

# **Faculty Governance at Duke Kunshan University (DKU)**

## **昆山杜克大学的教师治理**

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会修订并通过*

This document establishes to the Duke Kunshan University (Duke Kunshan) Board of Trustees, administration, and faculty a set of principles that should guide the development of Duke Kunshan policies and procedures. These principles are drawn from the experience of the Duke University faculty over the past several decades, reflecting the positive lessons gleaned from years of productive and reciprocal interactions among faculty, administrators, and board members. They also incorporate the views and experiences of the faculty who have been part of Duke Kunshan University since the opening of Duke Kunshan University in 2014.

本文件为昆山杜克大学理事会、管理层和教师建立一整套指导昆山杜克大学政策和流程制定工作的原则。这些原则是杜克大学教师过去数十年的经验总结，体现了教师、管理层和校董会成员在卓有成效的协同工作与互动中累积的积极经验。同时，这些原则也吸收了自 2014 年昆山杜克大学开学后在昆山杜克大学工作过的教师们的观点和经验。

The five core principles of Section A establish fundamental rights and responsibilities relevant to the work life of individual Duke Kunshan faculty. It refers to Duke University policies and procedures only because the task of formulating explicit policies at Duke Kunshan University will take several years to complete. In the long term, it is expected that the clause referring to Duke University policies may become immaterial because the relevant policies at Duke Kunshan University will have been clearly articulated by its own faculty and administration. Nevertheless, the expectation is that policies formulated for Duke Kunshan University will reflect those at Duke University except where local conditions mandate specific deviations from them.

A 部分的五大核心原则规定了昆山杜克大学个体教师工作相关的基本权利与责任。因在昆山杜克大学制定具体的政策将需要多年才能完成，该部分参考了杜克大学政策和流程的规定。长远来看，参考杜克大学政策所列的条款或将不再显著，因为昆山杜克大学自己的教师和管理层未来将能够对相应政策做出明确地阐述。尽管如此，我们为昆山杜克大学制定的政策将体现杜克大学相关政策，除非因中国的特殊情况而造成的一些差异。

Section B establishes the rights of the Duke Kunshan University faculty collectively to participate in University governance. The Duke University model of faculty governance has grown over the years into a complex network of interlocking pieces whose net effect is to embed faculty deeply

in the decision-making processes at all levels of University governance. The participation of faculty is critical both for arriving at the best decisions and for ensuring that faculty members are prepared to implement administrative directives and respond to proposed incentives. The best decisions generated by this system arise from the collective expertise and insight of a faculty that brings a diversity of perspectives to committee deliberations and campus conversations.

B 部分规定了昆山杜克大学教师集体参与学校治理的权利。多年来，杜克大学的教师治理模式已发展成一套复杂的网络关系，将教师根植于深层决策过程中——在学校治理的各个层面制定流程。无论是为了做出最佳的决策，还是确保教师团队为执行管理层的决策和响应建议的激励措施做好充分的准备，教师的参与都至关重要。教师团队的集体专业智慧和见解，为委员会讨论和校园对话带入多元视角，使得这一体系产出最佳决策。

# **DKU Faculty Charter**

## **昆山杜克大学教师宪章**

This charter articulates the basic rights and responsibilities of Duke Kunshan University faculty and establishes a foundation for Duke Kunshan University governance that ensures faculty partnership with the administration and the Board of Trustees in all matters relating to the academic affairs of the university. It is assumed that the charter is and will remain compatible with Chinese national laws, including prohibitions against religious proselytizing in the classroom.

本宪章阐明了昆山杜克大学教师的基本权利和责任，建立昆山杜克大学治理基础，确保教师团队与管理层和理事会在学校各类学术相关事务中的合作关系。该宪章将遵守中华人民共和国国家法律，包括禁止在课堂上进行传教活动。

### **A. Preamble**

#### **前言**

The academic character of Duke Kunshan University should remain at all times consistent with the values of Duke University, as put forward in its mission statement<sup>1</sup>, and with those expressed in the motto of Wuhan University<sup>2</sup>. These values are understood to be both fully consistent with the goals described in Chapter Two of the Articles of Association of Duke Kunshan University and necessary for achieving them. To ensure adherence to these values and enable the benefits that flow from them, the following rights and responsibilities are assumed by all faculty and administrators at Duke Kunshan University.

昆山杜克大学的学术特质应时刻与杜克大学的价值观（如杜克大学使命宣言<sup>注1</sup>之描述）和武汉大学之价值观（如武汉大学校训<sup>注2</sup>所体现）保持一致。上述价值观与昆山杜克大学《章程》第二章所述及的学校目标全完一致，并且是达成这些目标的必要条件。为确保始终坚持该价值观，且充分发挥其带来的裨益，昆山杜克大学全体教师和管理人员具有以下权利与责任。

### **I. Guidance from Duke University policies**

#### **以杜克大学的政策为指导**

Duke Kunshan University academic policies and procedures should follow the established practices of Duke University wherever applicable and practical, except where a different policy has been adopted by the Duke Kunshan University community.

昆山杜克大学的学术政策和流程在任何适用并且可行的情况下，应沿用杜克大学的

现有做法，除非昆山杜克大学已经采用了不同的政策。

## **II. The right to academic freedom**

### **拥有学术自由的权利**

The intellectual mission of the Duke Kunshan University campus requires freedom of inquiry and expression, as well as unrestricted access to research tools and information in the public domain, in all aspects of academic life. The faculty has the responsibility of developing, approving and implementation of the curriculum. In addition to this general principle, faculty members have full autonomy within the classroom as regards all instructional aspects of a class. Policies should be designed with a view towards preventing or avoiding any interference whatsoever in the academic goals of Duke Kunshan University. 昆山杜克大学的学术使命要求在学术活动的所有方面，拥有探究和表达的自由，以及不受限制地使用科研工具和公共领域信息。教师负责课程的开发、批准和实施。在这个总体原则基础之上，教师拥有课程讲授方面课堂内的完全自主权。政策的设计，应当旨在防止或避免任何对昆山杜克大学实现其学术目标造成的干扰。

These rights are guaranteed in the Duke Kunshan University Co-operative Exchange Agreement which reads: “Duke Kunshan University faculty members shall be free to teach, research and publish in the spirit of free and open academic inquiry, to discover new knowledge, to convey disciplinary and interdisciplinary knowledge, to participate in exposing students to the full marketplace of ideas, and to train students in the methods and skills of particular disciplines and in the general skills of critical thinking, evaluation of evidence, independent thinking and cogent expression.”

昆山杜克大学的《合作办学协议》保障上述权利，规定：“昆山杜克大学教师团队应享有以自由与开放的学术探究精神从事授课、科研和出版的自由、发现新知识的自由、传递学科与跨学科知识的自由、参与让学生充分接触市场想法的自由、培养学生特定的学科方法和技能以及批判性思维、论据评估、独立思考和逻辑表达的一般性技能的自由。”

## **III. Maintenance of an inclusive academic culture**

### **维护兼容并包的学术文化**

Policies of Duke Kunshan University should be designed to encourage the expression of a diverse set of views, which may stem from different racial, ethnic, cultural, historic or national backgrounds, genders or sexual orientations, socioeconomic backgrounds, religious affiliations, or political or academic inclinations, among other characteristics. Policies should also ensure that discrimination on the basis of such characteristics is not tolerated in matters including, but not limited to, appointment, promotion, and remuneration.

昆山杜克大学的政策设计应当鼓励多元化的观点表达，这些观点可能源自不同的种族、民族、文化、历史或国家背景、性别或性取向、社会经济背景、宗教信仰、或

政治或学术倾向等许多因素。另外，政策应确保禁止任何基于上述各种因素，在包括但不限于聘用、擢升和报酬方面的歧视行为。

#### **IV. Maintenance of academic integrity**

##### **维护学术诚信**

Integrity of research and of communication among scholars forms the foundation of respect within the academic world and in its interactions with the public. All members of the university community share responsibility for maintaining a climate of honesty, trust, fairness, and respect. Faculty play a critical role in creating this climate and are expected to maintain the highest ethical standards in their research and teaching, to establish clear expectations for students, to promote an atmosphere in which learning with integrity is encouraged, and to confront situations of academic misconduct and dishonesty.

科研诚信和学者间交流的诚信构成学术界内部及其对外交流中尊重的基石。所有学校成员共同肩负维护诚实、守信、公平、尊重的学术氛围的责任。教师团队在创建这一学术氛围过程中扮演关键的角色，并且应当在其科研与教学中能保持最高的道德标准、让学生清楚应当遵守的诚信原则、弘扬鼓励诚信学习的氛围以及反对不当学术行为和学术欺骗行为。

#### **V. Students**

##### **学生**

The faculty recognizes the importance of students as part of the academic learning community along with the faculty, administrators, and staff. To that end, the goal of the faculty is to use the most effective means to develop interests, skills, and creative talents so that students have a life-long positive impact on societies around the world. That impact is guided by the values and enthusiasm of the experiences of being part of Duke Kunshan University.

教师团队认可学生与教师、管理人员和员工一样作为学术学习社区中的一员的重要性。为此，教师的目标就是使用最为有效的方法来开发和创造学生的兴趣、技能和创造才能，使学生能在世界范围内对社会带来终身的积极影响。这种影响是作为昆山杜克大学一分子时所体验的价值观和热情所催生的。

Our commitment to the development of initiative, scholarship, and service includes the recognition that students participate actively in Duke Kunshan University through classes, research, service learning, and extra-curricular clubs and activities.

我们致力于发展创新、学术和服务，并认可学生在昆山杜克大学积极参与课堂学习、科研活动、服务式学习和课外俱乐部和活动。

All of us in the academic learning community of Duke Kunshan University hold to the values of integrity and respect. Faculty and student academic interactions both within and outside

the classroom should be guided and characterized by the principles of academic excellence that reflect the core values and goals of Duke Kunshan University<sup>3</sup> as an institution of higher education. In this regard, all faculty should understand and recognize that inappropriate interactions and behavior between students, students and faculty, and others at Duke Kunshan University are inconsistent with and detrimental to the core purposes of this institution.

所有昆山杜克大学这个学术学习社区中的成员，都坚持诚信和尊重的价值观。学生与教师之间在课堂内外的学术互动都应遵循学术至上的指导原则，体现昆山杜克大学作为一所高等教育机构所折射出的核心价值观<sup>注 3</sup>。因此，所有教师应理解并认识到，学生之间、师生之间和昆山杜克大学其他人员之间的不恰当互动和行为与学校的核心目标不符并且有害。

## **B. Faculty Governance**

### **教师治理**

#### **I. Professors from all units form a single faculty**

##### **来自各单位的教授组成统一的教师团队**

The Duke Kunshan University Faculty should be understood as a single group with a shared interest in all aspects of Duke Kunshan University academics. The Faculty is composed of all faculty members with a primary or secondary Duke Kunshan University appointment or who have taught at least a 7-week session or have other significant investment within the previous three years<sup>4</sup>. In cases where policies governing faculty members in different fields or with different balances of research and teaching responsibilities cannot be identical for practical reasons, they should be comparable in spirit. The Faculty By-laws (to be adopted) describe the Faculty governance structure.

昆山杜克大学的“教师团队”应被理解为在学校学术事务的所有层面有着共同利益的统一团体。教师团队由所有与昆山杜克大学有主要或者次要聘任关系的教师、或在过去的三年内<sup>注 4</sup> 在昆山杜克大学讲授过至少一个为期七周的小学期课程，或对学校有其他重要投入的教师组成。出于实际原因，管理不同学术领域的、或科研与教学任务比例不同的教师的政策，无法保持完全一致的，在精神上应相似。教师细则（待通过）会对教师团队治理结构进行描述。

#### **II. Faculty committees participate in shared governance of the University**

##### **各教师委员会参与学校的共同治理**

Senior administrators should establish appropriate faculty committees to discuss and offer recommendations on major issues affecting the academic life of the university. While it is understood that the final authority rests with the relevant administrator, it is expected that faculty committees will participate actively in the decision making process. For each faculty committee, the chair has the authority to set the specific agenda.

学校资深管理层应当建立多个合适的教师委员会来讨论关系到学校学术事务的主要事项并提出建议。尽管最终的决策权仍然归学校相关的管理人员所有，各教师委员会应当积极地参与到决策过程中。每个委员会的主席都有权力制定具体的议程。

It is essential that the following issues be subject to committee review and comment:

以下各项事宜必须经由委员会审阅和评论：

- Faculty appointments and promotions  
教师聘任和擢升
- Grievances involving faculty  
针对教师的投诉
- Strategic plans for academic programming  
学术项目设置的战略规划
- Strategic plans for the distribution of resources to academic programs  
学术项目的资源分配战略规划
- The establishment and assessment of degree programs  
学位教育项目的设立和评估
- Academic policies  
学术政策

### **III. Faculty views are communicated to the Board of Trustees**

#### **教师观点传达至校理事会**

Except in emergencies, all major decisions and plans of the administration that significantly affect academic affairs should be made available to the Duke Kunshan University Faculty for study and comment prior to implementation or submission to the Board of Trustees. The views expressed by the Faculty should be transmitted to the Board of Trustees along with the Administration's proposals when the Board of Trustees deliberates on such plans and decisions.

除紧急情况，所有管理层做出的对学术事务有重大影响的决策和计划，都应在实施或提交理事会前，先提供给昆山杜克大学教师团体进行研究和评议。教师团体的意见应与管理层的建议方案一起递交给理事会，供理事会就该方案和决策进行讨论。

In addition, each Board committee or subcommittee with the exception of the Compensation Committee and its subcommittee if it applies should provide for the inclusion in its deliberative process of at least one faculty member designated by the Faculty. Additional faculty members selected by the Administration in consultation with the Faculty should also be included where possible.

此外，理事会的每个委员会或者分委会，薪酬委员会及其分委会除外，都应有至少一名教师团体指定的教师参与其讨论决策过程。在可能的情况下，由管理层与教师团体协商后选出的其他教师，也应参与讨论决策。

#### **IV.A diversity of faculty perspectives is sought and respected**

##### **追求和尊重多元化的教师视角**

The selection of faculty for roles within the governance structure should aim for the creation of groups that personify diversity, multi-culturalism, and internationalism, not just individuals who are thought to be cognizant of that value. Toward that end, the Faculty itself should be consulted about appointments to committees or administrative positions.

选择教师成员担任治理架构中的一员，应旨在建立一个能够体现多样性、多元文化性和国际性的群体，而非仅仅是被认为对多元文化价值观有认知的某些个体。为此，任命教师加入各委员会或担任行政职务，应与教师团体进行商榷。

Note:

注释:

1. The mission of Duke University is to provide a superior liberal education to undergraduate students, attending not only to their intellectual growth but also to their development as adults committed to high ethical standards and full participation as leaders in their communities; to prepare future members of the learned professions for lives of skilled and ethical service by providing excellent graduate and professional education; to advance the frontiers of knowledge and contribute boldly to the international community of scholarship; to promote an intellectual environment built on a commitment to free and open inquiry; to help those who suffer, cure disease, and promote health, through sophisticated medical research and thoughtful patient care; to provide wide ranging educational opportunities, on and beyond our campuses, for traditional students, active professionals and life-long learners using the power of information technologies; and to promote a deep appreciation for the range of human difference and potential, a sense of the obligations and rewards of citizenship, and a commitment to learning, freedom and truth.

杜克大学的使命是，为本科生提供卓越的通识博雅教育，不仅关注其智力发展需求，同时也适应其作为具有高道德标准的成年人的发展需求和作为充分参与社区的领导者的需求；通过提供优质的研究生和专业教育，培养有学识的专业人员，为其高技能、高道德的职业生涯做准备；推进知识前沿，为国际学术圈做大胆贡献；弘扬自由和开放探究式的学术环境；通过复杂的医学研究和对患者细致的照顾，帮助遭遇苦难的人、治愈其疾病并推广健康；借助信息技术的力量，为传统学生、活跃的职业人员、和终身学习者，提供校内外广泛的教育机会；和促进对人类差异与潜能、对公民责任感与回报、对追求学问、自由和真理的欣赏。

2. Wuhan University motto: Improve Oneself, Promote Perseverance, Seek Truth and Make Innovations.

武汉大学校训：自强、弘毅、求是、拓新。

3. See the opening statement of DKU's Academic Policies, "The DKU Mission."

参见昆山杜克大学学术政策的开篇描述“昆山杜克大学的使命”



4. As DKU builds up its primary faculty base, the definition of the DKU faculty will be revisited and amended in the faculty charter or clarified in the bylaws.

随着昆山杜克大学自己的主聘教师队伍的壮大，将在教师宪章或教师细则中重新审视并修正“昆山杜克大学教师团队”这个概念的定义。