associate's institutions—where more than 30 percent of faculty members are employed—were much lower, with only 13.7 percent of institutions in AAUP category III (associate's colleges with ranks) submitting data and only eleven of 714 eligible institutions in AAUP category IV (associate's colleges without ranks) submitting data.

We recognize that the information we collected from eighty-one associate's institutions this year cannot be construed as representative of the 1,225 associate's institutions in the country; we have supplemented the AAUP survey data with IPEDS data in some cases to compensate for these low participation rates. At the same time, we know that, across all categories, most faculty members work in a relatively small number of institutions. If we rank the 3,726

9. In this report, full- and part-time faculty members are employees categorized as "instructional staff" in the IPEDS Human Resources Survey and do not include graduate assistants.

institutions eligible to participate in 2019–20 by their number of faculty members, half of the faculty are employed by the top 384 institutions (10.3 percent), 254 (66 percent) of which responded to the AAUP survey in 2019–20. At the other end of the spectrum, the bottom half of the institutions employs only about 7.7 percent of all faculty members. Thus, despite our concerns about institutional participation rates, the data collected for the large institutions in this survey may well be an accurate representation of the economic status of the profession.

Finally, critics continue to remind us that the survey should use the median instead of the arithmetic mean (average) for salary comparisons. This problem has vexed the AAUP since it began collecting these data more than sixty years ago. The median would be preferable since it would better reflect “typical” values with less potential for distortion from outliers. And we recognize that the hypothetical “average” faculty member working at the “average” institution may not exist because of the enormous number of possible combinations of faculty and institutional characteristics. However, college and university administrators would be less likely to participate if they were required to rank order each subgroup of faculty members to calculate median values. Our participants can usually complete the survey using the data already prepared for IPEDS and other purposes.

That being said, we also know that our continued collection of averages aggregated for each faculty subgroup precludes us from adding useful dimensions to the survey such as race and ethnicity, age, years in rank, or discipline, since this would place an enormous burden on participants. The AAUP Research Office will be consulting with our institutional respondents this year to determine the best approach to address this issue.

Conclusion

The US economy is facing a crisis that is unprecedented in recent memory, with an estimated unemployment rate higher than at any time since the Great Depression. Will soaring unemployment trends lead to another enrollment increase in associate’s colleges as it did in the years following the Great Recession? Will the landscape of higher education be forever altered by a tectonic shift to online learning? What will happen with the money earmarked for higher education in the stimulus bills? And will prospective students even show up in the fall? These are questions that will determine the economic status of the profession for years to

come. In the coming months or years of the COVID-19 pandemic and economic crisis, the AAUP Research Office will focus on key data points—the economy, institutional finances, enrollment, the academic workforce, and salaries—and will release online data snapshots as events unfold.

For new PhD recipients seeking employment as full-time faculty members in fall 2020, most searches for tenure-track faculty positions were well under way before we understood the grave threat the coronavirus would pose in the United States. Some institutions are completing these searches, but others are halting ongoing searches and in some cases rescinding job offers. In 2021–22, an already tough job market for new faculty members will likely be even tougher. The ramifications of the economic crisis for contingent faculty members hoping for contract renewal are even more worrisome. As one contingent faculty member suggested in response to our Faculty Compensation Survey data release in April, “Most adjuncts have two months before we are out on the streets.” Even in the best-case scenario, the near-term future looks particularly bleak for those serving on contingent appointments, given that enrollment declines have historically hit these faculty members the hardest.

Faculty members are now being asked to take on tremendous amounts of additional work, without additional pay, as classes are moved online, departments are downsized, and course loads are increased. Furlough programs—unpaid leaves of absence—do not necessarily translate to reduced workloads for faculty members. Tenured and tenure-track faculty members are not immune from furloughs, other forms of pay cuts, or even layoffs when institutions face serious financial difficulties. The AAUP has developed standards and procedures for financial exigency. As stated in the AAUP report *Financial Exigency, Academic Governance, and Related Matters*, “The desirable thing to do about financial exigency and governance issues is for colleges and universities, through joint action by the faculty, administration, and governing board, to ensure that sound standards and procedures exist to deal with budgetary problems in good times and bad, and to ensure that what is applied in actual practice matches the stated standards and procedures.” The report makes specific recommendations aimed at solving an institution’s financial difficulties, including steps that institutions may take to avoid terminating faculty and staff positions. During this perilous time, all faculty members should become familiar with the AAUP’s recommended

standards and procedures on financial exigency and program discontinuance.¹⁰

The COVID-19 pandemic has highlighted some of the inequities entrenched in our higher education system. It has revealed the indifference of some administrators, trustees, and legislators to the lives of contingent faculty members, who now make up the majority of faculty members in the country. It has laid bare the disparities in faculty salary, medical benefits, and job security that underwrite a veritable caste system in US colleges and universities. As John Dewey stated in 1916, “A society to which stratification into separate classes would be fatal, must see to it that intellectual opportunities are accessible to all on equal and easy terms.” The AAUP aims to document this stratification as an integral part of its research on the economic impact of the COVID-19 pandemic on the profession. At the same time, we are hopeful that the pandemic will reveal a spirit of cooperation between faculties and administrations as they work together for the common good.

Acknowledgments

The AAUP Research Office would like to thank all the college and university administrative offices that provided data in a timely manner for inclusion in this report. We are grateful for their continued collaboration and participation. We also acknowledge the contribution of the National Higher Education Benchmarking Institute (NHEBI) in developing and supporting the Faculty Compensation Survey research portal. NHEBI, established in 2004, is a nonprofit service and research institute, sponsored and supported by Johnson County Community College. Finally, this report would not have been possible without the substantial support of John W. Curtis, consultant for the 2019–20 AAUP Faculty Compensation Survey. ■

10. See Regulation 4 (Termination of Appointments by the Institution) in the AAUP’s *Recommended Institutional Regulations on Academic Freedom and Tenure*, available at <https://www.aaup.org/report/recommended-institutional-regulations-academic-freedom-and-tenure>.

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This report was authored by Glenn T. Colby, senior researcher at the AAUP, with contributions from Chelsea Fowler, research assistant at AAUP, and is published under the auspices of the AAUP’s Committee on the Economic Status of the Profession.

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The committee

SURVEY REPORT TABLE 1

Average Full-Time Faculty Salary, by AAUP Category, Affiliation, and Academic Rank, 2019–20 (Dollars)

Academic Rank	All Combined	Public	Private-Independent	Religiously Affiliated
<i>AAUP CATEGORY I (Doctoral)</i>				
Professor	160,080	145,899	202,917	168,837
Associate	104,408	99,743	122,492	111,086
Assistant	90,764	86,791	108,195	96,674
Instructor	65,919	59,073	83,252	78,642
Lecturer	67,896	64,640	81,204	64,579
No Rank	79,383	67,751	96,345	107,210
All Combined	112,962	104,560	143,458	119,477
<i>AAUP CATEGORY IIA (Master's)</i>				
Professor	104,555	101,926	118,061	103,694
Associate	83,537	83,057	88,782	81,394
Assistant	73,120	72,949	76,953	71,128
Instructor	56,409	52,725	64,550	60,634
Lecturer	59,804	58,487	72,715	57,119
No Rank	61,196	56,609	75,813	61,996
All Combined	82,166	80,494	90,804	81,471
<i>AAUP CATEGORY IIB (Baccalaureate)</i>				
Professor	108,070	99,150	127,055	89,645
Associate	82,757	81,331	92,843	72,219
Assistant	69,387	68,581	77,463	62,243
Instructor	58,019	52,119	64,326	54,849
Lecturer	63,833	59,914	73,969	48,923
No Rank	71,859	77,959	70,548	62,719
All Combined	83,830	77,555	97,117	72,827
<i>AAUP CATEGORY III (Associate's with Ranks)</i>				
Professor	91,949	91,949	n.d.	n.d.
Associate	74,847	74,847	n.d.	n.d.
Assistant	63,996	63,996	n.d.	n.d.
Instructor	53,885	53,885	n.d.	n.d.
Lecturer	64,476	64,476	n.d.	n.d.
No Rank	51,800	51,800	n.d.	n.d.
All Combined	73,578	73,578	n.d.	n.d.
<i>AAUP CATEGORY IV (Associate's without Ranks)</i>				
No Rank	76,822	76,822	n.d.	n.d.
<i>ALL AAUP CATEGORIES COMBINED EXCEPT IV</i>				
Professor	140,373	131,890	176,885	121,716
Associate	95,382	93,579	108,032	88,101
Assistant	82,508	81,252	93,886	74,859
Instructor	62,043	56,864	75,893	66,280
Lecturer	65,335	62,626	79,230	59,845
No Rank	74,695	65,074	90,279	92,034
All Combined	100,800	96,063	124,396	91,210

Note: The table is based on 928 reporting institutions. For definitions of categories, see Explanation of Statistical Data. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV.

SURVEY REPORT TABLE 2

Percent Change in Salary for All Faculty and Continuing Faculty, by AAUP Category, Affiliation, and Academic Rank, 2018–19 to 2019–20

Academic Rank	ALL FACULTY				CONTINUING FACULTY			
	All Combined	Public	Private-Independent	Religiously Affiliated	All Combined	Public	Private-Independent	Religiously Affiliated
<i>AAUP CATEGORY I (Doctoral)</i>								
Professor	3.3	3.2	3.5	3.8	2.9	2.9	3.1	2.6
Associate	3.1	3.2	2.6	2.6	3.6	3.6	4.0	3.1
Assistant	3.2	3.2	3.2	3.6	3.8	3.8	4.3	3.2
Instructor	-0.1	-5.7	6.7	24.5	3.2	3.3	3.1	3.3
All Combined	3.2	3.2	3.7	3.4	3.4	3.4	3.5	3.0
<i>AAUP CATEGORY IIA (Master's)</i>								
Professor	1.0	1.1	0.5	0.6	2.4	2.6	2.0	2.0
Associate	0.8	0.9	0.1	0.8	2.9	3.3	2.4	2.4
Assistant	1.7	2.0	0.9	1.4	3.3	3.3	3.0	3.3
Instructor	-4.3	-8.1	-11.4	0.5	3.2	3.5	2.9	2.8
All Combined	1.2	1.5	0.5	0.8	2.9	3.1	2.5	2.5
<i>AAUP CATEGORY IIB (Baccalaureate)</i>								
Professor	2.1	5.6	1.3	2.0	2.4	3.0	2.6	2.0
Associate	2.4	4.6	1.4	1.7	2.9	3.0	3.1	2.6
Assistant	2.7	3.1	3.0	1.8	3.5	3.3	4.0	3.1
Instructor	-11.4	-11.7	-14.7	8.3	4.0	3.7	4.3	3.9
All Combined	2.3	5.1	1.5	1.9	2.8	3.1	3.0	2.5
<i>AAUP CATEGORY III (Associate's with Ranks)</i>								
Professor	0.6	0.6	n.d.	n.d.	2.8	2.8	n.d.	n.d.
Associate	0.5	0.5	n.d.	n.d.	2.8	2.8	n.d.	n.d.
Assistant	0.2	0.2	n.d.	n.d.	3.3	3.3	n.d.	n.d.
Instructor	-17.1	-17.1	n.d.	n.d.	4.1	4.1	n.d.	n.d.
All Combined	1.0	1.0	n.d.	n.d.	2.8	2.8	n.d.	n.d.
<i>AAUP CATEGORY IV (Associate's without Ranks)</i>								
No Rank	0.0	0.0	n.d.	n.d.	4.3	4.3	n.d.	n.d.
<i>ALL AAUP CATEGORIES COMBINED EXCEPT IV</i>								
Professor	2.8	2.9	2.8	2.2	2.8	2.8	2.9	2.2
Associate	2.4	2.6	2.0	1.7	3.3	3.4	3.4	2.7
Assistant	2.8	2.9	2.4	1.8	3.6	3.6	3.9	3.2
Instructor	-3.0	-6.8	-1.6	9.1	3.4	3.4	3.3	3.2
All Combined	2.8	2.9	2.7	2.0	3.2	3.3	3.2	2.6

Note: The table is based on 928 (all faculty) and 871 (continuing faculty) responding institutions reporting faculty salary data. For definitions of categories, see Explanation of Statistical Data. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV. Rows labeled "All Combined" include lecturers and unranked faculty where reported.

SURVEY REPORT TABLE 3

Average Salary for Men and Women Full-Time Faculty, by AAUP Category, Affiliation, and Academic Rank, 2019–20 (Dollars)

Academic Rank	All Combined		Public		Private-Independent		Religiously Affiliated	
	Men	Women	Men	Women	Men	Women	Men	Women
<i>AAUP CATEGORY I (Doctoral)</i>								
Professor	165,051	147,792	150,325	135,131	208,732	187,583	173,408	158,020
Associate	107,782	100,082	102,955	95,635	126,700	116,940	113,704	107,852
Assistant	95,501	85,950	91,136	82,397	114,005	101,944	102,493	91,269
Instructor	69,671	63,019	61,127	57,609	88,777	78,201	82,837	74,663
Lecturer	72,067	64,514	68,199	61,834	86,541	76,308	68,584	61,604
No Rank	84,396	75,263	71,417	64,930	100,621	92,445	114,850	100,018
All Combined	123,688	98,378	114,080	91,926	157,215	122,645	129,594	106,179
<i>AAUP CATEGORY IIA (Master's)</i>								
Professor	106,865	100,975	103,808	98,990	121,581	112,994	106,908	98,550
Associate	84,851	82,153	84,247	81,777	90,693	86,848	82,701	80,056
Assistant	74,792	71,783	74,700	71,462	78,560	75,725	72,530	70,146
Instructor	57,447	55,749	53,118	52,486	66,620	62,835	61,737	59,959
Lecturer	61,057	58,842	59,369	57,806	76,745	69,414	57,772	56,701
No Rank	63,548	59,254	58,992	54,479	79,549	73,022	64,537	60,336
All Combined	86,202	78,060	84,265	76,579	95,525	86,089	85,981	77,117
<i>AAUP CATEGORY IIB (Baccalaureate)</i>								
Professor	109,346	106,061	100,793	96,417	129,241	123,833	90,737	87,832
Associate	83,900	81,566	83,118	79,323	94,062	91,642	73,297	71,079
Assistant	70,547	68,448	69,944	67,400	78,674	76,482	63,025	61,641
Instructor	59,364	57,067	52,138	52,106	65,888	63,106	56,095	54,045
Lecturer	64,248	63,534	62,637	57,500	72,434	74,920	46,859	50,042
No Rank	75,034	67,533	85,274	61,587	70,394	70,726	65,864	59,573
All Combined	87,505	79,968	81,128	73,699	101,507	92,569	75,919	69,583
<i>AAUP CATEGORY III (Associate's with Ranks)</i>								
Professor	93,137	90,857	93,137	90,857	n.d.	n.d.	n.d.	n.d.
Associate	75,478	74,362	75,478	74,362	n.d.	n.d.	n.d.	n.d.
Assistant	64,042	63,957	64,042	63,957	n.d.	n.d.	n.d.	n.d.
Instructor	53,962	53,815	53,962	53,815	n.d.	n.d.	n.d.	n.d.
Lecturer	65,014	64,004	65,014	64,004	n.d.	n.d.	n.d.	n.d.
No Rank	57,577	45,061	57,577	45,061	n.d.	n.d.	n.d.	n.d.
All Combined	74,230	73,021	74,230	73,021	n.d.	n.d.	n.d.	n.d.
<i>AAUP CATEGORY IV (Associate's without Ranks)</i>								
No Rank	76,942	76,721	76,942	76,721	n.d.	n.d.	n.d.	n.d.
<i>ALL AAUP CATEGORIES COMBINED EXCEPT IV</i>								
Professor	146,613	127,583	137,314	120,713	185,289	158,836	126,913	112,219
Associate	98,497	91,742	96,586	90,009	112,152	103,239	90,316	85,688
Assistant	86,468	78,863	84,934	77,749	99,126	89,014	77,890	72,538
Instructor	64,866	59,976	58,369	55,816	80,336	72,030	69,877	63,644
Lecturer	68,539	62,786	65,283	60,535	84,081	74,986	62,252	58,217
No Rank	78,943	71,128	68,448	62,324	94,056	86,883	99,917	85,363
All Combined	110,033	89,633	104,383	85,981	137,079	107,958	98,407	83,430

Note: The table is based on 928 reporting institutions. For definitions of categories, see Explanation of Statistical Data. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV.

SURVEY REPORT TABLE 4

Average Salary for Full-Time Faculty, by Region, AAUP Category, and Academic Rank, 2019–20 (Dollars)

Academic Rank	Northeast		North Central		South			West	
	New England ^a	Middle Atlantic ^b	East North Central ^c	West North Central ^d	East South Central ^e	West South Central ^f	South Atlantic ^g	Mountain ^h	Pacific ⁱ
AAUP CATEGORY I (Doctoral)									
Professor	194,978	179,156	150,633	136,847	135,341	147,030	152,474	131,216	183,246
Associate	119,333	114,102	101,193	93,249	93,398	98,478	102,744	96,241	116,032
Assistant	101,974	96,007	90,690	83,752	79,290	89,398	88,395	81,841	102,756
Instructor	92,735	71,243	66,763	61,358	54,538	58,660	67,044	60,940	62,526
Lecturer	83,259	73,605	63,115	63,976	56,489	58,294	62,493	62,336	86,615
No Rank	63,703	100,073	55,608	47,696	68,254	70,639	81,465	47,963	85,529
All Combined	135,914	126,410	108,997	100,848	94,661	100,904	107,724	96,278	134,191
AAUP CATEGORY IIA (Master's)									
Professor	122,238	113,067	91,435	90,313	89,952	101,062	99,399	99,269	112,187
Associate	92,850	88,690	76,167	75,682	72,257	79,529	79,483	81,378	94,662
Assistant	80,010	74,210	68,571	65,178	65,019	69,373	70,432	70,609	83,545
Instructor	68,961	58,493	54,455	51,292	49,887	55,780	57,328	50,620	64,682
Lecturer	74,354	64,985	53,379	51,875	50,796	50,993	53,046	53,759	65,484
No Rank	81,541	73,730	50,467	56,707	56,842	57,011	55,849	59,407	88,049
All Combined	95,161	88,003	74,008	73,172	70,586	76,697	77,385	74,945	91,936
AAUP CATEGORY IIB (Baccalaureate)									
Professor	127,956	121,085	92,182	95,718	91,781	75,963	95,144	98,262	132,191
Associate	93,476	90,660	74,637	74,629	72,839	64,440	75,194	81,486	98,915
Assistant	77,979	75,611	63,398	63,815	60,447	57,637	64,274	67,982	80,374
Instructor	65,034	64,365	54,270	57,744	53,163	46,755	51,718	52,732	67,299
Lecturer	75,181	66,694	50,352	59,790	47,117	47,289	53,283	67,810	71,315
No Rank	67,845	73,438	45,593	66,777	85,053	n.d.	90,851	n.d.	68,471
All Combined	98,202	91,235	74,594	76,060	72,278	63,802	74,839	77,846	103,915
AAUP CATEGORY III (Associate's with Ranks)									
Professor	73,657	102,325	85,825	74,635	74,979	92,247	94,350	74,651	99,507
Associate	59,188	83,519	68,637	63,693	63,473	71,500	79,057	62,936	86,064
Assistant	51,611	72,618	54,752	59,089	51,651	60,603	69,596	57,722	74,444
Instructor	51,397	50,956	47,525	55,343	49,706	50,784	58,968	51,099	63,027
Lecturer	n.d.	69,110	54,454	43,868	n.d.	n.d.	n.d.	42,998	n.d.
No Rank	n.d.	38,333	n.d.	n.d.	n.d.	n.d.	n.d.	55,840	n.d.
All Combined	62,417	81,412	63,394	64,496	58,268	81,152	80,833	61,198	78,165
AAUP CATEGORY IV (Associate's without Ranks)									
No Rank	n.d.	n.d.	n.d.	60,101	56,986	57,736	77,175	n.d.	97,419
ALL AAUP CATEGORIES COMBINED EXCEPT IV									
Professor	167,894	150,454	132,798	117,860	119,262	134,058	133,930	125,658	154,376
Associate	107,366	99,952	91,162	85,519	84,966	91,962	93,426	92,236	106,545
Assistant	90,822	84,152	80,571	75,153	73,613	82,496	80,515	78,614	92,478
Instructor	82,550	65,197	61,820	55,404	52,859	57,182	62,531	58,697	63,303
Lecturer	80,946	70,042	60,162	62,016	54,290	57,288	59,298	60,868	74,710
No Rank	70,969	94,793	53,011	52,507	63,797	69,061	78,376	56,241	86,239
All Combined	119,518	107,158	96,270	88,915	85,599	94,054	96,416	91,540	114,930

Note: The table is based on 928 reporting institutions. For definitions of categories, see Explanation of Statistical Data. N.d. = no data.

^a Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont.

^b New Jersey, New York, and Pennsylvania.

^c Illinois, Indiana, Michigan, Ohio, and Wisconsin.

^d Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, and South Dakota.

^e Alabama, Kentucky, Mississippi, and Tennessee.

^f Arkansas, Louisiana, Oklahoma, and Texas.

^g Delaware, District of Columbia, Florida, Georgia, Maryland, North Carolina, Puerto Rico, South Carolina, Virgin Islands, Virginia, and West Virginia.

^h Arizona, Colorado, Idaho, Montana, Nevada, New Mexico, Utah, and Wyoming.

ⁱ Alaska, California, Guam, Hawaii, Oregon, and Washington.

SURVEY REPORT TABLE 5

Percentile Distribution of Institutions, by Average Full-Time Faculty Salary, AAUP Category, and Academic Rank, 2019–20 (Dollars)

Rating ^a	1*		1		2		3		4	
Percentile	95	90	80	70	60	50	40	30	20	10
<i>AAUP CATEGORY I (Doctoral)</i>										
Professor	217,207	192,409	173,602	159,818	149,194	139,258	131,458	122,902	113,731	102,934
Associate	141,119	130,235	118,235	111,185	105,197	100,191	96,326	90,699	86,219	79,860
Assistant	120,310	113,994	104,126	97,059	92,052	87,629	83,998	81,079	76,335	70,014
Instructor	100,558	84,982	78,396	72,450	67,463	63,001	58,852	55,349	52,446	47,486
All Combined	167,764	146,686	125,094	115,887	109,745	102,173	96,058	90,038	86,865	78,598
<i>AAUP CATEGORY IIA (Master's)</i>										
Professor	136,159	125,992	114,186	108,725	101,716	95,379	90,416	85,962	80,345	73,172
Associate	103,686	100,008	92,972	86,706	81,241	77,943	74,941	71,706	68,656	63,224
Assistant	89,044	85,655	79,531	75,610	71,582	69,381	66,874	64,403	61,657	57,480
Instructor	79,683	74,000	65,200	61,973	58,853	55,806	53,608	50,995	48,716	43,871
All Combined	104,839	98,650	90,242	84,173	80,115	76,832	73,462	70,046	66,546	62,618
<i>AAUP CATEGORY IIB (Baccalaureate)</i>										
Professor	148,896	137,669	113,981	103,357	96,175	89,099	82,681	78,972	72,360	63,658
Associate	109,082	102,755	90,547	82,588	77,436	74,096	69,808	65,560	61,126	56,977
Assistant	90,403	85,371	76,812	70,932	66,233	63,482	61,540	57,610	54,314	51,240
Instructor	78,532	69,571	63,703	59,714	56,146	53,818	51,806	49,250	46,000	44,000
All Combined	114,977	105,710	91,117	82,602	76,195	72,101	68,593	65,289	61,213	55,280
<i>AAUP CATEGORY III (Associate's with Ranks)</i>										
Professor	116,442	113,867	106,166	101,473	97,685	91,908	82,843	77,888	73,706	66,768
Associate	94,201	91,292	85,117	81,794	78,674	75,610	70,441	66,299	63,953	57,119
Assistant	80,265	79,125	74,638	69,639	65,797	62,994	59,386	58,624	55,743	51,651
Instructor	69,632	67,402	62,875	60,214	57,664	53,595	51,404	49,378	47,887	43,650
All Combined	91,320	89,336	82,071	78,187	75,909	71,997	66,962	64,156	61,378	57,081
<i>AAUP CATEGORY IV (Associate's without Ranks)</i>										
No Rank	98,574	97,122	93,967	77,175	67,552	63,922	58,643	57,755	56,986	56,019

Note: The table is based on 928 reporting institutions. For definitions of categories, see Explanation of Statistical Data. Calculated using SAS STDIZE procedure using the order statistics method.

^a. Interpretation of the ratings: 1* = 95th percentile; 1 = 80th; 2 = 60th; 3 = 40th; 4 = 20th. An average lower than the 20th percentile is rated 5 (not displayed).

SURVEY REPORT TABLE 6

Percent of Full-Time Faculty with Tenure and in Tenure-Track Appointments by Affiliation, Gender, and Academic Rank, 2019–20

Academic Rank	All Combined				Public				Private-Independent				Religiously Affiliated			
	% T	% TT	% NTT	N	% T	% TT	% NTT	N	% T	% TT	% NTT	N	% T	% TT	% NTT	N
MEN																
Professor	95.0	0.5	4.4	79,472	95.9	0.5	3.6	53,259	93.3	0.4	6.4	17,330	93.1	1.4	5.4	8,883
Associate	86.4	5.9	7.7	53,166	88.6	4.9	6.4	36,118	80.1	7.6	12.3	9,548	83.8	8.5	7.7	7,500
Assistant	3.4	76.8	19.8	44,283	3.5	77.9	18.6	31,292	1.9	77.8	20.3	7,508	5.0	69.1	26.0	5,483
Instructor	0.6	4.2	95.2	11,125	0.8	5.7	93.5	6,889	0.1	0.9	98.9	2,250	0.7	2.6	96.7	1,986
Lecturer	2.4	2.0	95.6	15,886	3.1	2.5	94.4	12,368	0.0	0.3	99.6	2,858	0.0	0.5	99.5	660
No Rank	7.5	3.7	88.7	3,675	10.6	5.2	84.2	2,580	0.5	0.3	99.2	776	0.0	0.0	100.0	319
All Combined	59.6	18.5	21.9	207,607	59.6	19.1	21.3	142,506	59.5	16.5	24.0	40,270	59.8	18.5	21.7	24,831
WOMEN																
Professor	91.8	0.6	7.6	38,775	92.6	0.5	6.9	25,844	89.3	0.4	10.3	8,070	91.7	1.6	6.7	4,861
Associate	82.8	5.8	11.4	45,504	84.5	4.9	10.6	30,409	77.5	6.7	15.8	8,210	81.6	8.9	9.5	6,885
Assistant	3.5	69.7	26.9	48,124	3.7	70.6	25.7	32,889	2.3	70.6	27.1	8,074	3.7	64.5	31.9	7,161
Instructor	1.0	3.9	95.0	15,189	1.3	4.9	93.9	9,891	0.1	0.9	99.0	2,588	1.1	3.3	95.5	2,710
Lecturer	2.0	1.3	96.7	19,965	2.5	1.5	96.0	15,722	0.1	0.4	99.4	3,267	0.1	0.6	99.3	976
No Rank	6.3	2.9	90.8	4,379	8.5	4.0	87.5	3,139	0.6	0.3	99.1	863	0.5	0.5	98.9	377
All Combined	44.1	21.7	34.2	171,936	43.8	21.8	34.4	117,894	44.3	20.3	35.4	31,072	45.2	23.5	31.3	22,970
MEN AND WOMEN COMBINED																
Professor	94.0	0.6	5.5	118,247	94.8	0.5	4.7	79,103	92.0	0.4	7.6	25,400	92.6	1.5	5.9	13,744
Associate	84.8	5.9	9.4	98,670	86.7	4.9	8.3	66,527	78.9	7.2	13.9	17,758	82.8	8.7	8.6	14,385
Assistant	3.4	73.1	23.5	92,407	3.6	74.1	22.2	64,181	2.1	74.1	23.8	15,582	4.2	66.5	29.3	12,644
Instructor	0.9	4.0	95.1	26,314	1.1	5.2	93.7	16,780	0.1	0.9	99.0	4,838	1.0	3.0	96.0	4,696
Lecturer	2.2	1.6	96.2	35,851	2.8	1.9	95.3	28,090	0.1	0.4	99.5	6,125	0.1	0.6	99.4	1,636
No Rank	6.9	3.3	89.8	8,054	9.5	4.5	86.0	5,719	0.5	0.3	99.1	1,639	0.3	0.3	99.4	696
All Combined	52.6	20.0	27.4	379,543	52.4	20.3	27.3	260,400	52.9	18.2	28.9	71,342	52.8	20.9	26.3	47,801

Note: The table is based on 928 reporting institutions. Prior to 2003–04, this table counted as tenure track all faculty who were tenured and in positions leading to consideration for tenure, and did not separately report faculty not on the tenure track. T = tenured, TT = tenure-track, NTT = non-tenure-track, N = number. Totals may not add to 100 due to rounding.

SURVEY REPORT TABLE 7

Percent of Full-Time Faculty, by Rank, Gender, AAUP Category, and Affiliation, 2019–20

Academic Rank	All Combined				Public				Private-Independent				Religiously Affiliated			
	Men	Women	<i>N</i>	% of Total	Men	Women	<i>N</i>	% of Total	Men	Women	<i>N</i>	% of Total	Men	Women	<i>N</i>	% of Total
AAUP CATEGORY I (Doctoral)																
Professor	71.2	28.8	76,407	33.2	70.9	29.1	54,699	31.9	72.5	27.5	17,184	39.0	70.3	29.7	4,524	30.8
Associate	56.2	43.8	57,623	25.0	56.1	43.9	43,693	25.5	56.9	43.1	9,714	22.0	55.3	44.7	4,216	28.7
Assistant	50.4	49.6	52,519	22.8	50.3	49.7	41,194	24.0	51.8	48.2	8,397	19.1	48.2	51.8	2,928	19.9
Instructor	43.6	56.4	15,496	6.7	41.6	58.4	10,769	6.3	47.8	52.2	2,946	6.7	48.7	51.3	1,781	12.1
Lecturer	44.8	55.2	23,553	10.2	44.1	55.9	18,141	10.6	47.9	52.1	4,633	10.5	42.6	57.4	779	5.3
No Rank	45.1	54.9	4,500	2.0	43.5	56.5	2,845	1.7	47.7	52.3	1,193	2.7	48.5	51.5	462	3.1
All Combined	57.6	42.4	230,098	100.0	57.0	43.0	171,341	100.0	60.2	39.8	44,067	100.0	56.8	43.2	14,690	100.0
AAUP CATEGORY IIA (Master's)																
Professor	60.8	39.2	29,834	27.9	60.9	39.1	19,742	28.5	59.0	41.0	4,218	27.7	61.5	38.5	5,874	26.2
Associate	51.3	48.7	29,327	27.4	51.9	48.1	17,781	25.7	50.3	49.7	4,505	29.6	50.6	49.4	7,041	31.5
Assistant	44.4	55.6	28,584	26.7	45.9	54.1	17,750	25.6	43.3	56.7	4,227	27.8	41.2	58.8	6,607	29.5
Instructor	38.9	61.1	7,142	6.7	37.9	62.1	4,270	6.2	45.3	54.7	918	6.0	38.0	62.0	1,954	8.7
Lecturer	43.4	56.6	10,485	9.8	43.5	56.5	8,756	12.6	45.0	55.0	1,037	6.8	39.0	61.0	692	3.1
No Rank	45.2	54.8	1,490	1.4	47.2	52.8	983	1.4	42.8	57.2	297	2.0	39.5	60.5	210	0.9
All Combined	50.4	49.6	106,862	100.0	50.9	49.1	69,282	100.0	50.0	50.0	15,202	100.0	49.1	50.9	22,378	100.0
AAUP CATEGORY IIB (Baccalaureate)																
Professor	61.1	38.9	8,942	30.3	62.5	37.5	1,598	23.7	59.6	40.4	3,998	33.1	62.4	37.6	3,346	31.2
Associate	51.0	49.0	8,585	29.1	52.9	47.1	1,918	28.4	49.6	50.4	3,539	29.3	51.4	48.6	3,128	29.1
Assistant	44.7	55.3	8,155	27.6	46.4	53.6	2,088	31.0	44.8	55.2	2,958	24.5	43.5	56.5	3,109	29.0
Instructor	41.4	58.6	2,460	8.3	41.0	59.0	525	7.8	43.8	56.2	974	8.1	39.2	60.8	961	9.0
Lecturer	41.9	58.1	1,169	4.0	47.0	53.0	549	8.1	38.2	61.8	455	3.8	35.2	64.8	165	1.5
No Rank	57.7	42.3	241	0.8	69.1	30.9	68	1.0	53.7	46.3	149	1.2	50.0	50.0	24	0.2
All Combined	51.2	48.8	29,552	100.0	51.9	48.1	6,746	100.0	50.9	49.1	12,073	100.0	51.2	48.8	10,733	100.0
AAUP CATEGORY III (Associate's with Ranks)																
Professor	47.9	52.1	3,064	27.3	47.9	52.1	3,064	27.3	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
Associate	43.4	56.6	3,135	27.9	43.4	56.6	3,135	27.9	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
Assistant	46.4	53.6	3,149	28.1	46.4	53.6	3,149	28.1	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
Instructor	47.3	52.7	1,216	10.8	47.3	52.7	1,216	10.8	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
Lecturer	46.7	53.3	644	5.7	46.7	53.3	644	5.7	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
No Rank	53.8	46.2	13	0.1	53.8	46.2	13	0.1	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
All Combined	46.1	53.9	11,221	100.0	46.1	53.9	11,221	100.0	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
AAUP CATEGORY IV (Associate's without Ranks)																
No Rank	45.6	54.4	1,810	100.0	45.6	54.4	1,810	100.0	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
AAUP ALL CATEGORIES COMBINED EXCEPT IV																
Professor	67.2	32.8	118,247	31.2	67.3	32.7	79,103	30.4	68.2	31.8	25,400	35.6	64.6	35.4	13,744	28.8
Associate	53.9	46.1	98,670	26.0	54.3	45.7	66,527	25.5	53.8	46.2	17,758	24.9	52.1	47.9	14,385	30.1
Assistant	47.9	52.1	92,407	24.3	48.8	51.2	64,181	24.6	48.2	51.8	15,582	21.8	43.4	56.6	12,644	26.5
Instructor	42.3	57.7	26,314	6.9	41.1	58.9	16,780	6.4	46.5	53.5	4,838	6.8	42.3	57.7	4,696	9.8
Lecturer	44.3	55.7	35,851	9.4	44.0	56.0	28,090	10.8	46.7	53.3	6,125	8.6	40.3	59.7	1,636	3.4
No Rank	45.6	54.4	8,054	2.1	45.1	54.9	5,719	2.2	47.3	52.7	1,639	2.3	45.8	54.2	696	1.5
All Combined	54.7	45.3	379,543	100.0	54.7	45.3	260,400	100.0	56.4	43.6	71,342	100.0	51.9	48.1	47,801	100.0

Note: The table is based on 928 reporting institutions. For definitions of categories, see Explanation of Statistical Data. *N* = number. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV.

SURVEY REPORT TABLE 8

Full-Time Faculty Retirement Benefits, by AAUP Category and Affiliation, 2019–20

AAUP Category	Retirement Benefits					
	All Combined			Public		
	Percent Covered	Average Contribution (\$)	Percent of Salary	Percent Covered	Average Contribution (\$)	Percent of Salary
Category I (Doctoral)	97.1	12,033	10.8	97.6	11,605	11.4
Category IIA (Master's)	96.4	8,223	10.0	97.8	8,711	10.8
Category IIB (Baccalaureate)	94.9	8,537	10.2	98.6	10,130	13.4
Category III (Associate's with Ranks)	97.8	10,771	14.6	97.8	10,771	14.6
Category IV (Associate's without Ranks)	100.0	12,559	16.3	100.0	12,559	16.3
All Combined	96.8	10,659	10.7	97.7	10,745	11.4

AAUP Category	Private-Independent			Religiously Affiliated		
	Percent Covered	Average Contribution (\$)	Percent of Salary	Percent Covered	Average Contribution (\$)	Percent of Salary
	Category I (Doctoral)	96.0	13,849	9.6	94.9	11,237
Category IIA (Master's)	94.5	8,100	8.9	93.3	6,594	8.0
Category IIB (Baccalaureate)	94.4	9,707	9.9	93.3	6,186	8.4
Category III (Associate's with Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
Category IV (Associate's without Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
All Combined	95.4	12,002	9.5	93.8	8,024	8.7

Note: The table is based on 864 reporting institutions. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV. Figures represent institutions that provided retirement benefits data. Average contribution and percent of salary figures apply to faculty who were covered. The “total compensation” statistic was eliminated in 2019–20 to reduce the number of benefit items to three: retirement, medical, and dependent tuition. Retirement benefits include the contribution by the institution, state, and local government to the retirement plans but exclude payments for unfunded retirement liability, prepaid retiree health insurance, and social security.

SURVEY REPORT TABLE 9

Full-Time Faculty Medical Benefits, by AAUP Category and Affiliation, 2019–20

AAUP Category	Medical Benefits					
	All Combined			Public		
	Percent Covered	Average Contribution (\$)	Percent of Salary	Percent Covered	Average Contribution (\$)	Percent of Salary
Category I (Doctoral)	95.1	12,270	11.0	95.8	11,862	11.7
Category IIA (Master's)	92.5	11,160	13.5	95.9	11,183	13.8
Category IIB (Baccalaureate)	90.1	11,053	13.1	93.7	11,755	15.5
Category III (Associate's with Ranks)	93.6	12,472	16.8	93.6	12,472	16.8
Category IV (Associate's without Ranks)	94.3	13,886	18.0	94.3	13,886	18.0
All Combined	94.0	11,886	11.9	95.7	11,714	12.5

AAUP Category	Private-Independent			Religiously Affiliated		
	Percent Covered	Average Contribution (\$)	Percent of Salary	Percent Covered	Average Contribution (\$)	Percent of Salary
	Category I (Doctoral)	94.4	13,566	9.4	89.5	12,954
Category IIA (Master's)	87.5	11,616	12.8	84.9	10,754	13.1
Category IIB (Baccalaureate)	91.3	11,491	11.7	86.7	10,090	13.8
Category III (Associate's with Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
Category IV (Associate's without Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
All Combined	92.5	12,861	10.1	86.8	11,332	12.2

Note: The table is based on 861 reporting institutions. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV. Figures represent institutions that provided medical benefits data. Average coverage and percent of salary figures apply to faculty who were covered. The “total compensation” statistic was eliminated in 2019–20 to reduce the number of benefit items to three: retirement, medical, and dependent tuition. Medical benefits include institutional contributions to premiums for insurance plans combining medical, dental, and other health care but exclude long-term disability, Medicare, and life insurance.

SURVEY REPORT TABLE 10

Institutions Providing a Dependent Tuition Benefit to Full-Time Faculty, by AAUP Category and Affiliation, 2019–20

Dependent Tuition Waiver	Dependent Tuition Benefit							
	All Combined		Public		Private-Independent		Religiously Affiliated	
	<i>N</i>	Percent	<i>N</i>	Percent	<i>N</i>	Percent	<i>N</i>	Percent
AAUP CATEGORY I (Doctoral)								
Full	44	25.6	24	22.6	14	30.4	6	30
Partial	42	24.4	36	34.0	4	8.7	2	10
Full (Consortium)	7	4.1	1	0.9	4	8.7	2	10
Partial (Consortium)	8	4.7	8	7.5	n.d.	n.d.	n.d.	n.d.
Other	52	30.2	20	18.9	22	47.8	10	50
None	19	11.0	17	16.0	2	4.3	n.d.	n.d.
Total	172	100.0	106	100.0	46	100.0	20	100.0
AAUP CATEGORY IIA (Master's)								
Full	100	31.2	18	13.3	37	56.1	45	37.5
Partial	73	22.7	59	43.7	2	3.0	12	10.0
Full (Consortium)	12	3.7	2	1.5	1	1.5	9	7.5
Partial (Consortium)	8	2.5	4	3.0	n.d.	n.d.	4	3.3
Other	97	30.2	23	17.0	26	39.4	48	40.0
None	31	9.7	29	21.5	n.d.	n.d.	2	1.7
Total	321	100.0	135	100.0	66	100.0	120	100.0
AAUP CATEGORY IIB (Baccalaureate)								
Full	61	31.1	3	10.7	12	17.1	46	46.9
Partial	14	7.1	10	35.7	3	4.3	1	1.0
Full (Consortium)	13	6.6	n.d.	n.d.	6	8.6	7	7.1
Partial (Consortium)	7	3.6	n.d.	n.d.	3	4.3	4	4.1
Other	91	46.4	6	21.4	46	65.7	39	39.8
None	10	5.1	9	32.1	n.d.	n.d.	1	1.0
Total	196	100.0	28	100.0	70	100.0	98	100.0
AAUP CATEGORY III/IV (Associate's)								
Full	26	38.2	26	38.2	n.d.	n.d.	n.d.	n.d.
Partial	19	27.9	19	27.9	n.d.	n.d.	n.d.	n.d.
Full (Consortium)	2	2.9	2	2.9	n.d.	n.d.	n.d.	n.d.
Partial (Consortium)	3	4.4	3	4.4	n.d.	n.d.	n.d.	n.d.
Other	5	7.4	5	7.4	n.d.	n.d.	n.d.	n.d.
None	13	19.1	13	19.1	n.d.	n.d.	n.d.	n.d.
Total	68	100.0	68	100.0	n.d.	n.d.	n.d.	n.d.
ALL AAUP CATEGORIES COMBINED								
Full	231	30.5	71	21.1	63	34.6	97	40.8
Partial	148	19.6	124	36.8	9	4.9	15	6.3
Full (Consortium)	34	4.5	5	1.5	11	6.0	18	7.6
Partial (Consortium)	26	3.4	15	4.5	3	1.6	8	3.4
Other	245	32.4	54	16.0	94	51.6	97	40.8
None	73	9.6	68	20.2	2	1.1	3	1.3
Total	757	100.0	337	100.0	182	100.0	238	100.0

Note: The table is based on 757 reporting institutions. There were twelve institutions that reported full or partial tuition waivers for faculty on nine- or ten-month contracts but no tuition waivers for faculty on eleven- or twelve-month contracts. *N* = number. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV. One institution reported full tuition waiver for faculty on nine- or ten-month contracts and partial tuition waiver for faculty on eleven- or twelve-month contracts. The "total compensation" statistic was eliminated in 2019–20 to reduce the number of benefit items to three: retirement, medical, and dependent tuition. Dependent tuition benefits are collected as a categorical variable only. The categories are as follows: Full tuition waiver at this institution; Partial tuition waiver at this institution; Full tuition waiver at specified institutions through a consortium; Partial tuition waiver at specified institutions through a consortium; Other (with an open-text response field); and None.

SURVEY REPORT TABLE 11

Presidential Salary, by AAUP Category and Affiliation, 2019–20 (Dollars)

AAUP Category	Presidential Salary							
	All Combined				Public			
	Average	Median	Minimum	Maximum	Average	Median	Minimum	Maximum
Category I (Doctoral)	572,394	505,187	220,572	1,500,000	531,265	495,813	220,572	999,999
Category IIA (Master's)	349,817	325,000	95,324	872,405	308,029	294,583	146,528	872,405
Category IIB (Baccalaureate)	331,004	310,000	102,500	750,000	272,910	250,000	172,455	688,000
Category III (Associate's with Ranks)	266,473	241,727	142,857	489,357	266,473	241,727	142,857	489,357
Category IV (Associate's without Ranks)	228,208	222,742	192,000	262,700	228,208	222,742	192,000	262,700

AAUP Category	Private-Independent				Religiously Affiliated			
	Average	Median	Minimum	Maximum	Average	Median	Minimum	Maximum
Category I (Doctoral)	803,890	787,000	325,000	1,500,000	564,680	588,300	267,350	900,000
Category IIA (Master's)	457,624	420,240	189,487	830,000	347,927	344,355	95,324	711,900
Category IIB (Baccalaureate)	428,337	410,000	102,500	750,000	287,453	285,264	109,560	576,184
Category III (Associate's with Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
Category IV (Associate's without Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.

Note: The table is based on 593 reporting institutions. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV. For four institutions where supplemental pay far exceeded a president's base salary, the salary figure used here includes supplemental pay.

SURVEY REPORT TABLE 12

Comparison of Average Salaries of Presidents and Faculty, by AAUP Category and Affiliation, 2019–20

AAUP Category	Ratio of Presidential Salary to Average Full Professor Salary							
	All Combined				Public			
	Average	Median	Minimum	Maximum	Average	Median	Minimum	Maximum
Category I (Doctoral)	4.27	4.17	1.50	8.73	4.08	4.09	1.50	7.00
Category IIA (Master's)	3.72	3.60	1.33	9.93	3.26	3.17	1.33	9.01
Category IIB (Baccalaureate)	3.72	3.70	1.28	8.65	3.32	2.87	2.00	8.65
Category III (Associate's with Ranks)	3.06	2.82	2.15	5.37	3.06	2.82	2.15	5.37
Category IV (Associate's without Ranks)	3.42	3.37	2.21	4.48	3.42	3.37	2.21	4.48

AAUP Category	Private-Independent				Religiously Affiliated			
	Average	Median	Minimum	Maximum	Average	Median	Minimum	Maximum
Category I (Doctoral)	5.19	4.39	3.31	8.73	4.63	4.30	3.24	7.39
Category IIA (Master's)	4.47	4.18	2.95	9.93	3.91	3.88	1.38	7.44
Category IIB (Baccalaureate)	3.92	3.93	1.28	5.64	3.73	3.68	2.19	7.00
Category III (Associate's with Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
Category IV (Associate's without Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.

Note: The table is based on 593 reporting institutions. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV. For four institutions where supplemental pay far exceeded a president's base salary, the salary figure used here includes supplemental pay.

SURVEY REPORT TABLE 13

Chief Academic Officer Salary, by AAUP Category and Affiliation, 2019–20 (Dollars)

AAUP Category	Chief Academic Officer Salary							
	All Combined				Public			
	Average	Median	Minimum	Maximum	Average	Median	Minimum	Maximum
Category I (Doctoral)	382,848	385,125	169,000	828,000	371,029	360,811	196,086	709,324
Category IIA (Master's)	219,634	210,063	63,715	490,000	221,712	214,742	80,520	457,479
Category IIB (Baccalaureate)	182,463	177,500	52,000	370,800	156,573	148,949	101,911	248,880
Category III (Associate's with Ranks)	181,107	148,089	88,441	378,750	181,107	148,089	88,441	378,750
Category IV (Associate's without Ranks)	135,694	132,574	112,475	170,807	135,694	132,574	112,475	170,807

AAUP Category	Private-Independent				Religiously Affiliated			
	Average	Median	Minimum	Maximum	Average	Median	Minimum	Maximum
Category I (Doctoral)	463,129	400,000	231,750	828,000	335,465	409,892	169,000	538,200
Category IIA (Master's)	253,446	258,895	75,821	412,000	200,523	192,400	63,715	490,000
Category IIB (Baccalaureate)	222,374	206,021	112,100	370,800	164,358	159,000	52,000	306,136
Category III (Associate's with Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
Category IV (Associate's without Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.

Note: The table is based on 590 reporting institutions. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV. For one institution where supplemental pay far exceeded a chief academic officer's base salary, the salary figure used here includes supplemental pay.

SURVEY REPORT TABLE 14

Chief Financial Officer Salary, by AAUP Category and Affiliation, 2019–20 (Dollars)

AAUP Category	Chief Financial Officer Salary							
	All Combined				Public			
	Average	Median	Minimum	Maximum	Average	Median	Minimum	Maximum
Category I (Doctoral)	334,465	302,580	154,652	1,491,570	307,926	300,000	154,652	640,000
Category IIA (Master's)	208,260	193,836	75,000	580,000	195,931	192,868	80,400	323,446
Category IIB (Baccalaureate)	189,047	181,000	65,000	463,500	140,622	135,000	75,406	234,617
Category III (Associate's with Ranks)	169,408	141,252	58,297	327,726	169,408	141,252	58,297	327,726
Category IV (Associate's without Ranks)	128,188	121,471	105,027	160,995	128,188	121,471	105,027	160,995

AAUP Category	Private-Independent				Religiously Affiliated			
	Average	Median	Minimum	Maximum	Average	Median	Minimum	Maximum
Category I (Doctoral)	464,196	408,000	194,782	1,491,570	334,922	399,555	170,000	469,024
Category IIA (Master's)	262,521	250,000	100,000	454,506	196,296	187,500	75,000	580,000
Category IIB (Baccalaureate)	236,303	206,863	95,556	463,500	171,443	171,635	65,000	363,440
Category III (Associate's with Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
Category IV (Associate's without Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.

Note: The table is based on 553 reporting institutions. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV.

SURVEY REPORT TABLE 15

Average Amount Paid to Part-Time Faculty Members for a Standard Course Section, by AAUP Category and Affiliation, 2018–19 (Dollars)

AAUP Category	Part-Time Faculty Pay Per Section					
	All Combined			Public		
	Average	Minimum	Maximum	Average	Minimum	Maximum
Category I (Doctoral)	4,371	568	33,272	4,270	568	33,272
Category IIA (Master's)	3,333	771	28,800	3,287	771	28,800
Category IIB (Baccalaureate)	3,757	1,000	23,133	4,096	1,500	9,450
Category III (Associate's with Ranks)	2,833	675	11,263	2,833	675	11,263
Category IV (Associate's without Ranks)	2,263	1,000	4,125	2,263	1,000	4,125
All Combined	3,532	568	33,272	3,421	568	33,272

AAUP Category	Private-Independent			Religiously Affiliated		
	Average	Minimum	Maximum	Average	Minimum	Maximum
Category I (Doctoral)	4,620	2,325	25,000	4,501	1,333	12,000
Category IIA (Master's)	3,908	1,000	22,682	2,966	1,000	15,000
Category IIB (Baccalaureate)	4,600	1,000	23,133	3,113	1,000	13,333
Category III (Associate's with Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
Category IV (Associate's without Ranks)	n.d.	n.d.	n.d.	n.d.	n.d.	n.d.
All Combined	4,217	1,000	25,000	3,221	1,000	15,000

Note: This table is based on 370 reporting institutions. Pay is for the 2018–19 academic year to enable more institutions to report. The standard course section is three credit hours, with some exceptions; see notes to Appendix III. Minimum pay reported as less than \$500 per section or more than \$50,000 is excluded from the table but listed in Appendix III. For definitions of categories, see Explanation of Statistical Data. N.d. = no data. There were no private-independent or religiously affiliated institutions in categories III or IV. This table was corrected on April 13, 2020.

SURVEY REPORT TABLE 16

Institutional Contribution to Part-Time Faculty Retirement and Medical Benefits, by AAUP Category, 2018–19

AAUP Category	Institutions Contributing to Benefits for Part-Time Faculty (%)							
	Retirement				Medical			
	N	All	Some	None	N	All	Some	None
Category I (Doctoral)	63	15.9	31.7	52.4	62	12.9	43.5	43.5
Category IIA (Master's)	182	6.0	20.9	73.1	182	3.3	23.6	73.1
Category IIB (Baccalaureate)	138	0.7	29.0	70.3	138	0.0	27.5	72.5
Category III/IV (Associate's)	55	21.8	38.2	40.0	48	0.0	39.6	60.4
All Combined	438	7.8	27.2	65.1	430	3.3	29.5	67.2

Note: The table includes only institutions submitting data on part-time faculty pay and benefits. The proportion of part-time faculty receiving benefits was reported as All, Some, or None for each institution. This table was corrected on May 22, 2020.

SURVEY REPORT TABLE 17

Number of Institutions Included in Tabulations, by AAUP Category and Affiliation, 2019–20

AAUP Category	All Combined	Public	Private-Independent	Religiously Affiliated
Category I (Doctoral)	227	154	50	23
Category IIA (Master's)	390	182	74	134
Category IIB (Baccalaureate)	230	48	77	105
Category III (Associate's with Ranks)	70	70	0	0
Category IV (Associate's without Ranks)	11	11	0	0
All Combined	928	465	201	262

Note: No for-profit institutions are included in the tabulations. For definitions of categories, see Explanation of Statistical Data.

Explanation of Statistical Data

FULL-TIME FACULTY. The full-time faculty members reported in the survey are those included in the US Department of Education categories of “Primarily Instructional” and “Instructional/Research/Public Service,” regardless of whether they are formally designated “faculty.” They do not include clinical or basic science faculty in schools of medicine or military faculty. Full-time faculty members on sabbatical leave with pay are counted at their regular salaries even though they may be receiving a reduced salary while on leave. Full-time replacements for those on leave with pay are not counted. All faculty members who have contracts for the full academic year are included, regardless of whether their status is considered “permanent.” Institutions are asked to exclude (a) full-time faculty members on sabbatical or leave without pay; (b) full-time faculty members whose services are valued by book-keeping entries rather than by monetary payments unless their salaries are determined by the same principles as those who do not donate their services; (c) full-time faculty members who are in military organizations and are paid on a different scale from civilian employees; (d) administrative officers with titles such as academic dean, associate or assistant dean, librarian, registrar, or coach, even though they may devote part of their time to instruction, unless their instructional salary can be isolated; and (e) research faculty whose appointments have no instructional component.

The academic ranks assigned to full-time faculty members are those determined by the reporting institution. Not all institutions use all ranks, and the definitions vary by institution. Institutions have been instructed to report “visiting” faculty members and those with instructional postdoctoral appointments at the rank of instructor.

“No rank” full-time faculty members meet the other criteria for inclusion, regardless of whether they are formally designated as “faculty.” They may have titles such as “artist in residence” or “scholar in residence.” Institutions that do not assign faculty rank are instructed to report all full-time faculty members as “no rank.” (See also the definition of institutional category IV below.)

PART-TIME FACULTY. The part-time faculty members reported in the survey are those faculty members who were paid per section of course taught and defined by their institutions as employed less than full time. As with full-time faculty, part-time faculty members are those included in the US Department of Education categories of “Primarily Instructional” and “Instructional/Research/Public Service,” regardless of whether they are formally designated “faculty.” Clinical or basic science faculty in schools of medicine or military faculty are excluded. Individuals employed to meet short-term needs (for example, to cover a few weeks of a course) and students in the Federal Work-Study Program are excluded, even if their work has an instructional component.

The course sections for which part-time faculty pay is reported are those meeting the definition of an undergraduate class section in the Common Data Set for 2018–19 (<http://www.commondataset.org/>), item I-3: “an organized course offered for credit, identified by discipline and number, meeting at a stated time or times in a classroom or similar setting, and not a subsection such as a laboratory or discussion session. Undergraduate class sections are defined as any sections in which at least one degree-seeking undergraduate student is enrolled for credit. Exclude distance learning classes and noncredit classes and individual instruction such as dissertation or thesis research, music instruction, or one-to-one readings. Exclude students in independent study, co-operative programs, internships, foreign language taped tutor sessions,

practicums, and all students in one-on-one classes.” (Also see the notes to survey report table 14 and appendix III.)

SALARY. This figure represents the contracted academic-year salary for full-time faculty members excluding summer teaching, stipends, extra load, or other forms of remuneration. Department heads with faculty rank and no other administrative title are reported at their instructional salary (that is, excluding administrative stipends). Where faculty members are given duties for eleven or twelve months, salary is converted to a standard academic-year basis as determined by the institution. The factor used to convert salaries is reflected in the notes to appendices I and II.

CHANGE IN SALARY FOR CONTINUING FACULTY. The change in salary reported is for those 2018–19 full-time faculty members who remained employed as full-time faculty at the same institution for 2019–20. The change includes both promotions in rank and increases (or decreases) due to other factors.

BENEFITS. These figures represent contributions by the institution, state, and local government on behalf of individual faculty members; the amounts do not include employee contributions. The benefits reported in the survey include (a) retirement plan contributions, regardless of vesting provisions, excluding payments for unfunded retirement liability, prepaid retiree health insurance, and social security; (b) medical insurance contributions, including premiums for insurance plans combining medical, dental, and other health care, but excluding long-term disability, Medicare, and life insurance; and (c) tuition benefits available to faculty dependents. As with salary figures, retirement figures are converted to a standard academic-year basis as determined by the institution. Medical insurance contributions are not converted to an academic-year basis. Dependent tuition benefits were collected for full-time faculty as a categorical variable only (see survey report table 10). For part-time faculty, retirement and medical benefits were collected as categorical variables only (see survey report table 16). Not all institutions reported all items. Institutions were asked to provide their best estimate of the data for the entire academic year.

INSTITUTIONAL CATEGORIES. AAUP institutional categories are assigned to institutions by the AAUP Research Office based on the following institutional characteristics:

Category I (Doctoral). Institutions characterized by a significant level and breadth of activity in doctoral-level education as measured by the number of doctorate recipients and the diversity in doctoral-level program offerings. Institutions in this category grant a minimum of thirty doctoral-level degrees annually, from at least three distinct programs. (Awards previously categorized as first-professional degrees, such as the JD, MD, and DD, do not count as doctorates for this classification. Awards in the category of “doctor’s degree–professional practice” are reviewed on a case-by-case basis.)

Category IIA (Master’s). Institutions characterized by diverse postbaccalaureate programs (including first professional) but not engaged in significant doctoral-level education. Institutions in this category grant a minimum of fifty postbaccalaureate degrees annually, from at least three distinct programs. Awards of postbaccalaureate certificates are reviewed on a case-by-case basis.

Category IIB (Baccalaureate). Institutions characterized by their primary emphasis on undergraduate baccalaureate-level

education. Institutions in this category grant a minimum of fifty bachelor's degrees annually, from at least three distinct programs, and bachelor's and higher degrees make up at least 50 percent of total degrees awarded.

Category III (Associate's with Academic Ranks). Institutions characterized by a significant emphasis on undergraduate associate's degree education. Institutions in this category grant a minimum of fifty associate's degrees annually. Associate's degrees make up at least 50 percent, and bachelor's and higher degrees make up less than 50 percent, of total degrees and certificates awarded.

Category IV (Associate's without Academic Ranks). Institutions characterized by the criteria for category III but without standard academic ranks. An institution that refers to all faculty members as "instructors" or "professors" but does not distinguish among them on the basis of standard ranks should be included in this category. However, if an institution utilizes another ranking scheme that is analogous to the standard ranks, it can be included in category I, II, or III as appropriate.

ABBREVIATIONS USED IN APPENDICES I AND II. Academic Ranks: PR = Professor; AO = Associate Professor; AI = Assistant Professor; IN = Instructor; LE = Lecturer; NR = No Rank; AR = All Ranks. All institutions that do not assign professorial ranks are listed in appendix II.

Col. (1) Institutional Category—The definition of AAUP institutional categories is given above.

Col. (2) Institutional Control—PU = Public; PI = Private-Independent; FP = Private For-Profit; PR = Private-Religiously Affiliated.

Col. (3) Average Salary by Rank and for All Ranks Combined—This figure has been rounded to the nearest hundred. "All Ranks Combined" includes the rank of lecturer and the category of "No Rank." Salary averages are replaced by a dash (—) when the number of individuals in a given rank is fewer than three.

Col. (4) Percentage of Faculty Covered for Benefits and Benefits as a Percentage of Average Salary—Total benefit coverage for all ranks combined and expenditures as a percentage of average salary for faculty who are covered. RET = Retirement benefits (as defined above); MED = Medical benefits (as defined above).

Col. (5) Dependent Tuition Benefit—F = Full tuition waiver at this institution; P = Partial tuition waiver at this institution; FC = Full tuition waiver at specified institutions through a consortium; PC = Partial tuition waiver at specified institutions through a consortium; O = Other (with an open-text response field); N = None.

Col. (6) Percentage of Faculty by Tenure Status—T = Tenured; TT = Tenure-Track; NTT = Non-Tenure-Track. The figures represent the total number of full-time (FT) faculty members with a given tenure status.

Col. (7) Percentage Increase in Salary for Continuing Faculty—The percentage increase in salary for those 2018–19 full-time faculty members who remain employed as full-time faculty at the institution for 2019–20. This represents the average increase for individuals as opposed to a percentage change in average salary levels.

Col. (8) Number of Faculty Members by Rank and Gender—The figures represent the total number of full-time (FT) faculty members in a given rank by gender.

Col. (9) Average Salary by Rank and by Gender with Salary Equity Ratios—Same definition as that given for col (3) but by gender. Salary equity ratio is the ratio of women's to men's average salaries, multiplied by 100.

ABBREVIATIONS USED IN APPENDIX III

Col. (1) Institutional Category—The definition of AAUP categories is given above.

Col. (2) Institutional Control—The definition of institutional control is given above.

Col. (3) Part-Time Faculty Pay—NO. = The number of part-time faculty members paid on a per-section basis. MIN. (\$) = Minimum pay for a standard course section, whether from actual data or by policy. MAX. (\$) = Maximum pay for a standard course section, whether from actual data or by policy. AVG. (\$) = Average (mean) pay for a standard course section. *Col. (4) Part-Time Faculty Benefits*—RET = The proportion of part-time faculty members receiving an institutional contribution toward retirement benefits. MED = The proportion of part-time faculty members receiving an institutional contribution toward health-care benefits. None = no part-time faculty are eligible to receive benefits; Some = some part-time faculty are eligible to receive benefits; All = all part-time faculty are eligible to receive benefits.

Col. (5) Calendar—The institution's academic calendar.

Any inquiries concerning the data in this report may be directed to the AAUP Research Office. Email: aaupfcs@aaup.org.

Website: <https://research.aaup.org>.

STATEMENT ON DATA QUALITY

The AAUP Faculty Compensation Survey collects data from colleges and universities across the United States through an online portal. These data are reviewed through our internal verification process. Whenever the AAUP believes an error may have occurred, we ask institutional representatives to review the specific issues we identify. Nearly all institutions comply with our requests for additional review. If resubmitted data meet our internal standard, they are approved for inclusion in published tables and appendices. Questionable data without an institutional response may be excluded.

While the AAUP makes every effort to report the most accurate data, the published tables and appendices may include inaccuracies, errors, or omissions. Users assume the sole risk of making use of these data; under no circumstances will the AAUP be liable to any user for damages arising from use of these data. The AAUP publishes additions and corrections to the Faculty Compensation Survey results online and may make modifications to the content at any time.

Readers are requested to report possible errors in the published data to the AAUP Research Office at the email address above.

Policies on Academic Freedom, Dismissal for Cause, Financial Exigency, and Program Discontinuance

(JULY 2020)

I. Introduction

A central goal of the AAUP is to protect academic freedom, tenure, and due process by assisting faculty governance bodies and AAUP chapters in their efforts to incorporate AAUP-recommended policies in faculty handbooks and collective bargaining agreements. The AAUP achieves this goal in various ways, from directly assisting chapters and other faculty bodies in developing contract and handbook language to providing guidance on interpreting these policies. The enforcement of Association-recommended policies through the mechanism of investigation and censure also plays a role in the adoption of such policies.¹

This report provides a statistical analysis of the presence of AAUP-recommended policies on academic freedom, dismissal for cause, financial exigency, and program discontinuance in faculty handbooks and collective bargaining agreements. In the best of times, analysis of their prevalence could usefully inform the work of AAUP chapters, faculty governance bodies, and higher education unions, but given the impact of the COVID-19 crisis on campuses around the country, these data are now even more important to the advancement of the AAUP's principles and policies. Statistical evidence of the widespread adoption of AAUP policy statements in faculty handbooks and

contracts can reinforce the argument that institutional practices that depart from AAUP-supported standards are outside of the mainstream. Conversely, information about which institutional policies more frequently fall short of Association-recommended policies can be useful for faculty members engaged in reviewing regulations or contracts.

In 2000, Cathy Trower, who at the time was a researcher at the Harvard Graduate School of Education, edited a book in which she and a group of collaborators presented results of a survey of faculty appointment policies in faculty handbooks and collective bargaining agreements based on a stratified random sample of 217 four-year institutions of higher education.² The population from which the sample was drawn consisted of four-year institutions classified as bachelor's, master's, doctoral, and research institutions in the then most recent Carnegie classification system. The study compared institutional policies to applicable AAUP standards on academic freedom, tenure, and due process and reported on the prevalence of various types of policies.

The analysis conducted for this report partially replicates Trower's study to provide updated information about the prevalence of several appointment-related policies and to track changes that have occurred during the past two decades. Differences in prevalence based on Carnegie classification and on whether the faculty at the institution engages in collective

1. See Hans-Joerg Tiede, "Introduction: AAUP Policies and Their Effective Use," in AAUP, *Policy Documents and Reports*, 11th ed., (Baltimore: Johns Hopkins University Press, 2015), xiii–xxi, for an overview of AAUP policy for the purpose of incorporating it into institutional regulations.

2. Cathy Trower, ed., *Policies on Faculty Appointments: Standard Practices and Unusual Arrangements* (Boston: Anker, 2000).

bargaining provide important context for such findings and will be reported where relevant. The policy areas considered in this report are

- the provenance of academic freedom statements,
- grounds for dismissal for cause, and
- policies related to terminations of appointment because of financial exigency and program discontinuance.

Because of the close relationship of these types of policies to tenure, Trower restricted her analysis to institutions that had tenure systems. Of 217 institutions in her sample, 196 had a tenure system. This report has also restricted the analysis to institutions with tenure systems for the same reason and to make current results comparable to the prior findings. The analyses in this report are based on a sample of 198 institutions with a tenure system; 174 of those institutions (89 percent) were also in Trower's sample. Details about the sample and other methodological considerations can be found in the appendix.

It is important to note that both faculty handbooks and collective bargaining agreements can have varying degrees of legal enforceability. Although their legal status is not uniform, in some jurisdictions faculty handbooks are binding contracts, enforceable in court.³ Provisions in collective bargaining agreements are generally enforceable through a final and binding arbitration process, but this is not always the case. It is also worth bearing in mind that the scope of bargaining has different limitations in the various statutes that enable private- and public-sector collective bargaining. Thus, provisions addressing certain topics discussed here may be missing from a negotiated agreement specifically because they fall outside of the scope of bargaining. I made efforts to find applicable policies in other institutional regulations when necessary, and, in the case of academic freedom statements, I separately tracked whether the statement was located in the collective bargaining agreement or in other regulations, since the statements' location may affect enforceability. However, in its assessment of institutional regulations relative to Association-supported standards, this report considers neither differences in enforceability nor limitations to the scope of bargaining, although those

factors certainly matter to the overall assessment of such regulations. At some institutions, the regulations considered here apply to faculty members serving on contingent appointments, and at others there are separate regulations for those faculty members or even none at all. This study did not assess whether the policies analyzed here apply to faculty members on contingent appointments.

The Prevalence of Tenure and the Composition of the Population

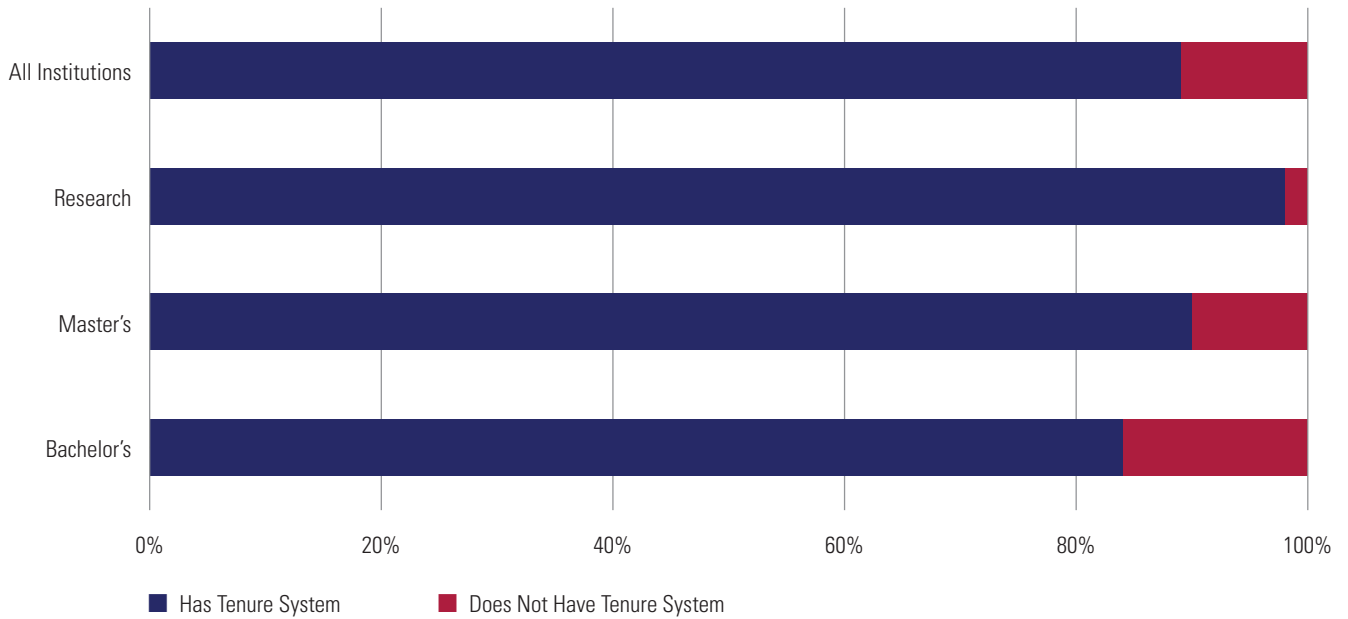
According to the Integrated Postsecondary Education Data System (IPEDS), in 2018 the United States had 1,308 four-year public or private not-for-profit institutions of higher education classified as bachelor's, master's, or research/doctoral institutions. Excluded from this population are two-year colleges, for-profit institutions, and specialized institutions, such as seminaries or free-standing law schools, some of which have tenure systems as well. According to IPEDS, 89 percent of the institutions in this population, a total of 1,170, report having a tenure system. The prevalence of tenure differs by institutional type: it is essentially universal at research institutions, and it is highly prevalent at both master's and bachelor's institutions (see figure 1). Again, following Trower's study, I have designed the analyses in this report to be generalizable only to the 1,170 four-year institutions that have a tenure system.

The sample makes it possible to estimate the prevalence of collective bargaining overall and according to institutional type (figure 2).⁴ Overall, tenured and tenure-track faculties at 19 percent of institutions that have a tenure system engage in collective bargaining. Collective bargaining is much more common among master's institutions (29 percent) than among bachelor's institutions (8 percent), with the prevalence at research institutions in between (18 percent). The relative rarity of collective bargaining at bachelor's institutions is, of course, related to the high prevalence of private control among those institutions (84 percent of bachelor's institutions are private, compared with 34 percent of research institutions and 37 percent of master's institutions), given that collective bargaining

3. For additional information, see AAUP, "Faculty Handbooks as Enforceable Contracts: A State Guide," <https://www.aaup.org/our-programs/legal-program/faculty-handbooks-guide>.

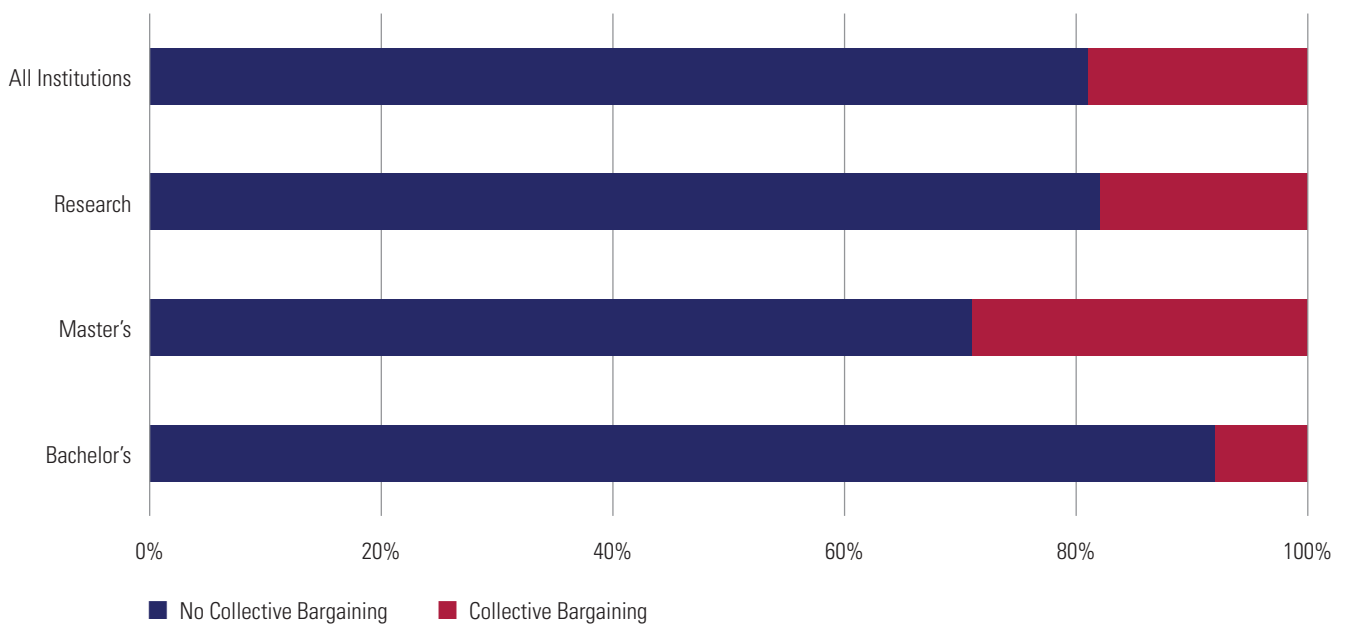
4. IPEDS does not collect information about whether faculty groups at an institution engage in collective bargaining, and I am not aware of any other current estimates of this prevalence. Thus, the numbers reported here, as well as all of the findings concerning faculty personnel policies in this report, estimate prevalence in the population on the basis of the sample. Such estimates have known margins of sampling error, which are briefly discussed in the appendix on methodology.

FIGURE 1
Prevalence of Tenure Systems



Source: IPEDS Human Resources Survey.

FIGURE 2
Percent of Institutions with Faculty Collective Bargaining



has been exceedingly uncommon at private institutions since the Supreme Court's 1980 decision *NLRB v. Yeshiva University*, in which most full-time faculty members in private institutions were denied the right to pursue collective bargaining under the legal framework of the National Labor Relations Act.

Academic Freedom

Throughout US higher education, the 1940 *Statement of Principles on Academic Freedom and Tenure*, formulated jointly by the AAUP and the Association of American Colleges and Universities and endorsed by more than 250 disciplinary societies and educational associations, serves as the locus classicus of the definition of academic freedom. The 1940 *Statement* contains the following three provisions on academic freedom:

1. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
2. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.
3. College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

The AAUP has supplemented this definition of academic freedom in many subsequent policy statements, including the 1970 interpretive comments, which the AAUP publishes together with the 1940 *Statement*, and interpretations in AAUP investigative reports that

deal with violations of academic freedom and tenure. The 1940 *Statement* thus constitutes the central element of the AAUP's policy on academic freedom and tenure, but it is still only part of a larger body of related policies. It is desirable, from the perspective of the Association, that academic freedom provisions in faculty handbooks and contracts be interpreted in light of the entirety of AAUP policies.

With respect to academic freedom statements, Trower's study categorized institutional regulations into four groups:

1. those that explicitly cite the 1940 *Statement* or quote extensively from it *with* attribution to the statement or to the AAUP
2. those that quote extensively from the statement *without* attribution
3. those that do not use language from the 1940 *Statement*
4. those that do not include a statement on academic freedom

In addition to providing a taxonomy of academic freedom statements, the four categories can arguably be regarded as forming a hierarchy with respect to adherence to AAUP standards. As noted above, the AAUP's policies on academic freedom and tenure take the 1940 *Statement* as their point of departure. Direct inclusion of the 1940 *Statement* and attribution to its AAUP source facilitate the argument that existing academic freedom language in faculty handbooks or collective bargaining agreements should be interpreted in light of derivative AAUP policy statements or investigative reports. Quoting the 1940 *Statement* directly, even without attribution, also facilitates such an argument.

This study found that the 1940 *Statement* continues to serve as the primary source for academic freedom language in institutional regulations (figure 3): not only do almost three-quarters of institutions with a tenure system (73 percent) base their academic freedom policy directly on the 1940 *Statement*, but more than half cite the AAUP as the source of their policy. Moreover, as figure 4 indicates, the prevalence of academic freedom policies attributed to the 1940 *Statement* has increased from 45 percent to 52 percent compared with Trower's study of 2000, while the number of institutions without an academic freedom statement has decreased from 8 percent to 3 percent. In both the 2000 and 2020 studies, 24 percent of institutions have academic freedom statements not based on the 1940 *Statement*. In light

FIGURE 3
The 1940 Statement is the Primary Source of Academic Freedom Language
 Provenance of Academic Freedom Statements, by Institution Type

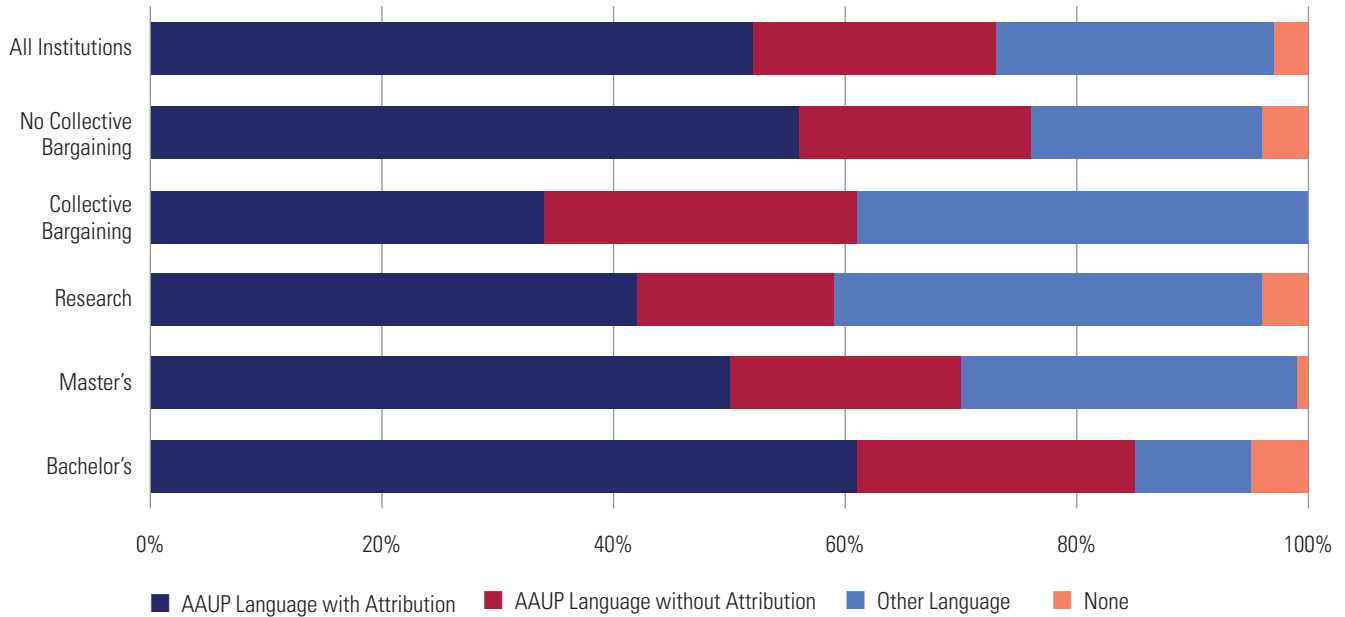
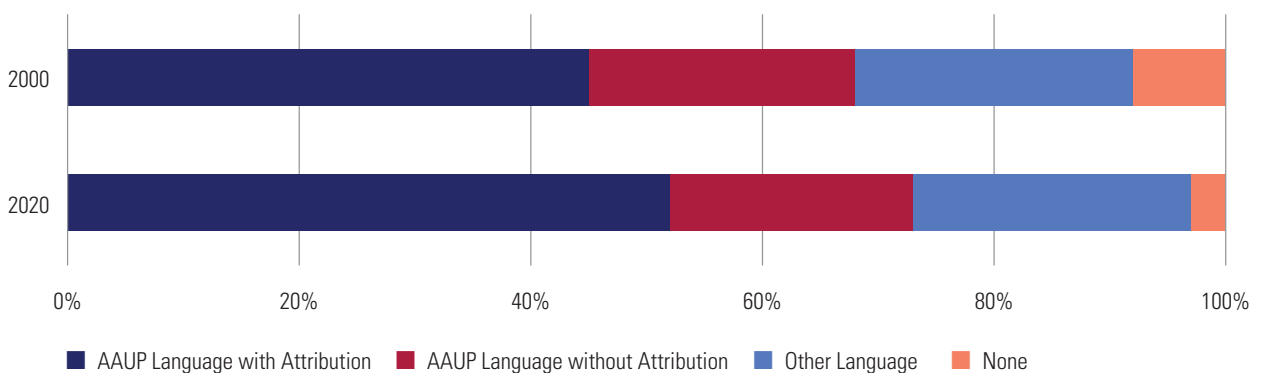


FIGURE 4
More Institutions Have Academic Freedom Policies and More Attribute Them to the AAUP
 Change in Provenance of Academic Freedom Statements, 2000 to 2020



of the hierarchical view of the categories proposed above, the overall findings indicate positive developments, especially the overall finding regarding the impact that the AAUP has had on academic freedom language: one would be hard-pressed to identify any

other language contained in three quarters of all faculty handbooks and contracts.

The prevalence of academic freedom statements varies both by institutional type and by the faculty's collective bargaining status. Research institutions

more frequently use academic freedom statements not based on the 1940 *Statement* (37 percent). Among bachelor's institutions, 85 percent have academic freedom statements based on the 1940 *Statement*, with 61 percent attributing the statement to its source. Fifty percent of master's institutions and 42 percent of research institutions attribute their academic freedom statements to the AAUP source.

It is worth noting that *all* of the collective bargaining institutions have academic freedom statements of some kind, while 4 percent of institutions without a faculty union lack academic freedom statements. On the other hand, the inclusion of statements not based on the 1940 *Statement* is more common at institutions with faculty unions than at those without. Additionally, 79 percent of institutions in which the faculty engage in collective bargaining incorporate the academic freedom statement into their contracts.

Dismissal for Cause

The AAUP has long held that protecting academic freedom requires faculty handbooks and collective bargaining agreements to include specific safeguards against arbitrary dismissal of faculty members. Policies governing faculty dismissals consist of procedural elements, such as those relating to the selection and composition of the faculty hearing body, and substantive elements—in particular, what qualifies as a ground for dismissal. The analysis in Trower's volume focused only on the substantive grounds for dismissal, and my analysis will thus proceed in the same way.

The *Statement on Procedural Standards in Faculty Dismissal Proceedings*, also jointly formulated by the AAUP and the Association of American Colleges and Universities, is the AAUP's primary policy statement on faculty dismissal. It makes the following observation about grounds for dismissal:

One persistent source of difficulty is the definition of adequate cause for the dismissal of a faculty member. Despite the 1940 *Statement of Principles on Academic Freedom and Tenure* and subsequent attempts to build upon it, considerable ambiguity and misunderstanding persist throughout higher education, especially in the respective conceptions of governing boards, administrative officers, and faculties concerning this matter. The present statement assumes that individual institutions will have formulated their own definitions of adequate cause for dismissal,

bearing in mind the 1940 *Statement* and standards that have developed in the experience of academic institutions.

As the above quotation notes, the 1940 *Statement* provides little guidance on acceptable grounds for dismissal. In fact, it lacks a full enumeration of such grounds, naming only "incompetence" and "moral turpitude." Subsequent AAUP policy documents and investigative reports have focused on grounds for dismissal that the Association has deemed *unacceptable*, including, for example, insubordination, membership in a political party (such as the Communist Party), and refusal to swear a disclaimer or loyalty oath.

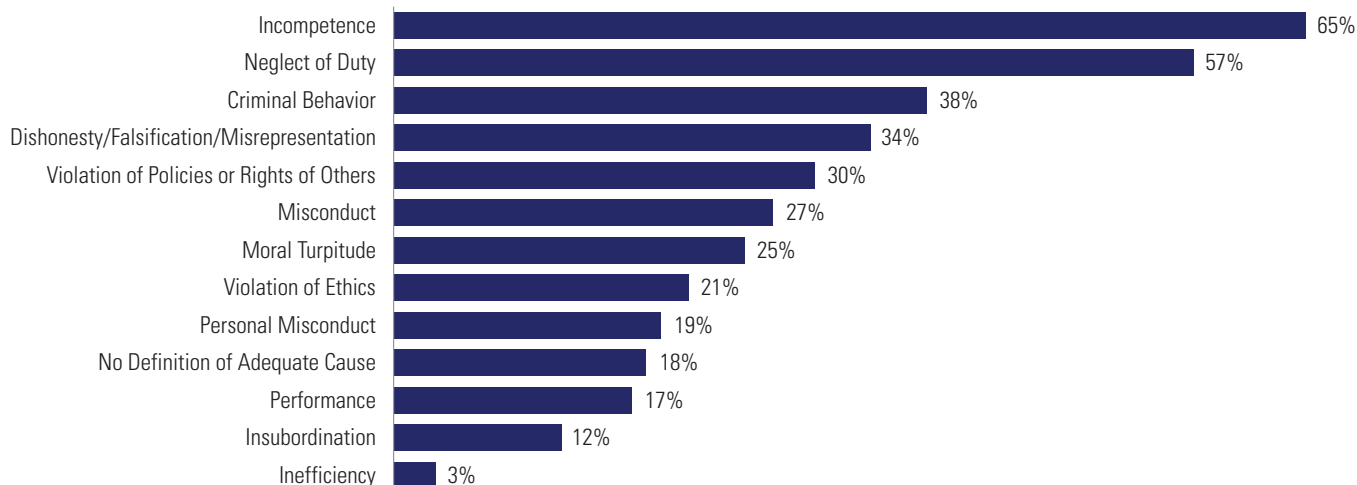
The derivative *Recommended Institutional Regulations on Academic Freedom and Tenure*, which contains formulations of the AAUP's procedural standards in a form suitable for direct incorporation into faculty handbooks and collective bargaining agreements, provides the following language on grounds for dismissal: "Adequate cause for a dismissal will be related, directly and substantially, to the fitness of faculty members in their professional capacities as teachers or researchers. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens." Although not providing a definition, the above language places limitations on what institutions can employ as adequate grounds for dismissal, and some institutions quote this provision in their regulations even if they go on to define "adequate cause" in further detail.

One additional source of policy language on dismissal is the 1973 report of the joint Commission on Academic Tenure in Higher Education, which was sponsored by the AAUP and the Association of American Colleges and Universities.⁵ The commission recommended that grounds for dismissal be restricted to "(a) demonstrated incompetence or dishonesty in teaching or research, (b) substantial and manifest neglect of duty, and (c) personal conduct which substantially impairs the individual's fulfillment of his [or her] institutional responsibilities."

This study shows that both the Association's position on grounds for dismissal and the recommendations of the commission are reflected in a large percentage of institutional regulations, some of which

5. Commission on Academic Tenure in Higher Education, *Faculty Tenure: A Report and Recommendations* (San Francisco: Jossey-Bass, 1973).

FIGURE 5
Prevalence of Grounds for Dismissal



use the commission’s formulation verbatim, although never with attribution.

Of the four grounds for dismissal listed by the commission, incompetence, neglect of duty, and dishonesty (together with falsification and misrepresentation) are the first, second, and fourth most common across all institutions (see figure 5): 65 percent of institutional regulations list incompetence; 57 percent list neglect of duty; 34 percent list dishonesty, falsification, or misrepresentation; and 19 percent list personal conduct. References to personal conduct (or “personal misconduct”) in institutional regulations at times do not qualify conduct that “substantially impairs” the faculty member’s “fulfillment of his [or her] institutional responsibilities,” which the joint commission’s language included. With or without that qualification, grounds for dismissal related to alleged personal misconduct are the ninth most frequent across all institutions.

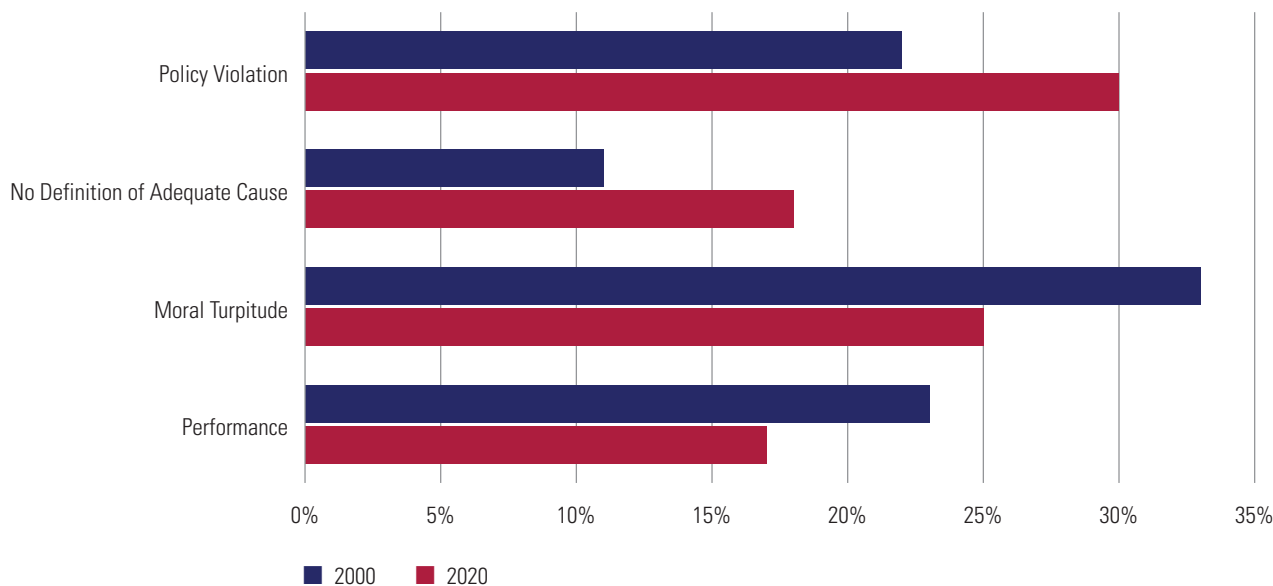
Figure 5 presents the overall findings concerning the prevalence of grounds for dismissal. Significantly, the grounds for dismissal that the AAUP has generally viewed as acceptable are the most common. Only the four least prevalent (no definition of “adequate cause,” performance-related, insubordination, and inefficiency) raise concerns relative to AAUP-supported standards, with the lowest-ranking two raising the most significant concerns. Inefficiency was found in only 3 percent of regulations, and other grounds not included in the figure are at odds with AAUP-supported standards are even less common. It is important to clarify that “no definition of adequate

cause” has a special role in this analysis: even though institutions can (and usually do) have more than one of the grounds for dismissal listed in figure 5, those that do not define “adequate cause” cannot include any of the other listed grounds in their regulations. In other words, institutions are included multiple times in the categories above, except for the case of those that give “no definition of adequate cause.”

A few observations concerning grounds for dismissal follow.

No definition of “adequate cause.” The prevalence of institutions that do not provide a definition for “adequate cause” in their official policies has increased from 11 percent to 18 percent in the twenty years since Trower’s study (figure 6). Because the Association has not articulated a complete definition of “adequate cause,” if institutional regulations leave the term undefined, AAUP-supported standards do not provide a complete definition upon which to rely (contrary to the situation for financial exigency, which will be discussed below). A majority (57 percent) of institutions with unionized faculties have institutional policies that do not define “adequate cause.” The prevalence of not having a definition of “adequate cause” varies among institutions without collective bargaining based on institutional type. Bachelor’s institutions without collective bargaining almost universally define “adequate cause” (3 percent do not define it), and 12 percent of research institutions and 14 percent of master’s institutions without collective bargaining do not define it. Contrary to the situation outside of collective bargaining, union contracts that specify only that dismissals can occur for

FIGURE 6
Change in Prevalence of Grounds for Dismissal, 2000 to 2020



“adequate” or “good” cause generally have arbitrary standards to rely on, which likely explains the difference in prevalence.

Certainly, the absence of either arbitrary standards or the general limitation on grounds for dismissal in the *Recommended Institutional Regulations* raises concerns that dismissal policies that lack a definition of “adequate cause” may not protect academic freedom sufficiently.

Violation of institutional policies or the rights of others. This category saw an increase in prevalence from 22 percent in 2000 to 30 percent in 2020 across all institutions (figure 6). This change may reflect an increase in institutional policies specified outside of the dismissal policy that may serve as grounds for dismissal, although this study did not separately assess that possibility. As Trower’s study noted, at some institutions, the dismissal policy explicitly cites sexual harassment as a ground for dismissal policies, while at other institutions, dismissals for sexual harassment are treated separately. For that reason, Trower’s study did not include violations of sexual harassment policies in the analysis of grounds for dismissal, and neither does this report. The present category includes only generic statements to the effect that violations of (unnamed) institutional policies or violations of the rights of others are grounds for dismissal. Examples of the latter encountered in the analysis include the following:

- “deliberate and serious violation of the rights and freedom of fellow faculty members, administrators, or students”
- “conduct that interferes with the rights and privileges of another member of the college community”
- “knowing or reckless violation of the rights and freedom of students or other employees of the university”

Moral turpitude. The frequency of this term in dismissal policies has declined since 2000 from 33 percent to 25 percent (figure 6), which may reflect a sense that the term is antiquated. Its prevalence differs between institutional types, with institutions that have faculty unions rarely employing it but more than a third of master’s institutions without collective bargaining including the term in their regulations.

I included institutions that identified “moral depravity” as grounds for dismissal in this count but not those that cited only “immoral conduct,” which seemingly designates a lesser infraction. The 1940 *Statement* provides a definition of moral turpitude in one of the 1970 interpretive comments:

The concept of “moral turpitude” identifies the exceptional case in which the professor may be denied a year’s teaching or pay in whole or in part. The statement applies to that kind of

behavior which goes beyond simply warranting discharge and is so utterly blameworthy as to make it inappropriate to require the offering of a year's teaching or pay. The standard is not that the moral sensibilities of persons in the particular community have been affronted. The standard is behavior that would evoke condemnation by the academic community generally.

Performance-related grounds. This category includes grounds that may raise concerns from an AAUP policy perspective, in particular when such grounds are directly tied to post-tenure review or annual reviews, such as in the following example found in the sample: "Non-reappointment of a tenured faculty person may occur as a result of 'cause,' which shall include 'chronic low performance,' defined as having received two consecutive 'Unsatisfactory' ratings." Overall, the use of performance-related grounds has fallen since 2000, from 23 percent to 17 percent. The central recommendation of the AAUP in this context, taken from *Post-Tenure Review: An AAUP Response*, is the following:

In the event that recurring evaluations reveal continuing and persistent problems with a faculty member's performance that do not lend themselves to improvement after several efforts, and that call into question his or her ability to function in that position, then other possibilities, such as a mutually agreeable reassignment to other duties or separation, should be explored. If these are not practicable, or if no other solution acceptable to the parties can be found, then the administration should invoke peer consideration regarding any contemplated sanctions.

The standard for dismissal or other severe sanction remains that of adequate cause, and the mere fact of successive negative reviews does not in any way diminish the obligation of the institution to show such cause in a separate forum before an appropriately constituted hearing body of peers convened for that purpose. Evaluation records may be admissible but rebuttable as to accuracy. Even if they are accurate, the administration is still required to bear the burden of proof and demonstrate through an adversarial proceeding not only that the negative evaluations rest on fact, but also that the facts rise to the level of adequate cause for dismissal or other severe sanction.

Insubordination. The analysis included related terms, such as "contumacious conduct," under this category. The use of this term in dismissal policies has increased since 2000, from 8 percent to 12 percent. The AAUP has long opposed insubordination as a ground for dismissal, as indicated by the following passage from the report of an investigating committee:

The characterization of [the faculty members'] conduct as insubordinate would seem more appropriate to a military organization or industrial enterprise than to an institution of higher learning. In the academic context, allegations of irresponsibility and unwillingness to cooperate place a damper upon academic freedom.⁶

Rare and unusual grounds for dismissal. The following examples from the sample of grounds for dismissal are found very rarely in institutional regulations. Because they relate to the reputation, interest, or mission of the institution and not to the subject faculty member's professional fitness, all of them depart from AAUP-recommended standards:

- "commission or omission as to any matter which reflects adversely upon the college or may jeopardize the college's reputation"
- "active and voluntary participation in activities deliberately and specifically designed to discredit the college"
- "other improper conduct which is seriously injurious to the best interests of the university or its components"
- "demonstrated lack of support for the mission of the university"
- "intransigent refusal to conform to university processes or policy where such behavior places the university at risk"

Financial Exigency Policies

The AAUP explicitly recognized financial exigency as grounds for the termination of appointments in the 1940 *Statement*. That document, however, does not define the term. It specifies only that such a condition should be "demonstrably bona fide." The AAUP also recognizes a bona fide program discontinuance for educational reasons, even in the absence of financial exigency, as a basis for terminating appointments.

6. "Academic Freedom and Tenure: Illinois College of Optometry," *Academe*, November–December 1982, 17a–23a.

A full set of procedural standards for both grounds, as well as definitions of the terms employed, are set forth in the *Recommended Institutional Regulations*. The primary concern of these standards is to discourage an administration from using either financial exigency or program discontinuance as pretext for violating faculty members' academic freedom.

In conducting research for this section and the next, I first identified in the handbooks and collective bargaining agreements policies for the termination of appointments based on financial and programmatic conditions. I classified as not having policies both those institutions whose handbooks or contracts made no mention of financial or programmatic grounds for terminating appointments and those that did but lacked any actual policies for implementing such terminations. Overall, 95 percent of institutions surveyed have financial exigency policies, and 85 percent of institutions have program discontinuance policies. Both types of policies increased in prevalence over the past two decades: in 2000, 91 percent of institutions surveyed had policies on financial exigency, and 81 percent had policies on program discontinuance. And both types of policies are more common at bachelor's and master's institutions than at research institutions. With respect to prevalence, little difference exists between institutions with faculty unions and those without faculty unions. In the following, the prevalence of features of these policies is calculated relative to the institutions that have such policies rather than to all institutions.

Key questions about policies for terminating faculty appointments based on financial grounds are whether they employ the term "financial exigency" to describe those grounds, whether they define "financial exigency" or another term used in its place, and from what source they have taken the definition. The AAUP consistently employs the term "financial exigency" in its policy documents and provides a specific definition, revised in 2013, in the *Recommended Institutional Regulations*. My analysis classified policies that employed either the pre-2013 or the current definition as being based on the AAUP's definition.

From the AAUP's perspective, employing the term "financial exigency" as well as the Association's definition of that term is clearly preferable to using other terms and definitions. In the absence of a definition, the AAUP's definition can be more easily invoked if the policies use "financial exigency" rather than another term. Thus, again, the analytical categories form a hierarchy relative to AAUP policy.

Overall, I found the use of the term "financial exigency" to be very common: 81 percent of institutions that have a policy that allows for the termination of appointments based on financial considerations use the actual term. There is a marked difference in prevalence in the use of the term between institutions that do and those that do not have faculty unions; the prevalence at the former is half (44 percent) of that at the latter (90 percent).

Figure 7 presents findings on the provenance of definitions of financial exigency in Trower's study and in the present study. Compared with 2000, fewer institutions today that have a financial exigency policy include no definition of the conditions in which the policy can be invoked (69 percent in 2000 compared with 55 percent today). The prevalence of the AAUP's definition has increased from 8 percent to 13 percent, while the inclusion of other definitions has increased from 23 percent to 33 percent. My analysis of the provenance of definitions includes both institutions that use the term "financial exigency" and those that do not, mirroring the analysis in Trower's study.

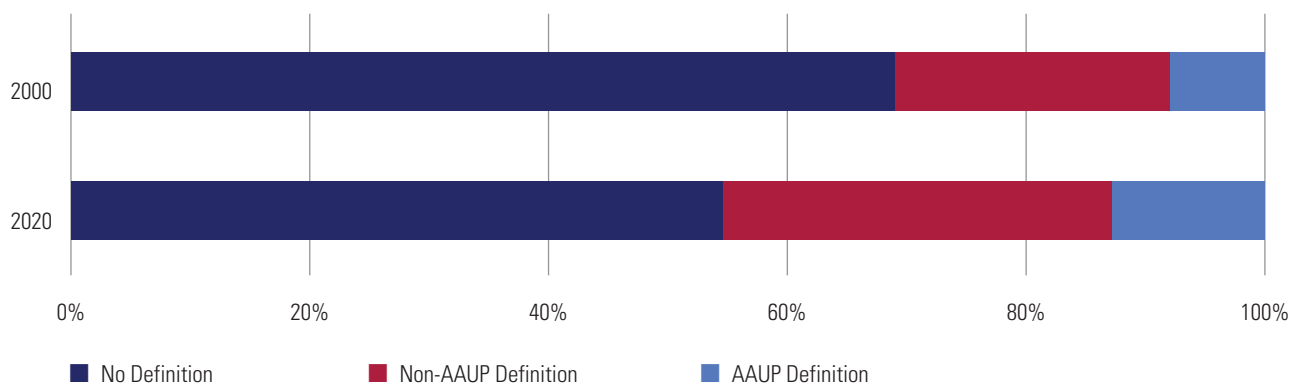
Regulation 4c of the *Recommended Institutional Regulations* includes procedural standards for terminating appointments because of financial exigency. Trower's study analyzed the following features of financial exigency policies; I provide for each a quoted passage from Regulation 4c to explain the AAUP's policy, as well as comments on the analysis:

- **Notice or severance.** According to the relevant provision from Regulation 4c, "In all cases of termination of appointment because of financial exigency, the faculty member concerned will be given notice or severance salary not less than as prescribed in Regulation 8." Regulation 8, in turn, provides for at least one year of notice for tenured faculty members whose appointments are terminated. I categorized any regulation in which notice or severance pay of some kind is required, even if it is less than what Regulation 8 calls for, as an instance of providing notice or severance salary.
- **Reinstatement.** Regulation 4c provides as follows: "In all cases of termination of appointment because of financial exigency, the place of the faculty member concerned will not be filled by a replacement within a period of three years, unless the released faculty member has been offered reinstatement and at least thirty

FIGURE 7

More Institutions Are Defining Financial Exigency

Change in Provenance of Financial Exigency Definitions, 2000 to 2020



days in which to accept or decline it.” Any policy that provides for reinstatement, even if the time period covered is shorter (or longer) than three years, was classified as providing for reinstatement.

- **Faculty role specified.** Regulation 4c calls for meaningful faculty involvement both in the declaration of a state of financial exigency and in the selection of individuals whose appointments are to be terminated. I categorized any policy in which the role of a faculty governance body or the faculty union was specified (even a role that departed from AAUP recommendations) as specifying the faculty role, unless that role was limited to the faculty’s merely being informed by the administration after the declaration had been made.
- **Another suitable position.** The relevant provision from Regulation 4c states, “Before terminating an appointment because of financial exigency, the institution, with faculty participation, will make every effort to place the faculty member concerned in another suitable position within the institution.” Some institutional regulations called for less than “every effort,” but these institutions were still included as providing for “another suitable position.”
- **Preference for tenured faculty.** The relevant provision from Regulation 4c states, “The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except in extraordinary circumstances where a serious distortion of the

academic program would otherwise result.”

Only regulations that give explicit preference to the retention of tenured faculty were counted as providing preference for tenured faculty. At some institutions, particularly at those with faculty unions, the contract or handbook based such preferences strictly on seniority rather than on tenure status. These were *not* included as preferring tenured faculty.

Together with the overall increase in the prevalence of financial exigency policies, the prevalence of the above listed features has either increased or, in one case, stayed unchanged since 2000 (figure 8). The largest increase compared with that study was in the number of policies that specify the role of the faculty, which increased from 50 percent to 66 percent.

The prevalence of each of these features is higher at institutions that have faculty unions than at those that do not (figure 9). The differences are quite large, with the largest being 37 percentage points for reinstatement (63 percent versus 100 percent). In the case of preference for tenured faculty, the difference is 31 percentage points (38 percent versus 69 percent), which does not account for the number of union contracts that give preference based strictly on seniority rather than on tenured status.

Program Discontinuance Policies

As noted in the previous section, the prevalence of program discontinuance policies has increased from 81 percent to 85 percent since 2000. The prevalence differs by institutional type, with such policies being

FIGURE 8

Change in Prevalence of Provisions in Financial Exigency Regulations, 2000 to 2020

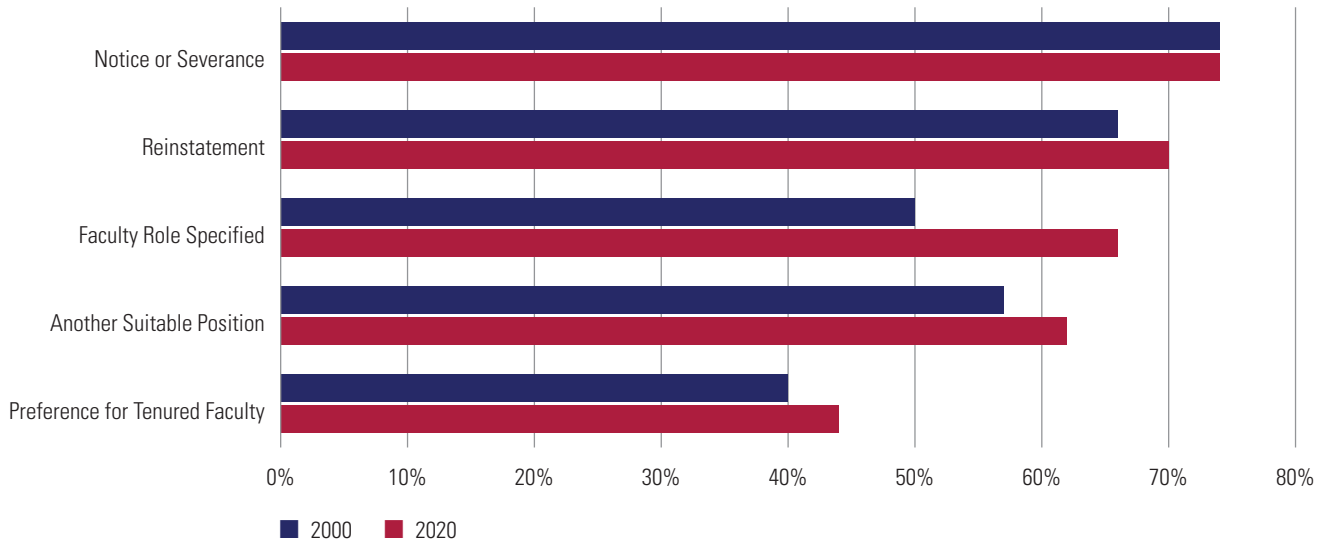
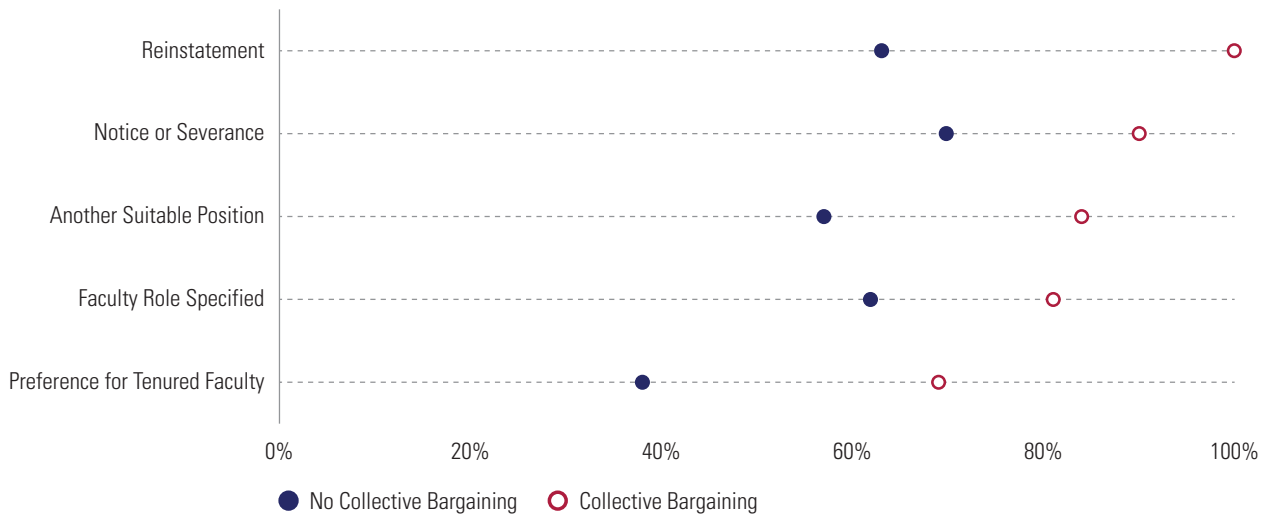


FIGURE 9

Provisions for Faculty in Financial Exigency Policies Are More Prevalent at Institutions with Faculty Collective Bargaining



least prevalent at research institutions, where only 75 percent of institutions have them.

The Association’s policies on termination of appointments because of program discontinuance specify that such a discontinuance needs to be

“based essentially upon educational considerations.” Regulation 4d of the *Recommended Institutional Regulations* notes, “Educational considerations’ do not include cyclical or temporary variations in enrollment. They must reflect long-range judgments

that the educational mission of the institution as a whole will be enhanced by the discontinuance.” Like Trower’s study, this study views policies that cite “academic” considerations or the outcomes of regular program review processes as involving educational considerations. The AAUP does not regard policies as based on educational considerations if they treat budgetary and educational considerations equally or include only budgetary considerations. The following provision from one of the handbooks in the sample illustrates the sort of grounds for program discontinuance against which Regulation 4d aims to guard: “Financial reasons which, though they do not constitute an emergency for the college as a whole, do suggest that continuation of the program would not be in the best interests of the college.” As was the case in Trower’s analysis, when a policy did not cite any specific grounds for program discontinuation, it was not considered to be limited to educational considerations.

The prevalence of discontinuance policies that limit themselves to educational considerations is 33 percent overall. Such policies are less common among collective bargaining institutions (26 percent) and among research institutions (19 percent) that have program discontinuance policies. The overall prevalence has declined somewhat since 2000, when it was 36 percent.

As with financial exigency policies, Trower analyzed some of the procedural features of program discontinuance policies. Again, I cite for each the relevant passage from the AAUP’s *Recommended Institutional Regulations*:

- **Notice or severance.** Regulation 4d states, “If no position is available within the institution, with or without retraining, the faculty member’s appointment then may be terminated, but only with provision for severance salary equitably adjusted to the faculty member’s length of past and potential service, an amount which may well exceed but not be less than the amount prescribed in Regulation 8.” Regulation 8, in turn, requires a minimum of twelve months of notice or severance for tenured faculty. Again, I classified any regulation in which notice or severance salary of some kind was specified, even if less than what Regulation 8 calls for, as requiring notice or severance salary.
- **Another suitable position.** According to Regulation 4d, “Before the administration issues

notice to a faculty member of its intention to terminate an appointment because of formal discontinuance of a program or department of instruction, the institution will make every effort to place the faculty member concerned in another suitable position.” Some institutions called for less than “every effort,” but I still included these institutions as requiring “another suitable position.”

- **Faculty role specified.** Regulation 4d regards “the faculty as a whole or an appropriate committee thereof” as primarily responsible for determining the educational considerations used to decide whether to discontinue a program. I categorized policies that included other specifications of the role of the faculty as specifying a role for the faculty so long as the administration did not merely inform the faculty a decision has already been made.
- **Retraining.** Regulation 4d adds to the provision regarding another suitable position, “If placement in another position would be facilitated by a reasonable period of training, financial and other support for such training will be proffered.”

Again, the prevalence of all of the analyzed features has increased since 2000 (figure 10), with policies specifying the faculty’s role in the decision-making processes increasing the most (from 53 percent to 62 percent). Providing notice or severance and making efforts toward finding another suitable position are both highly prevalent (83 percent and 76 percent, respectively). Both are more prevalent among program discontinuance policies than among financial exigency policies (where their prevalence is 74 percent and 62 percent, respectively).

The prevalence of these features differs markedly depending on the presence of a collective bargaining contract: all are more commonly found in contracts than in faculty handbooks (figure 11). The difference is largest with respect to policies that specify the role of the faculty (25 percentage points, with 82 percent of contracts specifying the role and only 57 percent of handbooks doing so).

Conclusion

This report has provided an overview of findings of a partial replication of a study of faculty appointment policies conducted twenty years ago. Central findings of the report are the following:

FIGURE 10
Change in Prevalence of Provisions in Program Discontinuance Regulations, 2000 to 2020

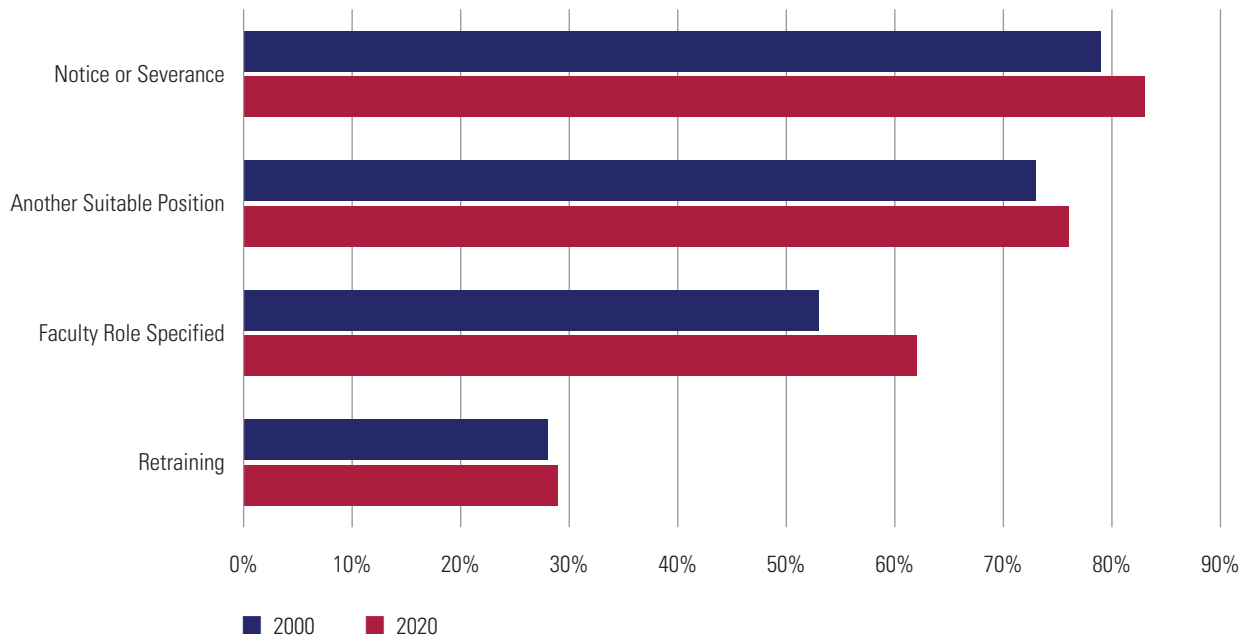
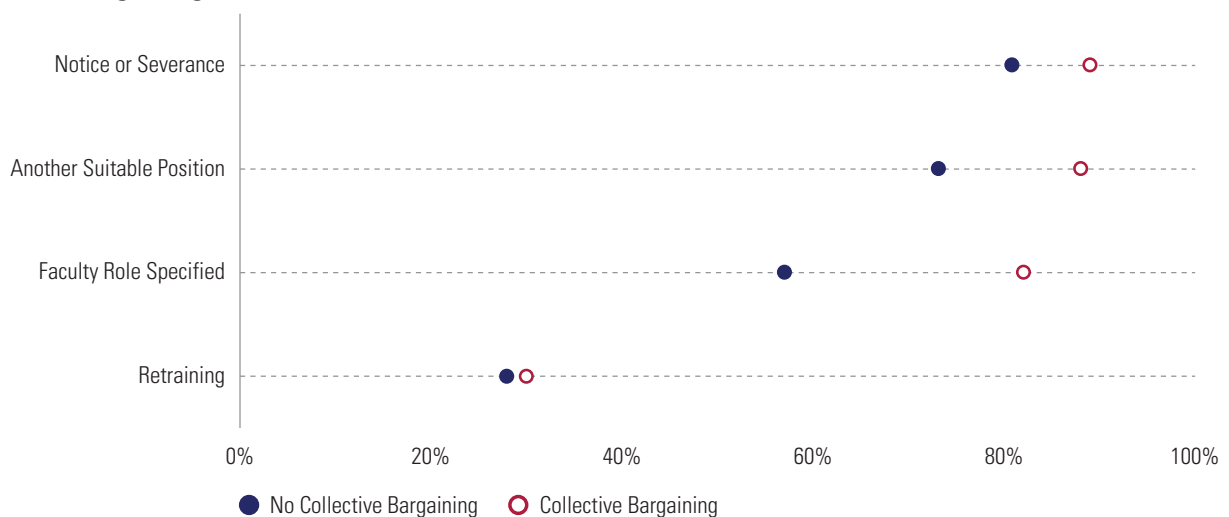


FIGURE 11
Provisions for Faculty in Program Discontinuance Policies Are More Prevalent at Institutions with Faculty Collective Bargaining



- The 1940 *Statement of Principles* continues to serve as the primary source of academic freedom language in faculty handbooks and collective bargaining contracts: 73 percent of institutions with a tenure system base their aca-

- demic freedom policy directly on it, and more than half attribute the language to the AAUP.
- Common grounds for dismissal for cause in faculty handbooks and contracts are consistent with the policies of the Association, and, con-

versely, those that the AAUP views as problematic are rare.

- Policies concerning terminations of appointment because of financial exigency have become more common, occurring at 95 percent of institutions. The prevalence of the term “financial exigency” in those policies differs between institutions that do and those that do not have faculty unions, with 44 percent prevalence at the former and 90 percent prevalence at the latter. The prevalence of procedural elements found in these policies has increased since 2000, with specific provisions concerning the role of the faculty increasing the most, from 50 percent to 66 percent. The prevalence of each of these procedural elements at institutions at which the faculty engage in collective bargaining is higher than at institutions without faculty unions.
- Policies concerning terminations of appointment because of program discontinuance have also become more common and can be found at 85 percent of institutions. The prevalence of program discontinuance policies that are “based essentially upon educational considerations” is less common among collective bargaining institutions (26 percent) than at those without faculty unions (33 percent). Again, the prevalence of all the analyzed features has increased since 2000, with the percentage of policies specifying the role of the faculty increasing the most (from 53 percent to 62 percent). All of these features are again more commonly found in collective bargaining contracts than in faculty handbooks.

To a limited extent, the prevalence of AAUP-supported procedural standards can be viewed as a proxy for how well academic freedom is protected at institutions in the population. That is, the reason that the AAUP advocates the inclusion of its policies in institutional regulations is that it believes that they serve to protect academic freedom, and thus the prevalence of such policies provides some indication of how well academic freedom is protected. These findings do, of course, have to be tempered with the observation that administrations and governing boards have been known to disregard their own institutional policies when taking various personnel actions. Nevertheless, changes in prevalence of these policies over the course of the past two decades provide information about changes in the nature of the protection of tenure and

in the climate for academic freedom. Of course, other ways to measure the climate for academic freedom should be considered and compared with the findings reported here in order to assess their usefulness.

Appendix: Methodology

The point of departure for this study was the stratified random sample of Trower’s study, which consisted of 217 institutions. The goal was to retain as many institutions as possible from the original Trower sample in order to increase the direct comparability between the two sets of results. The eight categories from the Carnegie classification system that Trower used to stratify her study’s sample—Research 1 and 2, Doctoral 1 and 2, Master’s 1 and 2, and Bachelor’s 1 and 2—are no longer reported in IPEDS. The present study instead employed the immediate successor classification system, Carnegie 2000, for which IPEDS still reports designations. The six categories in table 1 correspond to the eight previous categories and were employed here instead. For the purpose of the current analysis, each of the pairs of categories was combined into the three categories—Research, Master’s, and Bachelor’s—used throughout the report.

Of the 217 institutions in Trower’s sample, four have closed, five have merged with other institutions, and one no longer has a Carnegie classification that is represented among the categories used here. For the purpose of the current study, I replaced these ten institutions with institutions that were from the same states and shared similar characteristics. In the cases of three institutions that had merged with institutions that still belonged to the Carnegie classifications included in the sample, the merged institution was selected.

While Trower had to determine from institutional regulations the presence of a system of tenure at colleges and universities in her sample, IPEDS now collects information about the presence of a tenure system. This study used that information to restrict the sample to institutions with a tenure system. Since 2000, of the 217 institutions in Trower’s sample, four had adopted a tenure system, and three had abolished their existing tenure system. Some of the substitutions noted above also resulted in a modest change in the number of institutions with a tenure system in my sample; thus, while 196 institutions in Trower’s sample had tenure, the final number in the present sample is 198. The overlap of institutions with tenure systems between Trower’s sample and this sample consists of 174 institutions (89 percent of her sample).

TABLE 1

Number of Institutions in the Population and in the Sample, by Carnegie Classification

	Total Number (2018)	With Tenure (2018)	Sample Size
Doctoral/Research Universities—Extensive	151	151	43
Doctoral/Research Universities—Intensive	102	98	23
Master's Colleges and Universities I	467	431	60
Master's Colleges and Universities II	100	82	13
Bachelor's Colleges—Liberal Arts	213	196	31
Bachelor's Colleges—General	275	212	28

For this study I endeavored to collect faculty handbooks and collective bargaining agreements from the websites of all of the institutions and faculty unions in the sample. Twenty-nine institutions, however, restricted access to their handbook or contract by making it available on-campus only, often through a proprietary human resources portal. I contacted faculty members and administrators at these twenty-nine institutions with a request that they provide a copy of the current handbook or contract; fourteen agreed to do so. I substituted similar institutions for the fifteen nonrespondents, using information obtained from IPEDS to identify comparable institutions. Although substitution is not generally the preferred mechanism for addressing unit nonresponse in sample surveys, the institutions that declined to provide their regulations for this study differed by institutional type from the rest of the sample, thereby reducing the size of some of the strata to such an extent that, without substitution, would have affected variance estimation and thus margin of error. Of the twenty-nine institutions that restricted access to their regulations, twenty-three were bachelor's institutions and six were master's institutions. Five of the master's institutions submitted their regulations, and thus fourteen of the fifteen nonresponding institutions were bachelor's institutions. Substituted units were compared with those units that had submitted their restricted institutional regulations in order to determine whether the two groups differed systematically, which I found not to be the case.

I analyzed the regulations in the sample using qualitative analysis software, and I analyzed the results with a statistical software package. Although Trower's study used a stratified sample in which she selected institutions from each stratum with unequal probabilities (in other words, the sample was not

self-weighting), results reported in her study were not weighted. In order to improve the accuracy of the estimates, I weighted results from her study reported here whenever it was possible to do so, and I weighted the results of the present study with design weights and with post-stratification weights based on the prevalence of institutional control in the population.

Estimates of prevalence in the population made on the basis of a sample have a margin of sampling error. The margin of error depends on the size of the sample and of the prevalence itself. For a sample size of 198 (the overall sample of institutions with a tenure system) it is +/- 6.35 points when the proportion reported is 50 percent, which is when the margin of error is largest for a given sample size. Thus, for example, the estimate that 52 percent of institutions in the population have the 1940 *Statement* with attribution in their regulations has a 95 percent confidence interval of 45.5 percent to 58.4 percent. The margin of error is larger when statistics are reported for subpopulations (such as by Carnegie classification, collective bargaining status, and so forth). ■

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Report of Committee A on Academic Freedom and Tenure, 2019–20

Introduction

In the past year Committee A reviewed important cases and approved one investigative report for publication, monitored developments at censured institutions, and formulated recommendations on censure and censure removal. In addition, the committee engaged in fruitful discussion of several pressing issues on campuses nationwide that affect academic freedom, issuing in January a major statement, *In Defense of Knowledge and Higher Education*.

Judicial Business

Impositions of Censure

At its spring meeting Committee A considered one case that had been the subject of a staff investigative report published in January 2020. The committee adopted the following statement concerning this case. As a result of restructuring changes that took effect this year, the power to add an administration to the censure list now lies with the AAUP's governing Council, which voted to impose censure.

Pacific Lutheran University. The report prepared by the Association's staff concerned the dismissal of a part-time faculty member with forty years of service in the Department of Music at Pacific Lutheran University. In her long career at PLU, the faculty member had consistently defended her rights and the rights of other contingent faculty members.

In November 2018, the faculty member was summarily suspended from her teaching responsibilities for allegedly violating a directive that prohibited faculty members from accepting payment from PLU students for private music lessons given independently of the university. At a student's request, the faculty member had agreed to offer a course not available in the PLU music department and had subsequently refunded the small payment she had received. Following lengthy

correspondence between the AAUP's staff and the administration, in which the administration's representatives repeatedly shifted their characterization of the action against her, the PLU administration agreed to afford her a faculty dismissal hearing, as stipulated under AAUP-recommended standards.

At the hearing, which was attended by an observer representing the AAUP's national office, the administration took the position that it was not actually dismissing the faculty member. As a result, the faculty hearing body did not reach a determination whether the charges warranted dismissal. The procedure, the report observed, was a dismissal hearing in name only.

The staff report found that the PLU administration had acted in violation of the 1940 *Statement of Principles on Academic Freedom and Tenure* when it summarily dismissed the faculty member and then, in "bad faith," conducted a dismissal hearing that the report calls a "sham exercise." With respect to academic freedom, the report found that the relatively minor nature of the misconduct in which the faculty member was alleged to have engaged and the summary nature of the administrative action taken against her supported the inference that the real reasons for her dismissal may have stemmed from the administration's long-standing displeasure with her advocacy for the rights of faculty members on contingent appointments.

Committee A on Academic Freedom and Tenure therefore recommends to the Association's governing Council that Pacific Lutheran University be added to the AAUP's list of censured administrations.

Removal of Censure

At its spring meeting Committee A considered removing censure in one case and adopted the following statement concerning that case. Upon the committee's recommendation, the Council voted to remove this institution from the Association's list of censured administrations.

Clarkson College. The 1993 annual meeting imposed censure based on the report of an ad hoc investigating committee that found that, in terminating the services of four faculty members who had attained de facto tenure through length of service, the college's administration had afforded them scant notice and no opportunity to contest the action. The report also found that the college's policies lacked provisions affording minimal protections of academic due process (the college does not grant appointments with indefinite tenure). Three of the cases that led to the censure were resolved in 1995, and the fourth professor died in 2003. In 2017 the college's president contacted the AAUP's staff to inquire about removing the censure. The staff informed him that, as redress was no longer an issue, what chiefly remained to be accomplished were revisions to the faculty handbook that would address the procedural deficiency that led to the censure. The staff's letter proposed adding the following sentence to the faculty handbook: "Once a full-time faculty member has completed six years of service, subsequent reappointment is presumed unless cause for dismissal is demonstrated in a hearing before an ad hoc committee of the faculty senate." The staff's letter, however, received no answer.

In February 2020, a new administration contacted the Association's staff to convey the good news that, with the interim president's encouragement, the faculty senate had been reviewing the amendment proposed in the staff's 2017 letter. Following a conference call with the AAUP in which the president, the vice president, and three faculty senate leaders participated, the president wrote to inform the AAUP that within the next few months the faculty senate would vote to add the AAUP-proposed sentence to the faculty handbook. The president further informed the staff that the college would welcome a visit from an AAUP representative to assess current conditions for academic freedom. Despite the difficulties presented by the COVID-19 pandemic, on May 28 the faculty senate voted to adopt the AAUP-proposed language, and later that week the AAUP representative met virtually with members of the faculty and administration. Her report confirms that positive conditions for academic freedom and tenure, as well as shared governance, now exist at the institution. Favorable review by two administrative bodies in early June resulted in the final adoption of the proposed sentence.

Committee A on Academic Freedom and Tenure therefore recommends to the Association's governing Council that it remove Clarkson College from the AAUP's list of censured administrations.

Other Committee Activity

At its fall and spring meetings Committee A considered issues that have emerged around the country with potentially significant impact on the climate for academic freedom.

At its fall meeting the committee approved a major statement, *In Defense of Knowledge and Higher Education*, which was subsequently approved by the Council and released in January. The statement advances an impassioned argument for the importance of expert knowledge and the institutions of higher education that produce and transmit it. It raises alarm over efforts to dismiss scientific and other expertise that seriously threaten freedom of inquiry and of teaching. *In Defense of Knowledge and Higher Education* has been endorsed by the following organizations: American Federation of Teachers, American Historical Association, Association of American Colleges and Universities, American Society of Journalists and Authors, Association of University Presses, California State University Academic Senate, Council of University of California Faculty Associations, Faculty Association of California Community Colleges, National Coalition Against Censorship, PEN America, Phi Beta Kappa Society, and Woodhull Freedom Foundation. The spring 2020 issue of *Academe*, guest edited by Committee A member Joan Wallach Scott, was devoted principally to articles expanding on themes in the statement.

At its June meeting Committee A approved a statement, "Faculty Suspensions for Security Reasons," formulated jointly with the Committee on Gender and Sexuality in the Academic Profession. The statement addresses the issue of "administrators imposing suspensions not in order to sanction faculty members or to avoid legal exposure, but, ostensibly at least, in order to protect them and the campus from threatened violence." The statement "affirms the necessity of maximizing safety" but notes that when a faculty member is removed from the classroom in response to harassment, "the harassers have won." The text of the statement follows:

Faculty Suspensions for Security Reasons¹

In 2008, the AAUP report *The Use and Abuse of Faculty Suspensions* observed that removing

1. Administrations often avoid the word *suspension* and employ other terms, most commonly *administrative leave*. Regardless of what term an administration might choose to use, the AAUP regards any action to remove a faculty member from his or her primary responsibilities, whether all or some of them, as a suspension.

faculty members from their primary responsibilities “appears to have become almost a routine recourse for administrations seeking to discipline faculty members regardless of the seriousness of the alleged cause.” It cited a number of contemporary developments contributing to the administrative reliance on suspensions, such as the increased influence of campus legal counsel in protecting the university from perceived potential liability, especially “in the wake of heightened campus tensions ranging from fatal gunfire in a classroom to threatening graffiti that cause an entire campus to shut down.”

In 2019, the issue of faculty suspensions has reemerged on account of situations not fully envisioned in the 2008 report: administrators imposing suspensions not in order to sanction faculty members or to avoid legal exposure, but, ostensibly at least, in order to protect them and the campus from threatened violence. The heightened political polarization of American society, the proliferation of media outlets stoking outrage, and the social technologies at their disposal have made more and more faculty members targets of virulent harassment and threats of violence, threats that often extend to the entire campus. Extramural speech, teaching, and professional research related to gender and gender identity, sexuality, and race, particularly, have triggered intense backlash and garnered threats to the livelihoods and lives of those who engage in them.² In this age of mass shootings, administrators are more frequently removing threatened faculty members from the classroom for the express purpose of reducing the possibility of violence erupting on campus.

The AAUP’s 2017 statement *Targeted Online Harassment of Faculty* urges “administrations, governing boards, and faculties, individually and collectively, to speak out clearly and forcefully to defend academic freedom and to condemn targeted harassment and intimidation of faculty members.” However, it does not make a recommendation regarding what administrators should do when these attacks appear to present a genuine threat of immediate harm to the university community. The 2008 report does discuss suspensions

where such potential exists, but it understands the faculty members themselves to embody that threat, either to themselves or to others. In faculty suspensions for security reasons, administrators suspend a faculty member when external parties threaten that individual and, directly or indirectly, the campus community. In these cases, administrators’ stated goal is to protect the faculty member and the campus from threats of violence. While the AAUP affirms the necessity of maximizing safety, we must ask how universities in these situations can minimize damage to the academic freedom of the faculty member and the campus.

When an administration removes a faculty member from the classroom, the harassers have won. Faculty suspensions can thus end up serving the interests of the external parties whose object is to suppress the faculty member’s speech. If administrations too readily suspend targeted faculty members in response to safety concerns, those who wish to silence faculty members may choose to employ threats of violence as a strategy.

Recommendations:

1. Suspension should be employed only as a last resort and will be with pay. Campus safety can be protected by other means; the safety of a threatened instructor may in some cases be ensured by temporarily moving classes into an online format.
2. Before imposing a suspension in those situations in which imminent harm to the faculty member and others is threatened, the administration should consult with a duly constituted faculty body and with the faculty member “concerning the propriety, the length, and the other conditions of the suspension.” In consultation with institutional officers responsible for campus safety, the faculty body should assess the credibility and scope of the threat, make recommendations on measures to protect the faculty member and the campus community, and identify the conditions under which reinstatement should occur.
3. If suspension is deemed necessary, the administration should specify in writing that the suspension is not disciplinary in nature, will not affect future decisions relating to the faculty member’s appointment status, and will be brought to an end as soon as possible.
4. When the threat of immediate harm has passed, the administration should restore the suspended

2. See Carolyn Gallaher, “War on the Ivory Tower: Alt Right Attacks on University Professors,” 2018, <http://feature.politicalresearch.org/war-on-the-ivory-tower>.

faculty member to his or her responsibilities immediately. If the administration declines to do so, or delays action once the threat has been addressed, the faculty member is entitled to a hearing before an elected faculty body, in which the administration must demonstrate cause for continuing the suspension. As the 2008 report stated, “Suspension without a hearing, or a hearing indefinitely deferred, is tantamount to dismissal.”

For some time Committee A and the Committee on Gender and Sexuality in the Academic Profession have jointly participated in a subcommittee on Title IX enforcement. On May 6 the US Department of Education released its final rule revisions under Title IX. The AAUP had earlier submitted comments on the proposed revisions in response to the secretary of education’s 2018 request. In May the subcommittee issued a statement, which noted that the “final regulations appear to take into account some of the AAUP’s comments, while others were not addressed. Still others—those that emphasized the need to protect academic freedom—are gestured to repeatedly in the comment section of the new regulations, but the regulations themselves fail to adequately protect faculty academic freedom inside or outside the classroom.”

The committee also heard reports from AAUP national staff member Hans-Joerg Tiede on the progress of a special project to survey the extent to which faculty handbooks and collective bargaining agreements embody AAUP academic freedom principles. The resulting research report, printed elsewhere in this issue, is the first such study to be conducted in over twenty years.

Finally, I should note that Committee A, like the Association as a whole, has sought to respond to the challenge posed for our Association and our

profession by the COVID-19 pandemic. The committee’s spring meeting was conducted on the Zoom platform, and much of the meeting was taken up with initial discussions of the implications for both academic freedom and shared governance of the pandemic’s effects. Such discussion will continue, but the committee believes that our response cannot be limited to case-by-case reports. The crisis will also militate closer collaboration between Committee A and the Committee on College and University Governance. Hence, the chair of that committee, Michael DeCesare, participated in our meeting. Potential models for a response by the committees include the special investigation conducted in the wake of Hurricane Katrina and the special report from the 1950s on the impact of the post–World War II Red Scare. Of course, whatever contributions Committee A may be able to make, bold and energetic organizing by members at the national, state, and chapter levels will be most critical in responding to this crisis.

Conclusion

I want to thank the members of Committee A for their tireless work on behalf of the principles of academic freedom, our profession, and the AAUP. I would also like to thank the members of the Department of Academic Freedom, Tenure, and Governance as well as other members of our devoted and hard-working national staff for their support of the committee and their tireless efforts on behalf of academic freedom, shared governance, and the common good throughout higher education.

HENRY REICHMAN (History), *chair*
California State University, East Bay

Cases Settled through Staff Mediation

The following accounts exemplify the efforts of Committee A’s staff to resolve complaints and cases during the 2019–20 academic year.

The staff has for several years been advising a notably active AAUP chapter at a private college in the Northwest. Like so many colleges and universities today, the institution is confronting challenges arising from enrollment declines and consequent financial

shortfalls. Benefiting from a faculty handbook that fully incorporates AAUP-recommended standards, the chapter and faculty governance bodies have so far prevented attempts by the governing board and administration to address the college’s financial

problems by reducing the size of the faculty in disregard of AAUP-supported standards.

In summer 2019, however, the chapter found itself in special need of staff assistance as it attempted to help a tenured faculty member with thirty-one years of service to whom the administration had presented a Hobson's choice: either accept reassignment to a staff position or be summarily dismissed. In an advisory letter to the faculty member, the AAUP staff member pointed out that the first alternative was tantamount to a suspension, since it entailed removing him from his primary responsibilities, and the second was "completely unacceptable" under AAUP-supported standards, which require affordance of an adjudicative hearing of record before an elected faculty body prior to dismissing a professor with tenure. The staff encouraged the faculty member, now armed with the advisory letter, to avail himself of the AAUP-friendly grievance procedures in the faculty handbook. He did so, and in January the faculty grievance committee issued its report, with the recommendation that "the college respect [the professor's] tenured status" and immediately "withdraw its insistence that he accept a staff position and reinstate him as a faculty member." Although the chair of the grievance committee reportedly had to threaten taking the issue to the full faculty to get the president's assent, assent eventually came.

In an email message to the staff conveying his gratitude, the reinstated faculty member wrote, "Thank you for all the assistance you and the AAUP provided through my grievance process." He also gave well-deserved credit to his stalwart chapter and the "strength of the faculty handbook."

* * *

The AAUP chapter at a religiously affiliated liberal arts college in the Midwest reached out to the Association's staff this spring after the college's governing board issued "contract" letters to continuing faculty members asserting the administration's right to terminate faculty appointments with twenty-four hours' notice and no severance pay. The letters stated the administration could so act "at its sole discretion" if it determined that "any Force Majeure" related to the COVID-19 crisis had occurred. The letters gave faculty members two weeks to sign, with failure to do so resulting in instant termination. By adding similar force majeure language to the college's layoff policy, the board rendered it essentially void.

At the same time the administration issued notice of termination, with one day of prior notice, to five tenure-track and tenured faculty members, along with separation agreements containing a general release, an agreement not to sue, and nondisparagement and non-disclosure clauses. The agreements offered one year of salary in exchange for the faculty member's signature.

The staff offered to write an advisory letter to the chapter addressing these issues, with the stated expectation that the chapter would share the letter with the administration and board. The chapter having accepted the offer, the staff wrote a lengthy letter explaining the meaning and critical importance of academic freedom, tenure, governance, and due process and showing how the reported actions of the administration and governing board were "antithetical to academic freedom and tenure," "inimical to principles of shared governance," and completely at odds with AAUP-supported procedural standards governing nonrenewals and dismissals.

The chapter president immediately shared the letter with the administration and governing board, a committee of which was then reviewing the appeals of three full-time faculty members who had received the notice of termination and separation agreement. Several days later one of the affected faculty members wrote the Association's staff to share the welcome news that the board had reinstated all three. The faculty member expressed her gratitude for the advisory letter, which, she wrote, seemed to "have made some impact on our leadership," adding, "I remain a proud and appreciative AAUP member." ■

Report of the Committee on College and University Governance, 2019–20

The work of the 2019–20 Committee on College and University Governance included monitoring developments related to a governance investigation completed last year, issuing two statements, and leading breakout sessions following a staff-led public webinar on academic governance.

Last year, the committee adopted and provided to the Council and the 2019 annual meeting, as an informational item, a statement regarding an investigation at Maricopa Community Colleges in Arizona. The statement concluded as follows: “The Committee on College and University Governance concurs in the findings and conclusions of the investigating committee. It condemns the deplorable actions of the Maricopa County Community College District’s governing board under its former leadership. As sound principles of academic governance are in the process of being restored, the committee has asked the AAUP’s staff to keep it well informed.”

The main development over the past year is that the Maricopa County Community College District (MCCCD) Faculty Executive Committee has been reinstated as the primary systemwide governance body. This followed the sudden announcement that the chancellor at the time of last year’s investigation unexpectedly resigned in January 2020; a search is underway for her successor. More recently, the staff member to the Committee on College and University Governance provided assistance to a group from MCCCD with a newly formed academic freedom committee, which was created in response to an incident there. While that is good news, the national staff also received an expression of concern that faculty on contingent appointments were not allowed to serve on the academic freedom committee, echoing concerns that had been expressed to the investigating committee during its site visit.

The committee also issued two statements this year. The first was in response to the announcement

in November by the University of Wisconsin system’s board of regents of the appointment of a nine-member committee charged with searching for a new system president. The search committee did not include a single member of the faculty or academic staff, a decision that not only broke decades of institutional precedent but clearly violated long-standing and widely accepted standards for academic governance as set forth in the AAUP’s *Statement on Government of Colleges and Universities*. Condemnation of the board’s decision to exclude faculty was swift and extensive. The committee’s statement concluded, “The AAUP’s Committee on College and University Governance shares [the] widespread concerns about the composition of the presidential search committee and its implications for the process of selecting the UW system’s next leader. The committee therefore calls on the UW board of regents to realign itself with traditional norms of academic governance, as well as with its own decades-long practice, by immediately expanding the presidential search committee to include a significant number of elected faculty, academic staff, and student representatives as voting members.”

The committee released a second, more general statement, “Principles of Academic Government during the COVID-19 Pandemic,” in June. It reads as follows:

In response to growing concern over unilateral actions taken by governing boards and administrations during the COVID-19 pandemic, the Committee on College and University Governance affirms that the fundamental principles and standards of academic governance remain applicable even in the current crisis. These principles are set forth in the AAUP’s *Statement on Government of Colleges and Universities*, formulated in cooperation with the Association of Governing Boards

of Universities and Colleges and the American Council on Education.

The *Statement on Government* famously recommends “adequate communication” and “joint planning and effort” (commonly referred to as “shared governance”) among governing board, administration, faculty, and students. A key principle articulated in the *Statement on Government* is that, within the context of shared governance, the faculty has “primary responsibility” for decisions related to academic matters, including “curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process.” Although the statement acknowledges that governing boards have final decision-making authority (and may have delegated this power in certain areas to the president), it asserts that that authority “should be exercised adversely only in exceptional circumstances, and for reasons communicated to the faculty.” Under the *Statement on Government*, decisions to revise (even if only temporarily) tenure and promotion procedures and standards, to elect a preferred method of delivering courses, or to replace letter grades with pass-fail or incomplete designations fall within the faculty’s area of primary responsibility. Even in areas in which the faculty does not exercise primary authority—such as whether and how to reopen campus, budgetary matters, and long-range planning—the faculty still has the right, under widely observed principles of academic governance, to participate meaningfully. No important institutional decision should be made unilaterally by administrations or governing boards.

Nor should administrations or governing boards suspend provisions of faculty handbooks or collective bargaining agreements in reaction to the COVID-19 crisis by invoking “force majeure,” “act of God,” “extraordinary circumstances,” or the like. The AAUP addressed this issue in its 2006 investigation of five New Orleans institutions that terminated the appointments of faculty members in response to the disastrous effects of Hurricane Katrina the previous summer. The investigating committee observed that “the relevant AAUP-supported policies—most notably those that recognize the special challenge of ‘financial exigency’—are sufficiently broad and flexible to accommodate even the inconceivable disaster.”

The investigating committee also found that the LSU Health Sciences Center violated the provisions of Regulation 4c, “Financial Exigency,” of the AAUP’s *Recommended Institutional Regulations on Academic Freedom and Tenure*. As its title suggests, the purpose of Regulation 4c is to set forth procedural standards for a financial emergency—standards that safeguard academic freedom and tenure and that ensure meaningful faculty participation in decision-making. Obviously, suspending the faculty handbook or specific articles of the collective bargaining agreement for the ostensible purpose of grappling with a disaster but for the real purpose of circumventing these standards is inimical to principles of shared governance and academic freedom.

As the authors of the Katrina report observed,

However cumbersome faculty consultation may at times be, the importance and value of such participation become even greater in exigent than in more tranquil times. The imperative that affected faculties be consulted and assume a meaningful role in making critical judgments reflects more than the values of collegiality; given the centrality of university faculties in the mission of their institutions, their meaningful involvement in reviewing and approving measures that vitally affect the welfare of the institution (as well as their own) becomes truly essential.

The COVID-19 pandemic must not become the occasion for administrations or governing boards to jettison normative principles of academic governance. The Committee on College and University Governance regards such a course of action as not only unacceptable but detrimental to both the effective operation and the welfare of the institution. During this challenging time, the committee calls upon administrations and governing boards, in demonstrated commitment to principles of shared governance, to maintain transparency, engage in “joint effort,” and honor the faculty’s decision-making responsibility for academic and faculty personnel matters as the most effective means of weathering the current crisis.

Finally, and also in June, staff in the Department of Academic Freedom, Tenure, and Governance presented a well-attended public webinar, “Shared

Governance in Perilous Times.” The following day, members of the committee led eight online breakout sessions to field questions about what was presented during the webinar and to discuss experiences and strategies on the participants’ campuses. The committee did the same as part of the AAUP’s online 2020 Summer Institute in July.

In conclusion, I thank the members of the Committee on College and University Governance for their active and thoughtful work in support of the principles of academic governance. It is a pleasure and an honor to continue to chair the committee, in no small part because of the dedication of not only its members but the national staff—especially the members of the Department of Academic Freedom, Tenure, and Governance, and Hans-Joerg Tiede in particular as staff to the committee. ■

MICHAEL DECESARE (Sociology), *chair*
Merrimack College

2020 Biennial Meeting Postponed

The AAUP's 2020 biennial meeting, originally scheduled for June as part of the 2020 AAUP Conference and Biennial Meeting, was postponed because of the COVID-19 pandemic and has been rescheduled for November 22, 2020. Although the biennial meeting did not take place in June, the AAUP announced recipients of its 2020 awards in absentia on May 20, 2020. In lieu of acceptance speeches, the AAUP invited award recipients to publish posts on the *Academe Blog*.

Georgina M. Smith Award

Established in 1979 to honor the memory of a Rutgers University professor who was a committed feminist, an AAUP leader, and a strong supporter of her faculty union, the Georgina M. Smith award is presented "to a person who has provided exceptional leadership in the past year in improving the status of academic women or in advancing collective bargaining and through that work has improved the profession in general." This year the award was presented to Rabab Ibrahim Abdulhadi of San Francisco State University, Catherine Moran of the University of New Hampshire, and Anne Sisson Runyan of the University of Cincinnati.

The award for Rabab Ibrahim Abdulhadi recognized her "courage, persistence, political foresight, and concern for human rights, including union organizing, gender and sexual justice, in her scholarship, teaching, public advocacy, and collaboration with a diverse group of academic, labor, and community organizations." The award committee highlighted her commitment to collaborative global scholarship and her leadership as director of the Arab and Muslim Ethnicities and Diasporas Studies Program, where she "brings together scholars, activists, academics, and organizers to create justice-centered knowledge, build broad-based coalitions, and advance the agenda for social change in Palestine, the United States, and internationally" through work that "transcends the division between

scholarship and activism that encumbers traditional university life."

The award for Catherine Moran recognized the courage evident in her work as a faculty mentor, union negotiator, and leader as a founder of the University of New Hampshire Lecturers United-AAUP, the non-tenure-track faculty union. The award committee noted that "although faculty who serve on contingent appointments like hers are among the most economically and politically vulnerable members of the academic profession, Moran has persevered in her successful teaching and organizing endeavors."

The award for Anne Sisson Runyan recognized her "distinguished scholarly and activist career" and her "dedication to improving the status of faculty in general and women in particular through her local and national AAUP service." The award committee commended her accomplishments as chair of the AAUP's Committee on Women in the Academic Profession (now the Committee on Gender and Sexuality in the Academic Profession), particularly on issues involving Title IX and intersectionality, and noted the widely recognized impact of her scholarship on gender and global political economy.

Marilyn Sternberg Award

The Marilyn Sternberg Award recognizes AAUP members who "demonstrate concern for human rights, courage, persistence, political foresight, imagination, and collective bargaining skills." Deepa Kumar of Rutgers University, recent past-president of Rutgers AAUP-AFT, is the recipient of this year's Sternberg Award. The award committee commended Professor Kumar for her "key role in developing and leading a contract campaign that culminated in a strike vote and a groundbreaking contract for Rutgers faculty" and observed that "she brought tremendous vision and courage to the work, making gender and race issues central to the campaign, and pursuing a goal of equity, security, and dignity for all."

Outstanding Achievement Award

The AAUP established the Outstanding Achievement Award to recognize chapter- or conference-level work to advance academic freedom or shared governance, promote the economic security of academics, help the higher education community organize, or ensure higher education's contribution to the common good. Becky Hawbaker of the University of Northern Iowa is the recipient of the AAUP's 2020 Outstanding Achievement Award. The award committee observed that as president of United Faculty–AAUP at UNI, Hawbaker “led her chapter through a time of significant change,” including considerable growth in members and recertification. The committee noted that “she served as a critical member of the Faculty Handbook Committee and added language from the chapter's contract into the handbook” and that “her chapter, working alongside other faculty and campus administration leaders, has extended voting rights to most of the contingent faculty and created a career ladder for contingent faculty.”

Resolution Honoring Fifty-Year Members

The AAUP's Council, which met remotely on June 18 and 19, passed the following resolution honoring fifty-year members of the AAUP:

Whereas the mission of the American Association of University Professors is “to advance academic freedom and shared governance; to define fundamental professional values and standards for higher education; to promote the economic security of faculty, academic professionals, graduate students, post-doctoral fellows, and all those engaged in teaching and research in higher education; to help the higher education community organize to make our goals a reality; and to ensure higher education's contribution to the common good”;

Whereas, as a membership organization, the AAUP most effectively achieves its mission through chapters with engaged, active members; and

Whereas one of the AAUP's organizational strengths is the commitment of AAUP members to its mission and their shared commitment to higher education and the common good, a commitment that often continues after retirement from their institutions;

Resolved, that the AAUP's national Council

1. honors the following fifty-year members for

their steadfast commitment to the Association and the profession; and

2. directs that this resolution, along with the names of these members, be published in the *Bulletin of the AAUP* and that a copy be sent to these members along with a certificate acknowledging their commitment and contribution to the Association. ■

Fifty-Year AAUP Members

David Arlington
University of Oregon

Miriam Balmuth
CUNY City College of
New York

Lester Baltimore
Adelphi University

Jack Bass
Michigan State University

Benjamin R. Beede
Rutgers University

Norman P. Boyer
Saint Xavier University

Thomas F. Coffey
Creighton University

Thomas F. Cloonan
Fordham University

Joel L. Cunningham
The University of
the South

Clyde W. Ebenreck
Prince George's
Community College

Frank K. Fair
Sam Houston State
University

Robert B. Glassman
Lake Forest College

Kerry E. Grant
Southern Connecticut
State University

Jack E. Graver
Syracuse University

Gladys W. Gruenberg
Saint Louis University

Jonathan E. Hill
Saint Olaf College

Martin H. Israel
Washington University
in St. Louis

Mark R. Killingsworth
Rutgers University

Kenneth D. Lawrence
New Jersey Institute of
Technology

Walter W. McMahon
University of Illinois at
Urbana-Champaign

Thomas D. Morin
University of Rhode Island

Robert S. Nelson
University of Houston

Philip A. Pecorino
CUNY Queensborough
Community College

Constance H. Poster
University of West Georgia

Sylvie M. Romanowski
Northwestern University

Ronald C. Rosenberg
Michigan State University

Lawrence C. Schneider
Biomedical and Health
Sciences of New Jersey

Richard H. Senter
Central Michigan
University

Bruce S. Vanderporten
Loyola University Chicago

Harold F. Williamson
University of Illinois at
Urbana-Champaign

AAUP Officers and Council, 2019–20

AAUP officers are ex officio members of the Council. A list of Association officers, general counsel, and Council members follows, with dates of term expiration noted at the end of each entry. An asterisk denotes an individual who is ineligible to run again for another consecutive term in the same office. The distribution of states in each district is based on the redistricting plan approved by the Council on June 17, 2016. Council members whose districts have changed will continue to serve in the district in which they were elected until the completion of their current terms.

The constitutional amendment proviso approved by the 105th Annual Meeting as part of the AAUP's restructuring plan stipulated the following: "During the period January 1, 2020, through the close of the June 2020 biennial Association Meeting, or the close of any connected Council meeting, as specified in Article IV, Section 1, of the amended AAUP Constitution . . . : (a) the officers of the AAUP shall consist of the four AAUP officers serving on December 31, 2019, (b) the Council of the Association shall consist of the AAUP Officers and Council Members serving on December 31, 2019, and the AAUP-CBC Executive Committee serving on December 31, 2019, and (c) the Executive Committee of the Council shall consist of the Executive Committee members serving on December 31, 2019." The list below includes officers, general counsel, and Council members as of January 1, 2020.

Officers

President

Rudy H. Fichtenbaum (Economics), Wright State University, 2020

*Chris Nagel (Philosophy), California State University–Stanislaus, 2020

Alexander Zukas (History), National University, 2022

First Vice President

Caprice Lawless (English), Front Range Community College, 2020

District II (Colorado, Idaho, Kansas, Montana, Nebraska, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Washington, Wyoming)
Friedrich Schuler (History), Portland State University, 2020

*Jonathan Rees (History), Colorado State University–Pueblo, 2022

Second Vice President

Henry Reichman (History), California State University, East Bay

Secretary-Treasurer

Michele Ganon (Accounting), Western Connecticut State University, 2020

District III (Michigan)

*Lisa C. Minnick (English), Western Michigan University, 2020

Charles J. Parrish (Political Science), Wayne State University, 2022

General Counsel

Risa L. Lieberwitz (Law), Cornell University, 2020

District IV (Illinois, Indiana, Iowa, Minnesota, Pennsylvania, Wisconsin)

Kathryn Kuhn (Sociology), Saint Louis University, 2020

Loren Glass (English), University of Iowa, 2022

Council Members

District I (Alaska, Arizona, California, Hawaii, Nevada, New Mexico, Utah)

District V (Alabama, Arkansas, Canada, District of Columbia, Florida, Foreign, Georgia, Guam, Kentucky, Louisiana, Maryland, Mississippi, Missouri, North Carolina, Puerto Rico, South Carolina, Tennessee, Virgin Islands, Virginia, West Virginia)

Leslie Bary (Spanish and Latin American Studies), University of Louisiana, Lafayette, 2020

Monica Black (History), University of Tennessee, 2022

District VI (Ohio)

Julie McLaughlin (Humanities), Cincinnati State Technical and Community College, 2020

Huey-Li Li (Educational Philosophy), University of Akron, 2022

District VII (New Jersey)

David Hughes (Anthropology), Rutgers University, 2020

*Zoran Gajic (Electrical and Computer Engineering), Rutgers University, 2022

District VIII (New York)

*Sally Dear-Healey (Sociology and Anthropology), State University of New York at Cortland, 2020

James Davis (English and American Studies), Brooklyn College, City University of New York, 2022

District IX (Connecticut)

Mary Ann Mahony (History), Central Connecticut University, 2020

*Irene T. Mulvey (Mathematics), Fairfield University, 2022

District X (Delaware, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)

*Michael DeCesare (Sociology), Merrimack College, 2020

Carolyn Betensky (English), University of Rhode Island, 2022

At-Large Delegates

*Natalio “Nathan” Avani (Secondary Education), San Francisco State University, 2020

John Castella (Labor Studies), Rutgers University, 2020

Sonya Hester (English), Southern University at Shreveport, 2020

Greg Loving (Philosophy), University of Cincinnati, 2020

Linda Carroll (Italian), Tulane University, 2022

Patricia Navarra (Irish Studies), Hofstra University, 2022

*Diana I. Rios (Communication and El Instituto), University of Connecticut, 2022

David Sanders (Biological Sciences), Purdue University, 2022

Ex Officio from Assembly of State Conferences

Brian Turner (Political Science), Randolph-Macon College, chair, 2020

Vacant, past chair

Transitional Members (effective January 1, 2020)

Paul Davis (Behavioral & Social Sciences), Cincinnati State Technical and Community College, chair of the AAUP-CBC, 2021

Diana I. Rios (Communication/El Instituto), University of Connecticut, vice chair of the AAUP-CBC, 2021

Dennis Mazzocco (Radio, Television, and Film), Hofstra University, secretary of the AAUP-CBC, 2020

Deborah Cooperstein (Biology), Adelphi University, treasurer of the AAUP-CBC, 2020

Howard Bunsis (Accounting), Eastern Michigan University, past chair of the AAUP-CBC

John Castella (Labor Studies), Rutgers University, member at large of the AAUP-CBC executive committee, 2021

Brian Gallagher (Libraries), University of Rhode Island, member at large of the AAUP-CBC executive committee, 2020

Antonio Gallo (Chicano/a Studies), California State University, Northridge, member at large of the AAUP-CBC executive committee, 2021

Noleen McIlvenna (History), Wright State University, member at large of the AAUP-CBC executive committee, 2020

Nivedita Majumdar (English), John Jay College, member at large of the AAUP-CBC Executive Committee, 2021

Patricia Navarra (Writing Studies and Composition), Hofstra University, member at large of the AAUP-CBC executive committee, 2020

Julie M. Schmid, staff ■

Officers and Committees of the AAUP-CBC, 2019

The executive committee of the AAUP-CBC was the leadership board elected by the members of AAUP-CBC chapters.

In accordance with the restructuring plan approved by the 2019 AAUP-CBC regular meeting and the AAUP's 105th Annual Meeting, the AAUP-CBC was dissolved on December 31, 2019. Starting on January 1, 2020, members of the AAUP-CBC Executive Committee began to serve on the transitional AAUP Council. The lists below reflect the composition of the committees of the AAUP-CBC at the time of their dissolution.

Executive Committee

Chair

Paul Davis (Behavioral and Social Sciences), Cincinnati State Technical and Community College, 2021

Vice Chair

Diana I. Rios (Communication and El Instituto), University of Connecticut, 2021

Secretary

Dennis Mazzocco (Radio, Television, and Film), Hofstra University, 2020

Treasurer

Deborah Cooperstein (Biology), Adelphi University, 2020

Past Chair

Howard Bunsis (Accounting), Eastern Michigan University

At-Large Members of the Executive Committee

John Castella (Labor Studies), Rutgers University, 2021

Brian T. Gallagher (Libraries), University of Rhode Island, 2020

Antonio Gallo (Chicano/a Studies), California State University, Northridge, 2021

Nivedita Majumdar (English), City University of New York John Jay College of Criminal Justice, 2021

Noeleen McIlvenna (History), Wright State University, 2020

Patricia Navarra (Writing Studies and Composition), Hofstra University, 2020

Julie M. Schmid, staff

Audit Committee

Deborah Cooperstein (Biology), Adelphi University, chair, 2020

Howard Bunsis (Accounting), Eastern Michigan University, 2021

Alan Revering (Philosophy and Religion), Curry College, 2021

Charlie Lorenzetti, staff

Eric Whiteley, staff

Investment Committee

Deborah Cooperstein (Biology), Adelphi University, chair, 2020

Fall Anina (Finance), Wright State University, 2020

Oskar Harmon (Economics), University of Connecticut, 2020

Charlie Lorenzetti, staff

Eric Whiteley, staff ■

Board of Directors and Committees of the AAUP Foundation, 2019–20

Effective January 1, 2020, the AAUP Foundation is governed by a board of directors that includes the president, vice president, and secretary-treasurer of the AAUP; one elected member of the AAUP's Council; the chair of the AAUP's Committee A on Academic Freedom and Tenure; and three public directors, who are not, at the time of their election, officers of the AAUP and who need not hold any other position within the Association. Public directors are elected by a majority vote of the directors in attendance at a regular or special meeting of the board. The lists below include directors and committee members as of January 1, 2020.

Board of Directors

Chair

Henry Reichman (History), California State University, East Bay, chair of Committee A on Academic Freedom and Tenure, 2020

Secretary

Caprice Lawless (English), Front Range Community College, AAUP first vice president, 2020

Treasurer

Michele Ganon (Accounting), Western Connecticut State University, AAUP secretary-treasurer, 2020

Directors

Rudy H. Fichtenbaum (Economics), Wright State University, AAUP president, 2020
Caprice Lawless (English), Front Range Community College, AAUP first vice president, 2020
Henry Reichman (History), California State University, East Bay, chair of Committee A on Academic Freedom and Tenure, 2021
Jonathan Rees (History), Colorado State University–Pueblo, AAUP Council representative, 2020
Robert C. Post (Law), Yale University, 2020
Raphael Sassower (Philosophy), University of Colorado at Colorado Springs, 2021
Joan Wallach Scott (History), Institute for Advanced Study, 2021
Julie M. Schmid, staff

Audit Committee

Michele Ganon (Accounting), Western Connecticut State University, chair, 2020
Paul Davis (Behavioral and Social Sciences), Cincinnati State Technical and Community College, 2021
Pat Poli (Accounting), Fairfield University, 2021
Charlie Lorenzetti, staff
Eric Whiteley, staff

Investment Committee

Michele Ganon (Accounting), Western Connecticut State University, chair, 2020
Fall Ainina (Finance), Wright State University, 2021
Howard Bunsis (Accounting), Eastern Michigan University, 2021
Charlie Lorenzetti, staff
Eric Whiteley, staff

Governing Board of the Legal Defense Fund

Paulette M. Caldwell (Law), New York University, 2021
Linda H. Krieger (Law), University of Hawaii at Manoa, 2021
Risa L. Lieberwitz (Law), Cornell University, ex officio as general counsel, 2020
Michael A. Olivas (Law), University of Houston, 2022
Henry Reichman (History), California State University, East Bay, ex officio as chair of the AAUP Foundation, 2020
Julie M. Schmid, ex officio as executive director of the AAUP
Nancy Long, staff
Aaron Nisenson, staff ■

Committees of the AAUP, 2019–20

Appointments to standing committees of the Association are ordinarily for a term of three years; the terms of approximately one-third of the members of each committee expire each year. By Council action in June 1977 (as amended in November 2019), appointments to a “second consecutive three-year term shall be occasional; a third consecutive three-year term shall be rare.” An appointment may be extended beyond nine consecutive years only in extraordinary circumstances and is subject to ratification by the Council. Appointments are made by the president of the Association, who has the advice of members of the Association, the executive director, and other members of the staff. The executive director assigns members of the staff to assist the committees in their work.

A list of committee appointments follows, with the date of expiration given after each name. In addition to standing committees, there are special committees whose members serve ex officio or are appointed by the president according to regulations established by the Council. The AAUP Constitution provides that the president shall be a member ex officio of all committees except the Nominating Committee, the Election Committee, and the Election Appeals Committee. The Executive Committee of the Council consists of the Association’s officers. In accordance with the restructuring plan approved by the AAUP’s 105th Annual Meeting and the 2019 AAUP-CBC regular meeting, the Assembly of State Conferences and the AAUP-CBC were dissolved on January 1, 2020. The constitutional amendment proviso approved by the 105th Annual Meeting as part of the AAUP’s restructuring plan stipulated that “during the period January 1, 2020, through the close of the June 2020 biennial Association Meeting, or the close of any connected Council meeting, as specified in Article IV, Section 1, of the amended AAUP Constitution . . . the Executive Committee of the Council shall consist of the Executive Committee members serving on December 31, 2019.” Except where noted otherwise, the lists below reflect the composition of the AAUP’s committees as of January 1, 2020.

Executive Committee of the Council

Rudy H. Fichtenbaum (Economics), Wright State University, president, 2020
Caprice Lawless (English), Front Range Community College, first vice president, 2020
Henry Reichman (History), California State University, East Bay, second vice president, 2020
Michele Ganon (Accounting), Western Connecticut State University, secretary-treasurer, 2020
Michael DeCesare (Sociology), Merrimack College, 2020
Lisa C. Minnick (English), Western Michigan University, 2020
Irene T. Mulvey (Mathematics), Fairfield University, 2020
Patricia Navarra (Writing Studies and Composition), Hofstra University, 2020

Paul Davis (Behavioral and Social Sciences), Cincinnati State Technical and Community College, chair of the AAUP-CBC, 2021
Brian Turner (Political Science), Randolph-Macon College, chair of the ASC, 2020
Risa L. Lieberwitz (Law), Cornell University, general counsel, 2020
Julie M. Schmid, staff

Committee A on Academic Freedom and Tenure

Henry Reichman (History), California State University, East Bay, chair, 2021
Jeffrey R. Halpern (Anthropology), Rider University, 2021
Emily M. S. Houh (Law), University of Cincinnati, 2021
Ibram X. Kendi (International Relations), American University, 2020
Michael E. Mann (Meteorology), Pennsylvania State University, 2021

Michael Meranze (History), University of California, Los Angeles, 2021
Walter Benn Michaels (English), University of Illinois at Chicago, 2022
Irene T. Mulvey (Mathematics), Fairfield University, 2022
Robert C. Post (Law), Yale University, 2020
Jennifer H. Ruth (Film Studies), Portland State University, 2021
Joan Wallach Scott (History), Institute for Advanced Study, 2022
Donna Young (Law), Albany Law School, 2021
Risa L. Lieberwitz (Law), Cornell University, ex officio as general counsel, 2020
Julie M. Schmid, ex officio as AAUP executive director
Gregory F. Scholtz, staff

Committee on Academic Professionals

Courtney Bailey (Advising), Portland State University, 2021
Jim Bakken, staff

Committee on Association Investments

Michele Ganon (Accounting), Western Connecticut State University, chair, 2020
Fall Ainina (Finance), Wright State University, 2021
Howard Bunsis (Accounting), Eastern Michigan University, 2021
Charlie Lorenzetti, staff
Eric Whiteley, staff

Committee on College and University Governance

Michael DeCesare (Sociology), Merrimack College, chair, 2020
Rachel Ida Buff (History), University of Wisconsin–Milwaukee, 2022
Allison Buskirk-Cohen (Psychology), Delaware Valley University, 2020
Bethany Carson (English), Santa Fe Community College, 2022
Philip Cole (Physics), Lamar University, 2020
Ruben Garcia (Law), University of Nevada, Las Vegas, 2021
Pippa Holloway (History), Middle Tennessee State University, 2021
Susan Jarosi (Art History and Women’s and Gender Studies), Hamilton College, 2022
Julia Schleck (English), University of Nebraska–Lincoln, 2022
Noeleen McIlvenna (History), Wright State University, liaison from the AAUP-CBC, 2020

Brian Turner (Political Science), Randolph-Macon College, liaison from the ASC, 2020
Hans-Joerg Tiede, staff

Committee on Community Colleges

Kimberley Reiser (Biology), Nassau Community College, chair, 2021
Hollis Glaser (Speech, Communications, and Theatre Arts), City University of New York Borough of Manhattan Community College, 2022
James Klein (History), Del Mar College, 2022
Caprice Lawless (English), Front Range Community College, 2020
Glynn Wolar (History), Mid-Plains Community College, 2020
Vacant, staff

Committee on Contingency and the Profession

Caprice Lawless (English), Front Range Community College, chair, 2022
Carolyn Betensky (English), University of Rhode Island, 2021
Gretchen McNamara (Music), Wright State University, 2020
Catherine Moran (Sociology), University of New Hampshire, 2022
Chris Nagel (Philosophy), California State University, Stanislaus, 2022
Joel O’Dorisio (Art), Bowling Green State University, 2021
Margaret Stein (Writing Studies), Hofstra University, 2020
David Kociemba, staff

Committee on the Economic Status of the Profession

Oskar Harmon (Economics), University of Connecticut, chair, 2020
Whitney DeCamp (Sociology), Western Michigan University, 2022
Barbara Hopkins (Economics), Wright State University, 2021
Robert Kelchen (Higher Education), Seton Hall University, 2021
Glenn Colby, staff

Committee on Gender and Sexuality in the Academic Profession

Rana Jaleel (Gender, Sexuality, and Women’s Studies), University of California, Davis, chair, 2021

Sally Dear-Healey (Sociology and Anthropology), State University of New York College at Cortland, 2020

Kelly Dennis (Art and Art History), University of Connecticut, 2022

Tina Kelleher (English), Towson University, 2020

Maura Kelly (Sociology), Portland State University, 2021

Kathryn Kuhn (Sociology and Anthropology), Saint Louis University, 2021

Anita Levy, staff

Committee on Government Relations

John T. McNay (History), University of Cincinnati–Blue Ash College, chair, 2021

Natalio “Nathan” Avani (Secondary Education), San Francisco State University, 2022

Michael Behrent (History), Appalachian State University, 2020

Rachel Ida Buff (History), University of Wisconsin–Milwaukee, 2021

Kevin Kean (Psychology), Central Connecticut State University, 2021

Sara Kilpatrick, executive director of the Ohio AAUP conference, 2020

James Klein (History), Del Mar College, 2022

David P. Nalbome (Behavioral Sciences), Purdue University Northwest, 2021

Paul Davis (Behavioral and Social Sciences), Cincinnati State Technical and Community College, ex officio as chair of the AAUP-CBC, 2021

Lynn Tatum (Religion), Baylor University, liaison from the ASC, 2021

Monica Owens, staff

Committee on Graduate and Professional Students

Kira Schuman, staff

Committee on Historically Black Institutions and Scholars of Color

Julian Madison (History), Southern Connecticut State University, chair, 2020

Emily M. S. Houh (Law), University of Cincinnati, 2021

Kenyal McGee (Accounting), Central State University, 2020

Katherine Morrison (Community Health and Wellness), Curry College, 2020

Vacant, staff

Committee on the History of the Association

Jonathan Rees (History), Colorado State University–Pueblo, chair, 2021

Noeleen McIlvenna (History), Wright State University, 2022

David M. Rabban (Law), University of Texas at Austin, 2022

David Robinson (History), Truman State University, 2022

Hans-Joerg Tiede, staff

Committee on Membership

Irene T. Mulvey (Mathematics), Fairfield University, chair, 2022

Andres Guzman (Advising), Portland State University, 2022

John T. McNay (History), University of Cincinnati–Blue Ash College, 2022

Paul Davis (Behavioral and Social Sciences), Cincinnati State Technical and Community College, ex officio as chair of the AAUP-CBC, 2021

Brian Turner (Political Science), Randolph-Macon College, liaison from the ASC, 2020

Jim Bakken, staff

Rebecca Lewis, staff

Committee on the Organization of the Association

Irene T. Mulvey (Mathematics), Fairfield University, chair, 2022

Greg Loving (Philosophy), University of Cincinnati, 2020

Jonathan Rees (History), Colorado State University–Pueblo, 2020

Risa L. Lieberwitz (Law), Cornell University, ex officio as general counsel, 2020

Hans-Joerg Tiede, staff

Committee on Professional Ethics

Aaron Nisenson, staff

Committee on Teaching, Research, and Publication

Daniel Murphy (History), Hanover College, chair, 2021

Martin Kich (English), Wright State University, 2022

Jonathan Rees (History), Colorado State University–Pueblo, 2021

Gwendolyn Bradley, staff

Advisory Board for *Academe*

Michael F. Bérubé (English), Pennsylvania State University, 2021

Julie A. Cajigas (Communication), University of Akron, 2022
James Davis (English), City University of New York Brooklyn College, 2020
Nicholas Fleisher (Linguistics), University of Wisconsin–Milwaukee, 2020
Juan González (Communication and Information), Rutgers University, 2021
Tina Kelleher (English), Towson University, 2021
Aaron Krall (English), University of Illinois at Chicago, 2020
Caprice Lawless (English), Front Range Community College, 2022
Jonathan Rees (History), Colorado State University–Pueblo, 2022
Henry Reichman (History), California State University, East Bay, 2021
Donna Young (Law), Albany Law School, 2022
Michael Ferguson, staff
Kelly Hand, staff

Advisory Board for the *Bulletin of the American Association of University Professors*

Michael DeCesare (Sociology), Merrimack College, 2020
Henry Reichman (History), California State University, East Bay, 2021
Michael Ferguson, staff
Gregory F. Scholtz, staff

Audit Committee

Michele Ganon (Accounting), Western Connecticut State University, chair, 2020
Deborah Cooperstein (Biology), Adelphi University, 2022
Pat Poli (Accounting), Fairfield University, 2022
Charlie Lorenzetti, staff
Eric Whiteley, staff

Grievance Committee

Maria T. Bacigalupo (Administration, Planning, and Social Policy), Curry College, chair, 2022
David Jackson (Political Science), Bowling Green State University, 2020
Duane Storti (Mechanical Engineering), University of Washington, 2021
Gwendolyn Bradley, staff

Litigation Committee

Risa L. Lieberwitz (Law), Cornell University, chair, 2020
Joan E. Bertin (Public Health), Columbia University, 2021
Emily M. S. Houh (Law), University of Cincinnati, 2020
Neal Hutchens (Education), Pennsylvania State University, 2021
Peter Lee (Law), University of California, Davis, 2020
Jack Lerner (Law), University of California, Irvine, 2020
Martha T. McCluskey (Law), State University of New York College at Buffalo, 2020
Nancy Long, staff
Aaron Nisenson, staff

Panel on Chapter and Conference Sanctions

Dennis Mazzocco (Radio, Television, and Film), Hofstra University, chair, 2021
Kate Budd (Art), University of Akron, 2021
Philip Cole (Physics), Lamar University, 2021
Christopher Simeone, staff

Officers and Executive Committee of the Assembly of State Conferences (as of December 31, 2019)

Brian Turner (Political Science), Randolph-Macon College, chair, 2020
Irene T. Mulvey (Mathematics), Fairfield University, vice chair, 2020
Mark Painter (Philosophy), Misericordia University, treasurer, 2021
Leah Akins (Engineering, Architecture, and Computer Technologies), Duchess Community College, secretary, 2020
Marcelo Godoy Simões (Engineering), Colorado School of Mines, member at large, 2021
Lynn Tatum (Religion), Baylor University, member at large, 2021
Kira Schuman, staff ■

Censured Administrations

INVESTIGATIONS by the American Association of University Professors of the administrations of the institutions listed to the right show that, as evidenced by a past violation, they are not observing the generally recognized principles of academic freedom and tenure endorsed by this Association, the Association of American Colleges and Universities, and more than 250 other professional and educational organizations. The 1940 *Statement of Principles on Academic Freedom and Tenure* can be found on the AAUP website at www.aaup.org.

This list is published for the purpose of informing Association members, the profession at large, and the public that unsatisfactory conditions of academic freedom and tenure have been found to prevail at these institutions. Names are now placed on or removed from this censure list by vote of the Association's Council.

Placing an institution on this list does not mean that censure is visited either upon the whole of the institution or upon the faculty but specifically upon its present administration. The term "administration" includes the administrative officers and the governing board.

Members of the Association have often shown their support of the principles violated by not accepting appointment to an institution on the censure list. Since circumstances differ widely from case to case, the Association does not assert that such an unqualified obligation exists for its members; it does urge that, before accepting appointments, they seek information on present conditions of academic freedom and tenure from the Association's Washington office and prospective departmental colleagues. The Association leaves it to the discretion of the individual to make the proper decision.

The censured administrations, with dates of censuring, are listed to the right. Reports through 2009 were published as indicated by the *AAUP Bulletin* or *Academe* citations in parentheses following each listing. Beginning in 2010, reports were published online on the AAUP website in the indicated month and year, with printed publication following in the annual *Bulletin of the American Association of University Professors*. Reference should also be made to "Developments Relating to Association Censure and Sanction" and to the "Report of Committee A," which annually appear respectively in *Academe* and in the *Bulletin of the American Association of University Professors*.

Frank Phillips College (Texas) (December 1968, 433–38)	1969
Concordia Seminary (Missouri) (April 1975, 49–59)	1975
Murray State University (Kentucky) (December 1975, 322–28)	1976
State University of New York (August 1977, 237–60)	1978
Nichols College (Massachusetts) (May 1980, 207–12)	1980
American International College (Massachusetts) (May–June 1983, 42–46)	1983
Talladega College (Alabama) (May–June 1986, 6a–14a)	1986
Pontifical Catholic University of Puerto Rico (May–June 1987, 33–38)	1987
Husson University (Maine) (May–June 1987, 45–50)	1987
Hillsdale College (Michigan) (May–June 1988, 29–33)	1988
Southeastern Baptist Theological Seminary (North Carolina) (May–June 1989, 35–45)	1989
The Catholic University of America (September–October 1989, 27–40)	1990
Dean College (Massachusetts) (May–June 1991, 27–32)	1992
Baltimore City Community College (May–June 1992, 37–41)	1992
Loma Linda University (California) (May–June 1992, 42–49)	1992
North Greenville College (South Carolina) (May–June 1993, 54–64)	1993
Savannah College of Art and Design (May–June 1993, 65–70)	1993
University of Bridgeport (November–December 1993, 37–45)	1994
Benedict College (South Carolina) (May–June 1994, 37–46)	1994
Bennington College (March–April 1995, 91–103)	1995
Alaska Pacific University (May–June 1995, 32–39)	1995
National Park College (Arkansas) (May–June 1996, 41–46)	1996
Saint Meinrad School of Theology (Indiana) (July–August 1996, 51–60)	1997
Minneapolis College of Art and Design (May–June 1997, 53–58)	1997
Brigham Young University (September–October 1997, 52–71)	1998
University of the District of Columbia (May–June 1998, 46–55)	1998
Lawrence Technological University (Michigan) (May–June 1998, 56–62)	1998
Johnson & Wales University (Rhode Island) (May–June 1999, 46–50)	1999
Albertus Magnus College (Connecticut) (January–February 2000, 54–62)	2000
Charleston Southern University (South Carolina) (January–February 2001, 63–77)	2001
University of Dubuque (September–October 2001, 62–73)	2002
Meharry Medical College (Tennessee) (November–December 2004, 56–78)	2005
University of the Cumberlands (Kentucky) (March–April 2005, 99–113)	2005
Virginia State University (May–June 2005, 47–62)	2005
Bastyr University (Washington) (March–April 2007, 106–20)	2007
Nicholls State University (Louisiana) (November–December 2008, 60–69)	2009
Cedarville University (Ohio) (January–February 2009, 58–84)	2009
North Idaho College (January–February 2009, 85–92)	2009
Clark Atlanta University (January 2010)	2010
University of Texas Medical Branch at Galveston (April 2010)	2010
Bethune-Cookman University (Florida) (October 2010)	2011
Louisiana State University, Baton Rouge (July 2011)	2012
Northwestern State University (Louisiana) (April 2012)	2012
Southeastern Louisiana University (April 2012)	2012
National Louis University (Illinois) (April 2013)	2013
Southern University, Baton Rouge (April 2013)	2013
Northeastern Illinois University (December 2013)	2014
University of Texas MD Anderson Cancer Center (April 2015)	2015
University of Southern Maine (May 2015)	2015
Felician College (New Jersey) (May 2015)	2015
The College of Saint Rose (New York) (May 2016)	2016
University of Missouri (Columbia) (May 2016)	2016
Community College of Aurora (Colorado) (March 2017)	2017
Spalding University (Kentucky) (May 2017)	2017
University of Nebraska–Lincoln (May 2018)	2018
St. Edward's University (Texas) (October 2018)	2019
Nunez Community College (Louisiana) (February 2019)	2019
Pacific Lutheran University (Washington) (January 2020)	2020

Institutions Sanctioned for Infringement of Governance Standards

REPORTS OF an Association investigation at the institutions listed below have revealed serious infringements of generally accepted standards of college and university governance endorsed by this Association, as set forth in the *Statement on Government of Colleges and Universities* and derivative AAUP documents. Institutions are now placed on or removed from this sanction list by vote of the Association's Council.

The publication of these sanctions is for the purpose of informing Association members, the

profession at large, and the public that unsatisfactory conditions of academic governance exist at the institutions in question.

The sanctioned institutions and the date of sanctioning are listed, along with the citation of the report that formed the basis for the sanction. Beginning in 2011, reports were published online on the AAUP website in the indicated month and year, with printed publication following in the annual *Bulletin of the American Association of University Professors*.

Elmira College (New York) (<i>Academe</i> , September–October 1993, 42–52)	1995
Miami-Dade College (<i>Academe</i> , May–June 2000, 73–88)	2000
Antioch University (<i>Academe</i> , November–December 2009, 41–63)	2010
Rensselaer Polytechnic Institute (New York) (January 2011)	2011
Union County College (New Jersey) (November 2015)	2016
Vermont Law School (May 2019)	2019

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You'll find faculty perspectives on the impact of the COVID-19 crisis on higher education, campus activism and free speech, the inequities of contingent appointments, and other timely topics on the *Academe Blog*.

Check it out at <http://academeblog.org> or follow the blog's Twitter feed @academeblog.

HOW TO CONTACT US

AAUP

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<https://www.facebook.com/AAUPNational>
<https://twitter.com/AAUP>
<https://www.instagram.com/aaupnational>
<https://www.flickr.com/aaup>

AAUP Foundation

info@aaupfoundation.org

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AMERICAN ASSOCIATION OF
UNIVERSITY PROFESSORS

Frequently requested contacts:

Academe academe@aaup.org
Academic Freedom and Tenure academicfreedom@aaup.org
Membership rlewis@aaup.org
Organizing and Services csimeone@aaup.org
Faculty Compensation Survey aaupfcs@aaup.org

aaup
FOUNDATION

2020 AAUP Biennial Meeting

The AAUP's 2020 biennial meeting, originally scheduled for June as part of the 2020 AAUP Conference and Biennial Meeting, was postponed due to the pandemic and has now been rescheduled to Sunday, November 22, 2020, from 9:00 a.m. to 3:00 p.m., in Washington, DC.

We will continue to monitor CDC, local, and regional guidance regarding group gatherings. Please visit <https://www.aaup.org/event/2020-aaup-biennial-meeting> for updated information.

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CORRECTIONS AND ADDITIONS TO APPENDICES I, II, AND III

The appendices to the *Annual Report on the Economic Status of the Profession, 2019–20*, provide detailed institution-level data including average salary by rank; retirement, medical, and dependent tuition benefits; percentage of faculty by tenure status; percentage increase in salary for continuing faculty; number of faculty by rank and gender; and average salary by rank and gender with salary equity ratios. **View an updated version of the appendices with corrections and additions to the data at <https://www.aaup.org/report/annual-report-economic-status-profession-2019-20>.**



The 2020 volume of the AAUP's *Journal of Academic Freedom*—an online, open-access publication—will be out on September 22. Essays explore, among other topics, how the myriad managerial techniques in use on campuses today affect academic freedom and democratic faculty governance. The *Journal's* eleventh volume, whose contents are listed below, reflects a diverse range of perspectives on higher education and scholarship in the United States and abroad through the lens of academic freedom.

VOLUME 11

Editor's Introduction: Will the Managed Campus Be the Graveyard of Academic Freedom?

By Rachel Ida Buff

On Borders and Academic Freedom: Noncitizen Students and the Limits of Rights

By Abigail Boggs

Trickle-Down Managerialism: Accountable Faculty in the Financialized University of Managers

By J. Paul Narkunas

Gentrifying the University and Disempowering the Professoriate: Professionalizing Academic Administration for Neoliberal Governance

By Beth F. Baker

How Ego, Greed, and Hubris (Almost) Destroyed a University: Implications for Academic Freedom

By Howard Karger

What I Learned in the Faculty Senate about Academic Freedom and Shared Governance

By Michael Bérubé

The Rollins College Inquiry of 1933 and the AAUP's Struggle for Shared Governance at Small Colleges

By Jack C. Lane

Tenured Employment in Tennessee Is "at Will": A Review of Some Peculiar Consequences of Nonexistent Faculty Contracts

By Jemna Chesnik

Leadership during a Budget Crisis and Its Impact on Academic Programs, Teaching, and Research

By Kim Song and Patricia Boyer

Leadership Threats to Shared Governance in Higher Education

By Robert A. Scott

Why Revenue Generation Can't Solve the Crisis in Higher Education, Or, What's That Smell?

By Nan Enstad

Afterword: Can the Managerial Technique Speak?

By Wavy the Bear

Read the complete volume at <https://www.aaup.org/JAF>.

YES, I WOULD LIKE TO JOIN THE AAUP

NOW MORE THAN EVER we need to work together to defend academic freedom, the rights of all faculty, and the quality of higher education.

Please complete this form and mail it to the **AAUP, 1133 Nineteenth Street NW, Suite 200, Washington, DC 20036-3655.**

If you have any questions, please email rlewis@aaup.org.

This is a new application an application for renewal.

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*We are required to use home addresses for AAUP election materials.

2020 NATIONAL DUES¹

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\$84	\$7.00	\$30,001–\$40,000
\$109	\$9.08	\$40,001–\$50,000
\$134	\$11.17	\$50,001–\$60,000
\$183	\$15.25	\$60,001–\$70,000
\$214	\$17.83	\$70,001–\$80,000
\$240	\$20.00	\$80,001–\$100,000
\$264	\$22.00	\$100,001–\$120,000
\$290	\$24.17	More than \$120,000

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1. Rates valid through December 31, 2020. If you teach at an institution where the AAUP has a collective bargaining agreement, please contact the local chapter for information on joining the AAUP. If you teach in Nevada, please contact the Nevada Faculty Alliance.
2. Lifetime member rates do not apply to members currently paying dues through a collective bargaining chapter.

