

# AAUP on Shared Governance

- Since its founding in 1915, the AAUP has advocated for significant faculty participation in university governance
- Refinements to the Association's position were made in 1938 and 1958-64.
- The **Statement on Government on Colleges and Universities** was issued in 1966.
- The 1966 statement is recognized as authoritative and informs most academic discourse on governance.

# 1966 Statement on Government of Colleges and Universities

Jointly formulated by the AAUP, the American Council on Education (ACE), and the Association of Governing Boards of Universities and Colleges (AGB)

- AAUP endorsed the statement.
- ACE and AGB “recognize[d] the statement as a significant step forward in the clarification of the respective roles of governing board, faculties, and administrations” and “commended” the statement to their member institutions.

# Statement on Government of Colleges and Universities:

Recommends “shared” or “joint” governance because: “[t]he variety and complexity of the tasks performed by institutions of higher education produce an inescapable interdependence among governing board, administration, faculty, students, and others. The relationship calls for adequate communication among these components, and full opportunity for appropriate joint planning and effort.”

- Appropriate joint planning and effort requires participation *depending on the degree of responsibility*:
- “...differences in the weight of each voice, from one point to the next, should be determined by reference to the responsibility of each component for the particular matter at hand...”
- The statement articulates the roles of three components:
  - Governing Board
  - Administration
  - Faculty

# On the role of the Governing Board:

- Ensures the University stays true to its mission
- Plays a major role in ensuring that the institution has the financial resources in needs to operate successfully
- Possesses final decision-making authority
- Entrusts the conduct of administration to the administrative officers
- Entrusts the conduct of teaching and research to the faculty

# On the role of the President:

- Is the chief executive officer of the institution
- Ensures that the operation of the institution conforms to the policies set forth by the governing board, and to sound academic practice
- Provides institutional leadership
- Makes sure there is effective communication between components of the institution
- Represents the institution to its many publics

## On the role of the Faculty:

- Essentially, the faculty has responsibility (voice and decision-making authority) for matters in proportion to the degree of their expert knowledge. Therefore...

“The faculty has **primary responsibility** for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process.”

“Faculty status and related matters are **primarily a faculty responsibility**; this area includes appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal.”

- ✓ Has oversight over admissions
- ✓ Sets requirements for degrees
- ✓ Determines when degree requirements have been met



# Why should the faculty voice be authoritative in the academic area?

- ✓ Faculty are distinctly qualified to exercise decision-making authority in their areas of expertise
- ✓ The faculty's "judgment is central to general educational policy" [1966 statement]
- ✓ "scholars in a particular field or activity have the chief competence for judging the work of their colleagues" [1966 statement]

In areas where the faculty doesn't have primary responsibility, the faculty still participate in decision-making. These areas include:

- ✓ Long range planning
- ✓ Hiring and evaluation of administrators
- ✓ Physical plant
- ✓ Budget

## On carrying out faculty responsibilities:

- ✓ “Agencies for faculty participation in the government of the college or university should be established at each level where faculty responsibility is present.”
- ✓ “An agency should exist for the presentation of the views of the whole faculty.”
- ✓ “Faculty representatives should be selected by the faculty according to procedures determined by the faculty.”

# What is Shared Governance

From: Gary Olson, 2009. *Chronicle of Higher Ed*\*

- Shared governance is a delicate balance between faculty and staff participation in planning and decision-making processes, on the one hand, and administrative accountability on the other.

- [\\* http://chronicle.com/article/Exactly-What-Is-Shared/47065/](http://chronicle.com/article/Exactly-What-Is-Shared/47065/)

# What is Shared Governance

From: Gary Olson, 2009. *Chronicle of Higher Ed*\*

- The key to genuine shared governance is broad and unending communication. When various groups of people are kept in the loop and understand what developments are occurring within the university, and when they are invited to participate as true partners, the institution prospers. That, after all, is our common goal.

• \* <http://chronicle.com/article/Exactly-What-Is-Shared/47065/>

# What is Shared Governance

From: Gary Olson, 2009. *Chronicle of Higher Ed*\*

- Shared governance means that people accept their responsibilities... to look at information objectively, take a wider view than that of the individual, to understand the constraints we operate under. Shared governance takes work.

• \* <http://chronicle.com/article/Exactly-What-Is-Shared/47065/>

# “Local” shared governance: DFCs and CFCs

Guiding principles of these councils:

- ✓ **Communication:** the main point of the councils is to provide a basis for improving it.
- ✓ **Transparency:** Chairs’ and Deans’ final decision-making authority is crystal clear; at the same time they are expected to operate as transparently as possible with the elected representatives of their faculty.
- ✓ **Legitimacy:** the Faculty Councils have a right, even a duty, to consult their Chair’s (or Dean’s) supervisor if their rights of consultation and/or their access to information are not respected.

# Guidance re DFCs and CFCs (from Section Three)

## B. The Department Faculty Council (DFC)

### The Role and Purpose of the DFC

The DFC is advisory to the Chair, who holds decision-making authority at the department level.

The purpose of the DFC is to promote collegiality and effective shared governance of the department by increasing the transparency and two-way communication between the faculty and the Chair with regard to the development of policy and to increase communication about the implementation of policy.

**This unequivocal statement also means that the chair has no grounds to withhold information from or to fail to consult because she fears her authority may be undermined.**



# Guidance re DFCs and CFCs (from Section Three)

## Implementation and Membership of the DFC

The Chair is an *ex officio*, non-voting member of the DFC. Chairs will respect their DFC's desire, on occasion, to meet without the Chair present.

Department Chairs are not eligible to vote for or to serve as representatives to the DFC.

**The DFC is an elected body that is separate from a department's administrative committee, and may meet without the chair or the chair's appointees.**

# Guidance re DFCs and CFCs (from Section Three)

## Alternatives to the DFC

The body performing the functions hereby outlined for the DFC may be constituted differently if the faculty so desire, but any such alternative body must:

- Be composed of a majority of voting members who are elected by the permanent full-time faculty of the departments they represent.
- Be chaired by a tenured, elected faculty member who is elected by vote of the elected members of the body.
- Clearly acknowledge in its bylaws the prerogative of the elected members, when those members wish, to meet without the Chair.
- Be clearly identified in the department's bylaws as performing the functions of the DFC.
- Be initially approved and then reaffirmed annually by a majority vote of the permanent full-time faculty members of the department by secret ballot as their preferred alternative to a DFC as outlined elsewhere in this document.

# Guidance re DFCs and CFCs (from Section Three)

## Operation

Consistent with its purpose of providing greater transparency and two-way communication between the faculty and the Chair, the DFC will have the right to prompt access to department information relating to the planning and implementation of departmental policies.

Once the DFC is established in a particular department, the DFC should work with the Dean and/or the Ombuds office to address problems arising in its work that may require external assistance, and should notify the Faculty Senate Executive Committee for information purposes.

**The DFC has a right to such information. In the event the chair will not provide access the DFC may appeal to the Dean and should inform the Ex Comm of the Faculty Senate.**

# Guidance re DFCs and CFCs (from Section Three)

## Frequency of Meeting and Summer DFCs

The DFC should meet as often as deemed appropriate by the council membership with a minimum of two meetings per semester. Each meeting will be called by the chair of the DFC. The Department Chair or any other member of the DFC can request a meeting by contacting the chair of the DFC.

**A DFC is not limited to meetings called by the chair.**

**It should meet at least twice a semester and let colleagues, including the chair, know it is doing so.**

# Guidance re DFCs and CFCs (from Section Three)

Each DFC will take necessary measures to assure continuing functioning of the DFC during the summer months. These may include, but are not limited to, establishing a reduced quorum requirement, allowing members to name, or elect, proxies from among the faculty of their department, and electing an acting DFC chair. Determining the best mix of such necessary measures will be the decision of the DFC itself, based on immediate circumstances and without outside intervention. Such a “Summer DFC” will be recognized by the administration as the legitimate representative of faculty interests in the shared governance of the department during the summer months, and consulted accordingly.

**The DFC should make these arrangements clear to the chair annually, and stress that it expects to be consulted over the summer just as during the academic year.**

**No "summer surprises!"**