Shared Governance: Working Together for the Greater Good
North Carolina A&T Faculty Senate
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I. **Welcome and Overview**
- A. **Shared governance: what it means, when it's effective**
- B. **Working toward "Best Practices"**
- C. **Structures and Choices: Faculty Senate, Committees, and Volunteering**
- D. **Thinking about the Future**

II. **Shared Governance: Meaning and Sources**
- A. **Meaning of "governance" and "shared"**
  - 1. **Conceptual and historical bases**
    - a. **Concepts:** Intellectual Roots and Assumptions (Neil Hamilton, White Paper on "The Future of Shared Governance, 2006) (http://papers.ssrn.com/sol3/papers.cfm?abstract_id=875473 **)**
      - i. Individual faculty members have duties of professional competence and ethical conduct
      - ii. Faculty as a collegial body assume duty of peer review to enforce individual faculty members' obligations
      - iii. Faculty members have expertise rooted in disciplinary knowledge concerning research and teaching that can enhance institutional quality if brought to bear on certain types of decisions and decision-making.
      - iv. Governing boards and administrators have legal responsibilities that faculty members also recognize.
      - v. Cooperation and trust among faculty, administrators and boards are essential for institutional quality.
      - vi. The faculty role in shared governance has traditionally been most prominent in areas where faculty have particular expertise: curriculum, procedures for student instruction, standards of faculty competence and ethical conduct (appointments, promotion, tenure), admissions, grading standards
      - vii. Shared governance is an earned deference tradition.
      - viii. Healthy shared governance is based on the assumption that faculty members have internalized a strong sense of professionalism, including commitment to
        - ✓ Meet standards of ethics and competence set by peers
        - ✓ Strive to realize ideals and core values of the academic profession
        - ✓ Put service to students, the public and advancement of knowledge ahead of self-interest
        - ✓ Develop a sense of personal conscience and capacity for self-scrutiny and oral dialogue with colleagues and others
        - ✓ Commit to a social compact of holding self and others responsible to core standards and values in return for the authority to regulate the academic profession and exercise academic freedom
    - b. **Documents**
      - i. **Joint Statement on Government of Colleges and Universities (by Association of American University Professors, American Council on Education, and Association of Governing Boards, 1966)** http://www.aaup.org/AAUP/pubsres/policydocs/governancestatement.htm
      - ii. **University Code section 502, section 600 and following** http://www.northcarolina.edu/content.php/legal/policymanual/uncpolicymanual_100_1.htm
      - iii. **NC A&T University:** Faculty Handbook
      - iv. **UNC Faculty Assembly: Standards of Shared Governance**

B. **"Effective" (or "healthy" or "good") shared governance: how do we know?**
   1. **Structures?**
   2. **Principles and Practices?**
   3. **Relationships and Trust?**
   4. **Outcomes?**
   5. **One possible definition (Neil Hamilton)**
      - ✓ a <u>structure</u>, a <u>process</u>, and most importantly a <u>culture of trust</u> in decision making
      - ✓ that <u>fundamentally</u> depends on the <u>reflective</u> <u>engagement</u> of <u>each member</u> of the major <u>stakeholder groups</u> at a university—the board, the administration, and the faculty—
      - ✓ with the <u>mission and the tradition</u> of the <u>university</u>
      - ✓ and the <u>academic profession</u>
      - ✓ in the context of the <u>present challenges and opportunities</u> of their <u>institution</u>"

C. **Does context matter? Research on Governance at Historically Minority Institutions**
   1. **Scholarship of Dr. James Minor**
   2. **Others**
   3. **Your observations**

III. **"Practicing" Shared Governance**

A. **Structures**
   1. **Departmental Roles**
   2. **University Committees**
   3. **Faculty Senate**

B. **Rationale**
   1. **It's important: if not me, who? If not now, when?**
   2. **It's collaborative: engaging with others has multiple benefits**
   3. **It's creative and engaging**

C. **Choices: Interest, Expertise, Time, Teamwork**

D. **Some Examples: Story Problems for Practice (now or later)**

IV. **Final Thoughts: "I Wish"…**

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Selected Summaries: Key Documents

A. **Statement on Governance (AAUP, ACE, AGB, 1966)**

   i. Core Notion: Interdependence
   ii. Role of Governing Board: relates institution to chief community; final institutional authority; connecting needs of future to predictable resources; broadly, pay attention to personnel policy; Long range planning; support in times of ill will; defense to society of educational institution
   iii. Role of Chancellor/President: institutional leadership, including planning, organizing, directing, representing institution; define & attain goals, including those involving initiative/innovation; deal with obsolescence; Assure operational standards and procedures are sound; maintain resources and create new resources; manage academic and nonacademic activities; foster public understanding;   Presidential function should receive general support of board and faculty
   iii. Role of Faculty:
   (I) Primary responsibility for: curriculum, subject matter and methods of instruction, research, faculty status, those aspects of student life which relate to educational process; if overruled, should have communication of reasons and chance for further consideration; appropriate for time limits to be set re faculty advice
   (II) Particular responsibilities: sets requirements for degrees offered, determines when requirements are met, authorizes granting of degrees; sets requirements for degrees offered, determines when requirements met, authorizes grant of degrees; addresses faculty status (appointments, reappointments, decisions not to reappoint, promotions, tenure, dismissal); participation in determination of policies and procedures re salary increases; head of department/chair selected following consultation with faculty
   (III) Agencies of faculty participation and structures:
   (A) should be established at each level where faculty responsibility is present and should exist for presentation of the views of the whole faculty;
   (B) structure and procedures for faculty participation should be designed, approved, and established by joint action of the components of the institution
   (C) representatives should be selected by faculty according to procedures determined by the faculty
   (D) agencies may consist of meetings of all members, or faculty-elected committees in departments and schools and faculty-elected senate or council
   (E) means of communication among components of institution include: Circulation of memoranda, joint ad hoc committees, standing liaison committees, membership on administrative bodies, membership on governing boards; channels of communication should be clearly understood and observed

B. **University of North Carolina Board of Governors: University Code**

   i. Relation of Chancellor to BOG and President: Keep informed of operations and needs of institution; Make recommendations for development of educational programs and serve as adviser with respect to all programs and activities of the institution; Responsible for enforcement of decisions; Make recommendations for appo0intmen t of personnel; Present all matters to be considered by BOG including proposed budget; Official medium of communication between president and deans, chairs, directors, administrators, faculty members, students and employees
   ii. Chancellor's relationship with BOT: attend meetings, keep BOT informed, provide detailed operational report, enforce policies, serve as medium of communication with faculty, students, administrators, staff,
   iii. Chancellor's relationship with Institution:

- ✓ Define scope of authority of all faculties, councils, committees and officers
- ✓ Authorize and approve all projects, programs and institutional reports on behalf of the institution
- ✓ Responsibility for student affairs and student discipline
- ✓ Be a member of all faculties and academic bodies, and have right to preside over deliberations of any legislative bodies of the faculties
- ✓ Responsible for ensuring that there exists in the institution a faculty council or senate, a majority of whose members are elected by and from the members of the faculty (general faculty may function in this role, however): Faculty shall be served by chair elected by generation faculty or by council or senate; Chancellor may attend and preside over all meetings of council or senate; Council or Senate may advise Chancellor of any matters pertaining to institution that are of interest and concern to the faculty
- ✓ In addition to establishment of faculty council or senate, Chancellor shall ensure establishment of appropriate procedures within institution to provide members of the faculty the means to give advice with respect to questions of academic policy and institutional government, with particular emphasis on matters of curriculum, degree requirements, instructional standards and grading criteria
- ✓ Procedures may be through council or senate, standing or special committees or other consultative means

C. UNC Faculty Assembly: Standards of Shared Governance
- ✓ Faculty Senate; meetings, elected membership, officers, structure, deliberation, regular procedures, adequate support
- ✓ Chair of the Faculty: elected spokesperson with appropriate reassigned time
- ✓ Faculty Governance Responsibilities
  - ➢ Codified in governance document
  - ➢ Curriculum approved by faculty (committee as whole, elected representatives or designated by procedures), including: Graduation requirements, grading, attendance, add-drop, course repeats, Establishment/merger/discontinuation of departments, schools, colleges and elimination or consolidation of degree programs; Establishment of new degree programs (including online), majors, courses, honors program policies; Admissions policies; Graduate and professional degrees (by faculties of schools)
  - ➢ Consultation as to policies on reappointment, tenure, promotion, post-tenure review
  - ➢ Review of faculty handbooks, academic policy manuals, institutional policy statements affecting teaching, research, conditions of employment
  - ➢ Granting of honorary degrees
  - ➢ For joint committees: representation reflecting faculty's stake; selected in consultation with elected faculty leadership or processes approved by senate
- ✓ Administration-Faculty Collegiality
  - ➢ Collegial, candid, cooperative relationship should exist
  - ➢ Expected that senior administrators will uphold decisions of senate in areas where faculty has primary responsibility (curriculum and tenure/promotion/policies)
  - ➢ Consultation in timely way and seeking meaningful faculty input on range of topics
  - ➢ Meaningful participation in selection of academic administrators, appointment and reappointment of dean/chair, evaluation procedures

Research on Shared Governance in Historically Minority Colleges and Universities

1. Study by Dr. James Minor, AAUP, 2005)
   a. Approach: survey and site visits; interaction with faculty, faculty senate, administrators
   b. Contextual factors:
      i. History of HCBUs
         (I) Tradition of strong presidential leadership: autocratic? Or needed for survival and progress?
         (II) Factors: communicative styles, history, external stimuli
      ii. Comparison to traditionally white institutions or not?
   c. Differing perceptions of faculty, senate chair, president re:
      i. Shared governance is an important part of my institution's value and identity?
      ii. President and administration are genuinely committed to shared governance?
      iii. Level of trust between president and faculty is good or at least sufficient to move forward with campus initiatives?
      iv. Communication between campus constituents is good or sufficient to make progress?
      v. Faculty Senate is important governing body?
   d. Areas of substantial faculty influence?
      i. Undergraduate curriculum?
      ii. Tenure and promotion policies?
      iii. Strategic and budget priorities?
      iv. Distance learning?
      v. Elevation of chief academic officer?
      vi. Selection of president?
   e. Minor raised thoughtful questions:
      i. Do deep commitment to teaching traditions and students affect ability of HBCU faculty to participate effectively in governance?
      ii. How does external climate affect practices and internal climate?
      iii. How do governing boards' perspectives affect practices?
      iv. Do practices regarding participation through academic departments and standing committees versus faculty senate differ?
      v. What areas are of special concern—student recruitment, finances, research capacity, retaining faculty v. program reviews?
2. Spelman (Dr. Beverly Guy-Sheftall)
   (http://www.aaup.org/AAUP/pubsres/academe/2006/ND/Feat/GuyS.htm
   a. Joint work on shared governance structures
   b. Junior faculty caucus
   c. Questions:
      i. What would make decision-making processes more transparent?
      ii. How can communication among campus constituents be improved to promote greater collaboration
      iii. How might candid dialogue be fostered about systemic barriers to greater faculty involvement
      iv. How might the academic mission be made more central?
   d. Resistance to change: administrators and faculty too?

TABLE 1 Perceptions of Shared Governance by Institutional Type (percent)

Indicators	Baccalaureate	Master's	Doctoral	All
Shared governance is an important part of my institution's value and identity	66	75	67	69
The president and administration are genuinely committed to shared governance	71	60	60	69
The level of trust between the president and the faculty is good, or at least sufficient to move forward with campus initiatives	74	63	57	68
Communication between campus constituents is good, or at least sufficient to make progress	67	66	59	65
The Faculty Senate is an important governing body at my institution	60	71	61	64

TABLE 2 Perceptions of Shared Governance by Constituent (percent)

Indicators	Chief Academic Officer	Senate Chair	Faculty
Shared governance is important	77	70	24
A genuine commitment to governance exists	92	65	65
A high level of trust exists	97	65	60
Communication is good	92	65	63
The Faculty Senate is important	78	69	57

TABLE 3 Areas of Substantial Faculty Influence in Decision Making (percent)

Decision Type	Baccalaureate	Master's	Doctoral	All
Undergraduate curriculum	78	71	63	73
Tenure and promotion policies	58	60	61	60
Strategic and budget priorities	18	26	20	22
Distance learning	18	66	59	65
Elevation of chief academic officer	8	12	23	11
Selection of president	16	16	16	16

Ground Rules for Effective Groups

Some Suggestions:

- ➤ Everyone is encouraged to participate.
- ➤ The purpose is to have an open dialogue rather than a debate.
- ➤ Every individual will make an effort not to dominate the discussion, and will try to self-monitor the duration of his or her comments.
- ➤ An atmosphere of respectful listening is desired. It is fine for participants to choose to be silent, but it is not okay for anyone to feel they are silenced. No "cheap shots" or personal attacks are allowed.
- ➤ No one is ever expected to disclose information that is private or personal in this setting, but they may choose to do so if they wish.
- ➤ All comments are to be respected and welcomed.
- ➤ The responsibility for doing the work of deliberative discussion belongs to the group.

Additional suggestions?

Facilitator's Role: Help the discussion along, invite comments, don't dominate

Reporter's Role: Help keep track of key comments, keep time, be prepared to give a short summary reflecting key ideas from throughout the group

1. What's the dilemma?
2. What considerations are important?
3. Suggestions for action?
4. Questions?

Story Problems

1. **New Major.** You're a member of a small (10 member) department that has been asked to work with another department to develop a new interdisciplinary major in ecology. You're concerned that this initiative will be difficult to accomplish. Your current department includes some faculty members who have been underperforming because of family health problems or mid-life slumps. You also have two untenured faculty members who are not yet on their feet. You don't really know the members of the department you're being asked to work with to develop the new major. Your department chair has asked you to come in to give him some advice on how to develop a successful strategy to deal with this situation. Think through what you might suggest.

2. **Faculty Senate.** You're a junior faculty member, relatively new to the campus. You'd like to contribute to making the campus a better place and believe that faculty contributions to governance can be important. You've heard that the Faculty Senate has been at odds with the former Chancellor and that those who have served on the Senate have thought it was a waste of time. You're worried about getting tenure and you don't want to get people mad at you. At the same time, you've know that a new Chancellor will be selected soon and you'd like to address some issues that you believe are particularly important, such as improving the effectiveness of student recruitment and retention, and assuring that there's more support for faculty professional development. A friend in another department suggests that you put your name forward for election to the Faculty Senate or appointment to an important campus committee. What would you want to know? What would you do? Would it matter if the person suggesting that you stand for election is a tenured colleague in your own department? Would it matter if you attended a Senate meeting and saw that there was not a quorum or that the interaction among the Senators, University administrators, and Senate leaders was tense?

3. **Faculty Evaluation and Post-Tenure Review.** You're a tenured faculty member. You've heard that the Provost has asked an appointed committee including faculty members and administrators to develop a sound system for faculty evaluations. In the experience of you and your friends in other departments, it seems that department chairs aren't always effective in supporting faculty members in reaching their greatest potential. You're also concerned that evaluation systems can be applied haphazardly as a way of giving raises that are not always consistent and fair. You're also not sure how the people on the campus committee were selected, and wonder what the role of the Faculty Senate should be in discussions of this sort. You'd heard that the Senate had been asked to comment, but you really don't know if those who aren't elected members of the Senate can speak or contribute their comments in a way that assures that opinions are really heard. You've also heard that the UNC System's General Administration has appointed a committee made up of provosts and legal counsel from other campuses to review faculty grievance procedures and post-tenure review processes. Rumor has it that there are proposals afoot that would shift post-tenure review to a system of review by administrators rather than colleagues, and that those who are cited for "outdated" content or "ineffective" teaching techniques will be given one year then dismissed if they don't "get with the program." What should you do?

4. **New Leadership.** It looks like this is going to be a year of transition. Your department chair/head has said she doesn't want to continue in that role. The dean of your college has taken a position elsewhere and you've heard that a search is on to find a successor. The Board of Trustees has also given notice that there will soon be an open meeting about priorities in finding a new Chancellor. Assume that you've been asked to write a letter describing important priorities in selection of a new department chair/head and a new dean of your college. What would you say? Assume that you attend the open meeting with the Board of Trustees about a new chancellor. You sign up to speak, and when you get to the microphone the chair of the Board asks you to discuss (a) what you think is most important in a new Chancellor, and (b) what the faculty are prepared to do in order to create a more effective system of shared governance. What do you say? If you were a member of the Faculty Senate charged with speaking on behalf of the faculty as a whole, what would you say?

Tear Off and Drop at the Front of the Room (or email to Judith_wegner@unc.edu)

Next Steps for the Campus

1. I wish that the next chancellor would:

2. I wish the Faculty Senate would:

3. I wish my department would:

4. I wish my colleagues would:

5. I'd know that we had effective shared governance if:

6. I'd like to contribute by:

Other Comments

Name (optional)

Department (optional)

Rank (optional)

Contact information (optional):