

## **Report of the Exploratory Ad Hoc Committee on Shared Governance within the School of Arts and Sciences**

After meeting with the former and current Dean of Arts and Sciences, the former Provost, the former president of the University Faculty Senate, various faculty members involved in the creation of the UFS, chairs of A&S standing committees, to discuss the notion, history, and challenges of shared governance in Arts and Sciences and across the University,

And after meeting with governance representatives of the Leadership school and the Business School to discuss the strengths and weakness of their models (and other models with which they were familiar),

And after exploring various models of shared governance at numerous peer institutions,

And after presentations and the seeking of feedback at an A&S faculty meeting and an Academic Council meeting, and the soliciting of feedback from the A&S faculty at large,

And after discussions of the findings of these various interviews and explorations and presentations, the Exploratory Ad Hoc Committee on Shared Governance within the school of Arts and Sciences puts forth the following recommendation:

***That, pursuant to achieving a unified and coherent A&S governance structure, the A&S faculty elect from its members a committee to accomplish the following tasks:***

***(a) Create a unified governance document for the A&S faculty, such as bylaws.***

***(b) Clarify the duties of the Dean and the relationship of the Dean of A&S, the Associate Deans of A&S and the A&S Faculty concerning matters of governance.***

***(c) Clarify the relationship of A&S governance structures with those of the University Faculty Senate.***

***(d) Review the current A&S Committee (and Academic Council) (i) organization, (ii) areas of responsibility, and (iii) reporting protocols for inefficiencies and omissions and recommend an updated committee/governance structure.***

***(e) Review whether the current practices for the selection of A&S committee members (egs., tripartite/quadrupartite elections, elected vs nominated, election of partite members by entire faculty, etc.) are sufficient for (i) the equitable distribution of committee assignments and (ii) insuring a diverse representation of faculty interests and viewpoints, and recommend an updated set of committee selection processes. (f) Develop protocols and templates for***

***uniform recording, presenting, and accessing of A&S governance documents and actions.***

***(g) Work with the A&S Dean's Office to (i) restore, as much as possible, and make accessible, past governance documents and actions, such as A&S faculty meeting minutes and agendas, and (ii) develop a method of archiving (in an easily accessible manner) these documents and actions and any future documents or actions that may be subsequently approved.***

***(h) Work with the A&S Dean's Office to ensure proper training of A&S faculty in the governance procedures recommended in tasks (a) - (f), which might include training in Robert's Rules of Order, training for Committee chairs, orientation training for new faculty, and workshops for existing faculty.***

#### General Rationale:

The tasks, while certainly interconnected, are too numerous and complex for the current exploratory committee to accomplish in anything close to the time frame of its original charge. The tasks are important enough to the faculty that the faculty charged with performing those tasks ought to be elected representatives of the faculty and not merely nominated by the Nominating Committee.

#### Rationales for individual tasks:

(a) There is no unified document of governance policies and procedures in A&S. Various aspects of A&S governance can be found in diverse locations, such as: (i) Faculty Handbook, Appendix I, section B. [Criteria, Process, and Procedures for Tenure, Promotion, and Performance Reviews]; (ii) Faculty Handbook, Appendix II, sections B and C [Dept. Chairs/Academic Council and Academic Approval Process respectively—the remnants of the Guide to Faculty Governance]; (iii) approved A&S Committee governance documents such as the Charge and By-Laws of Dean's Advisory Council and the Purpose, Policies, and Procedures of FRC; (iv) Charges and membership selection processes of other A&S committees [A&S Dean's Office Website], some of which have unofficial guidance documents, such as the Nominating Committee Handbook; (v) Actions recorded in A&S faculty meeting minutes, though these are only intermittently available back to 2010. [See Appendix III for a summary of A&S faculty governance actions at faculty meetings back to 2014.]

Otherwise faculty governance, especially in A&S committees, appears to be a matter of imitating past action, which relies on a potentially faulty institutional memory of how the faculty or committee has operated in the past. [Note that there are also some policies of the A&S Dean's Office that have been approved by the A&S faculty, for example, the Guidelines for Merit Review and others that have not, for example, Enhanced Sabbatical Compensation Policy.]

Given the turnover in administrators in the A&S Dean's office, in other schools of the University, and in the Provost's office, and given the increase in the percentage of relatively new faculty, there has been reported frustration both within

and outside the school over not having clear guidelines for raising, discussing, and addressing items of importance to the school. Some specific examples from our interviews include (i) the Business School's proposed joint entrepreneurship minor, (ii) how to even begin to address issue of fairly tenuring scholars hired by interdisciplinary programs (even if affiliated with a single department), and (iii) the process for creating new programs or departments, especially interdisciplinary ones.

(b) There are currently no documents specifying the job of the Dean of A&S or the Dean's governance relation with the faculty. Section 3.2 of Article III of the University Bylaws merely states: "The University shall have such deans of academic schools as may be deemed necessary or advisable. All deans of academic schools shall report to the Provost and Vice President for Academic Affairs." The following paragraph from the Guide to Faculty Governance, which is no longer a governing document of the University as of Jan. 1, 2017, does not appear to have been transferred to any other currently in effect governing document.

*The Dean of each school is the executive officer and is responsible to the Provost in academic matters. The Dean of the School of Arts and Sciences, the Dean of the Robins School of Business, the Dean of the Law School, the Dean of the Jepson School of Leadership Studies, and the Dean of the School of Professional and Continuing Studies are responsible for implementation of their respective curricula, for budgets and faculty recruitment, appointments, and reappointments. Each of these deans makes recommendations to the Provost for the continued improvement of his/her respective programs and is responsible for the general instructional excellence of academic personnel exclusively within his/her own school. The Deans of Arts and Sciences, Business, Law, Leadership Studies, and Continuing Studies have primary responsibility for recommending persons for tenure and/or promotion. In addition, these deans serve ex officio on all of his or her school committees, respectively. The Deans of Business, Law, and Leadership are responsible to the Vice President for Student Development in undergraduate student life matters.*

(c) Any A&S governance structure that emerges as a result of the committee's work will need to make clear the relationship between the elected representatives of any A&S governance body and the A&S Senators who have been elected to represent the interests of A&S at the University level. For example, some actions of the A&S faculty will also need approval at the University level. In such cases, there should be clear procedures for the transfer of such actions from any A&S governing body to the A&S Senators on UFS. At the same time, how best to balance the efficiency of having A&S Senators privy to A&S policy deliberations without overburdening Senators' time and duties must be considered.

(d) According to the Exploratory Committee's charge, "there are recognized inefficiencies and unusual governance structure used within the School of Arts and Sciences." Our explorations confirm this claim. For example, the major curriculum

approval body in A&S is Academic Council; the Curriculum committee itself is merely charged with “reviewing and proposing changes in the general education requirements for undergraduates in Arts and Sciences”; and there is no body that considers matters of curriculum reform, development, or innovation. Other institutions often have an elected Curriculum Committee, distinct from a Council of Chairs, whose charge encompasses approvals, revisions, development, and innovation in the curriculum. Additionally, many institutions have a faculty budget committee. The DAC is the closest A&S has, but DAC is odd in that half its members come from Academic Council and half are really elected to the University P&P committee. In addition, both DAC and AC have been used as sounding boards by the Dean for various initiatives and policy proposals of the Dean—a role perhaps better served by a Council of Chairs, which will have to enact any such policies at the department level, and some sort of Executive Faculty Governance Committee serving as elected representatives of the interests of the A&S faculty as a whole. At present, there is no committee concerned with hiring, mentoring, and leave practices and policies, which at some other institutions is the purview of a Personnel Committee. Finally, Arts and Sciences does not have its own Grievance Committee. These examples are not exhaustive, but do indicate the need for review of the current committee responsibilities and structure.

(e) Concerns have been expressed about the same individuals serving or being elected over and over again, while others struggle to acquire any committee service and about there being no consequences for failing to fill out the committee preference forms. In addition, reviewing the committee selections and election procedures would make sense in conjunction with the wholesale review of the committee structure proposed in task (d).

(f), (g) To ensure the continuity of governance norms and practices beyond just the memories of particular faculty or Deans and to prevent the unnecessary reinvention of various procedures, uniform recording and archiving of governance actions and documents is required.

(h) To ensure the continued effectiveness and longevity of whatever shared governance the committee advances concerning the previous tasks, there must be adequate training of the faculty in the norms, procedures, and documentation of effective governance.

Further, the Committee offers the following three options for the makeup and powers of the elected committee.

### **A. A&S Shared Governance Taskforce**

#### Membership

I. The voting membership of the A&S Faculty Governance Committee shall consist of 8 members:

1. Two committee members (full-time colleagues without administrative status who are

tenured, tenure-track, on continuing annually renewable appointments, or who have been granted faculty status) shall be nominated and elected from each quadripartite division by the members of the respective division only.

2. Faculty with administrative status, which does not include department chairs, are not eligible to serve as committee members but may vote in elections for committee members.

II. The members of the Taskforce will elect a chair from among their members.

III. The Dean of Arts and Sciences shall be an ex-officio, non-voting member of the Taskforce.

IV. The term of the Taskforce shall be 3 years (or the completion of the tasks) whichever is sooner.

#### Duties

I. Accomplish tasks (a)-(h).

II. Report regularly, but not less than twice per academic year, to the A&S faculty on its progress in producing governance documents and policies that address tasks (a) – (h).

Rationale: With no governance responsibilities, the Taskforce can focus on producing a complete set of recommendations to accomplish tasks (a)-(h) in a unified and coherent manner, while not interfering with the current A&S business that needs to be accomplished. In addition, the Taskforce format does not prejudge the final outcome of the committee structure review in favor of some sort of executive faculty governance committee.

### **B. Interim Faculty Governance Committee (Moderate)**

#### Membership

I. The voting membership of the Interim A&S Faculty Governance Committee shall consist of 9 members:

1. A Chair of the Faculty, who shall also chair the Interim A&S Faculty Governance Committee, shall be nominated and elected by the A&S faculty from among their full-time tenured colleagues without administrative status.

2. Faculty with administrative status, which does not include department chairs, are not eligible to serve as Chair of the Faculty but may vote in elections for the Chair of the Faculty.

3. Two committee members (full-time colleagues without administrative status who are tenured, tenure-track, on continuing annually renewable appointments, or who have been granted faculty status) shall be nominated and elected from each quadripartite division by the members of the respective division only.

4. Faculty with administrative status, which does not include department chairs, are not eligible to serve as committee members but may vote in elections for committee members.

II. The Dean of Arts and Sciences shall be an ex-officio, non-voting member of the Interim A&S Faculty Governance Committee.

III. The initial terms of the Interim Faculty Governance Committee members shall be as

follows:

1. The Chair of the Faculty shall have an initial term of 3 years.
2. One randomly selected quadripartite division shall have members with initial terms of 1-year and 2-years.
3. One randomly selected quadripartite division shall have members with initial terms of 1-year and 3-years.
4. The remaining quadripartite divisions shall have members with initial terms of 2-years and 3-years.
- IV. Subsequent terms for all members shall be 3 years.
- V. No individual shall serve more than two consecutive terms.

Duties:

- I. Accomplish tasks (a)-(h).
- II. The Interim Faculty Governance Committee, via the Chair of the Faculty, shall call sufficient university faculty meetings for the purpose of conducting the necessary business of the school of Arts and Sciences. For any A&S Faculty Meeting, the Chair of the Faculty shall set the agenda in consultation with the Dean of Arts and Sciences and the A&S Interim Faculty Governance Committee, and conduct the meeting.
- III. Report regularly, but not less than twice per academic year, to the A&S faculty on its progress in producing governance documents and policies that address tasks (a) – (h).

Rationale: The (Moderate) Interim FGC would have minimal governance responsibilities (in the form of calling and running A&S faculty meetings) so as to see the typical sorts of actions being brought to the A&S faculty. Otherwise, the Interim FGC would remain separate from the current interactions between A&S Committees and the A&S Dean's Office, so as not to interfere with the necessary business of the school, while focusing its attention on the accomplishment of tasks (a)-(h), including the final form and role, if any, of the Faculty Governance Committee. [See Appendix I for a sample of a more complete version of a potential description and bylaws of a Faculty Governance Committee.] At the same time, being party to at least some governance actions of A&S might allow the Interim FGC to see and propose incremental changes to the current structure that would facilitate the transition to whatever final proposals the Interim FGC put forth concerning tasks (a)-(h).

### **C. Interim Faculty Governance Committee (Robust)**

Membership

- I. The voting membership of the Interim A&S Faculty Governance Committee shall consist of 9 members:
  1. A Chair of the Faculty, who shall also chair the Interim A&S Faculty Governance Committee shall be nominated and elected by the A&S faculty from among their full-time tenured colleagues without administrative status.
  2. Faculty with administrative status, which does not include department chairs, are not eligible to serve as Chair of the Faculty but may vote in elections for the Chair of the

Faculty.

3. Two committee members (full-time colleagues without administrative status who are tenured, tenure-track, on continuing annually renewable appointments, or who have been granted faculty status) shall be nominated and elected from each quadripartite division by the members of the respective division only.

4. Faculty with administrative status, which does not include department chairs, are not eligible to serve as committee members but may vote in elections for committee members.

II. The Dean of Arts and Sciences shall be an ex-officio, non-voting member of the Interim A&S Faculty Governance Committee.

III. The initial terms of the Interim Faculty Governance Committee members shall be as follows:

1. The Chair of the Faculty shall have an initial term of 3 years.

2. One randomly selected quadripartite division shall have members with initial terms of 1-year and 2-years.

3. One randomly selected quadripartite division shall have members with initial terms of 1-year and 3-years.

4. The remaining quadripartite divisions shall have members with initial terms of 2-years and 3-years.

IV. Subsequent terms for all members shall be 3 years.

V. No individual shall serve more than two consecutive terms.

Duties:

I. Accomplish tasks (a)-(h).

II. The Interim Faculty Governance Committee, via the Chair of the Faculty, shall call sufficient university faculty meetings for the purpose of conducting the necessary business of the school of Arts and Sciences. For any A&S Faculty Meeting, the Chair of the Faculty shall set the agenda, in consultation with the A&S Faculty Governance Committee, and conduct the meeting. The Dean of A&S shall be invited to place items on the agenda.

III. Request and receive updates on the business of all A&S Committees at least once per semester.

IV. Discuss and vote on all items requiring A&S faculty approval prior to presentation to the A&S faculty.

V. Report regularly, but not less than twice per academic year, to the A&S faculty on its progress in producing governance documents and policies that address tasks (a) – (h).

Rationale: In addition to the power to call and run A&S faculty meetings, the (Robust) Interim Faculty Governance Committee would be the central hub for receiving reports and requests from A&S committees, while also serving as the final approval step for all A&S proposals prior to consideration by the full A&S faculty. [The latter would require amending the Faculty Handbook, Appendix I, section C, School of Arts and Sciences Academic Approvals.] Given that the committee would be both performing A&S governance business and attempting to accomplish tasks (a)-(h), the recommendations of the committee would likely be incremental and could likely begin with a more robust set

of its own bylaws and duties and responsibilities and powers. [See Appendix I for an example.]

## **Appendix I: Sample Description of A&S Governance Committee\***

### General description

The A&S Governance Committee is responsible for overseeing the faculty governance of the School of Arts and Sciences. It is the committee most broadly and directly responsible for representing A&S faculty concerns. The Governance Committee and the Chair of the Faculty jointly have the power to convene faculty meetings and to set their agenda. It is available to the Dean of Arts and Sciences, the Provost, the University President, other administrative officers, and the Board of Trustees for consultation on any matter of interest to the A&S faculty. In addition to overseeing the A&S faculty's responsibility for the A&S curriculum, the Governance Committee brings to the A&S faculty issues of policy, and advises the Dean on issues of direct interest to the A&S faculty, including but not limited to: compensation, workload, intellectual property, intellectual freedom, sabbaticals, voting eligibility, family leave, partner accommodations, the evaluation of teaching and professional activities, budget and financial priorities, etc. It also oversees the work of all other A&S committees, which will report their work to the Governance Committee regularly and to the overall A&S faculty annually. It establishes working groups and ad hoc committees, as needed, and serves as a clearing house for issues brought to the committee's attention from the faculty. It also oversees the archiving of governance documents.

### Membership:

Nine members: Two faculty members elected by each quadripartite division + the Chair of the Faculty, elected by the entire faculty.

Term of service: The term of membership consists of three years with the various appointments being staggered to maintain proper continuity.

Exclusions: No more than 4 members of GC may also be Senators. Faculty with administrative status, which does not include department chairs, are not eligible to serve as GC members but may vote in elections for committee members.

**Chair of the Faculty:** A tenured faculty member, elected directly by the A&S faculty as a whole. The duties of the Chair of the Faculty shall include (1) calling for and presiding at meetings of the faculty; (2) serving as Chair of the Governance Committee; (3) preparing the agenda for faculty meetings; (4) at the invitation of the Dean of A&S, serving as a member of the School's Administrative Council; (5) facilitating communication between faculty members and others in various public and private matters; (6) serving as a representative of the faculty in various public and private venues; (7) serving to facilitate communication between the faculty and the Board of Trustees by attending trustee meetings with the privilege of the floor but without vote. The faculty shall elect the Chair of the Faculty to a three-year term by mail or electronic ballot

majority vote. Every faculty member who will be tenured and on campus during both terms of the first year in office is eligible to be elected Chair of the Faculty.

**Faculty Secretary:** One member of the Governance Committee is appointed by the committee to be Faculty Secretary. The Faculty Secretary takes the minutes at faculty meetings and works with the Dean's Office and Communications to maintain, archive, and make digitally accessible all A&S faculty governance records (faculty meeting minutes, committee membership lists, committee reports, documents distributed before or during faculty meetings, etc.).

#### Faculty meetings:

The faculty's work is done principally through its own elected and appointed committees. At its meetings, the faculty hears reports and announcements from its committees and from representatives of other A&S constituencies, adopts resolutions, debates proposals and issues facing the A&S that affect educational policy or faculty life at the School, and may conduct elections.

The A&S Governance Committee sets the agenda for faculty meetings. Members of the A&S community may propose agenda items to the Governance Committee. The Chair of the Faculty moderates the faculty meetings. Minutes are recorded by the Faculty Secretary.

**Parliamentarian:** A Faculty Parliamentarian is appointed by the Governance Committee to advise the Chair of the Faculty concerning the conduct of faculty meeting, according to Roberts Rules of Order. The parliamentarian shall give interpretations of procedure when requested to do so by the presiding officer, or on his or her own volition. Any interpretation by the parliamentarian shall hold unless a two-thirds majority of those faculty members present and voting overrules it.

#### Bylaws Interpretation and Revisions:

The A&S Governance Committee shall rule on any question of interpretation of the Bylaws, though such rulings may be reversed by a two-thirds vote of the faculty. Any Governance Committee ruling regarding interpretation of these Bylaws is to be reported to the faculty at its immediately subsequent meeting. A proposed amendment to these Bylaws may be initiated by the A&S Governance Committee or by ten percent of the voting faculty. Any amendment shall be circulated to members of the faculty at least two weeks before it is to be brought before the faculty for vote. A proposed amendment shall be placed on the agenda of a meeting of the faculty, will be discussed, and a vote will be taken. If it passes this reading by majority vote (with provision for amendment, by majority vote, of the proposal), it shall be read a second time at a subsequent faculty meeting. At this second reading, no amendment of the proposal held by the Chair of the faculty to be a substantial alteration of the proposal shall be entertained. This second and final reading shall require for passage a vote in favor by a two-thirds majority. Any amendment of these Bylaws shall take effect upon final passage or

at a date set by the faculty. Any amendment of these Bylaws is subject to veto by the Board of Trustees. The faculty shall be the final on-campus voting authority on all matters of educational policy. The faculty may adopt resolutions originating from other sources, such as its own and other A&S committees.

\*Adapted from the governance models at Bowdoin College, Williams College, and Carleton College.

**Appendix II:** Items worthy of consideration by the next A&S committee tasked with shared governance.

### **Bylaws**

Perhaps use UFS Bylaws as a model. (At the very least any A&S Bylaws must use language consistent with UFS Bylaws.)

Have outside consultant produce bylaws.

### **A&S Committee Structure**

Strengthen Curriculum Committee

Keep Faculty Research and Undergraduate Research Committees and centralize faculty governance in these committees so faculty have greater voice and vote on budget related issues and awards according to merit.

Consider shifting DAC to Budget Committee

Consider adding Innovation and Initiatives Committee

Consider adding a Personnel Committee that would house

- T & P
- Equity Committee
- Mentoring Committee
- Grievance Committee
- Hiring Committee

Consider adding a Student Affairs/Petition/Grade Committee

Be mindful to not duplicate committee work done by University Committees.

### **Academic Council**

Academic Council could become a true council of chairs and coordinators

Academic Council could focus on more narrow charge as a Dean's advisory committee for administrative work in and through departments and programs [part of clarifying the distinction between governance duties and administrative duties.]

### **Improved Voting and Nominating**

Consider more voting in division to enhance representative governance.

Explore possibility of ranking multiple nominees. [In an earlier voting system in A&S, everyone nominated 10 people in rank, and those ranks were compared, so that someone who was often ranked #4 might win over someone who was ranked

#1 by only a few people. This process resulted in greater variety among the people winning the elections.]

Hold people accountable for filling out committee preference forms.

Explore possibility of departmental nominations to enhance service appointments.

### **Miscellaneous**

Governance should be designed to protect Faculty Time and Labor

- Course release for Faculty Governance Committee Chair
- Administrative Support for Faculty Governance Committee
- Shorter 2 year terms of service for untenured faculty
- Strategic planning at Departmental level to ensure service to FGC is factored into faculty assignments and review
- Review committee load in comparison to other institutions

Governance should be designed to respect and support the needs and perspectives of both departments and interdisciplinary programs.

### **Appendix III: Summary of Formal actions of A&S Faculty at Faculty Meetings back to 2014**

April 14, 2016: Approved minutes; approved actions of AC; extended the work of Ad Hoc Committee on Promotion.

March 17, 2016: Approved minutes; approved actions of AC; moved electronic vote for proposal to amend the requirements for the BS degree. [Results? Reported in an email sent to faculty by Dean Skerrett, but actually recorded?]

Feb 11, 2016: Approved minutes; approved actions of AC.

Jan 19, 2016: Approved minutes; approved actions of AC; moved electronic vote for proposed entrepreneurship minor. [Results? Reported in an email sent to faculty by Dean Skerrett, but actually recorded?]

Dec 3, 2015: Approved minutes; approved actions of AC.

November 19, 2015: Approved minutes; approved actions of AC; approved Ad Hoc Exploratory Committee for Study of Faculty Governance.

Nov. 5, 2015: Approved minutes; approved actions of AC (however, severed (and tabled) AC's approval of entrepreneurship minor); revised charge of Ad Hoc committee on Promotions

Oct 8, 2015: Approved minutes; approved actions of AC.

Sep. 17. 2015: Approved minutes; approved actions of AC; suspended Criminal Justice Program.

April 16, 2015: Approved minutes; approved actions of AC; approved creation of Ad-Hoc Committee on Promotion.

March 18, 2015: Approved minutes; approved actions of AC; revised DAC by-laws; partially approved revision to Guidelines for Annual Merit Review Process.

Feb 12, 2015: Approved minutes; approved actions of AC.

January 20, 2015: Approved minutes; approved actions of AC.

Oct 8, 2014: Approved minutes; approved actions of AC.

Sep 18, 2014: Agenda, but no minutes.

April 15, 2014: Approved minutes; approved actions of AC; approved two motions from Nominating Committee relevant to procedures of various committees [but no readily available documents that these motions apply to?]; approved DAC By-laws.

March 20, 2014: No agenda, no minutes posted. [Supposed to be vote on University Faculty Senate??? Or at least presentation of proposal?]

Feb 25, 2014: Approved minutes; approved actions of AC.

Respectfully submitted March 23, 2017

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