

The American Association of University Professors

Indicators of Sound Governance

How to Use This Instrument

The AAUP's Committee T on College and University Government has approved this instrument as a tool for assessing the extent to which practices at your institution comport with national standards for shared governance in higher education. We believe that each of the items on the questionnaire reflects necessary conditions for sound shared governance. On the other hand, we don't intend the items to constitute an exhaustive representation of ideal conditions for sound governance. Furthermore, we don't intend the instrument to measure opinions or satisfaction; we designed it to help you compile informed responses. Therefore, a good method for completion would be for a committee of faculty members who are experienced in governance on your campus to complete the instrument consensually.

Expectations and Assumptions That Underlie the Items

Overall Climate for Shared Governance

According to the AAUP's *1966 Statement on Government of Colleges and Universities*, governance in higher education should result from cooperation and interdependence between and among the administration, governing board, faculty and (to a lesser degree) other constituents. The *Statement* emphasizes that it is in the best interests of the institution for the president, governing board, and faculty to speak with a unified voice to outside agencies and publics whenever possible. A shared goal or spirit of collaboration on the part of the administration, governing board, and faculty is vital to healthy governance.

The *Redbook (AAUP Documents and Reports)* and other sources also address other elements of campus climate that may either affect or reflect the health of shared governance at the institution. These elements include morale, tolerance of diversity, and participation. Items 1-13 relate to the overall climate for shared governance at your institution.

Governance in Areas of Faculty Primacy

The AAUP recognizes the *de jure* authority of the governing board—and, secondarily, of the president—for governance of all aspects of the institution. However, according to the *1966 Statement*, faculty judgments should ordinarily prevail in three areas. These areas are (1) curriculum, subject matter and methods of instruction, and research; (2) matters of faculty status (e.g., hiring, dismissal, retention, tenure, and promotion); and (3) those aspects of student life that relate to the educational process. Although the president and the governing board may override the faculty's judgments in

these areas, standards dictate that they should rarely do so. Items 14-22 relate to the faculty's governance role in those areas in which the faculty's judgments should prevail.

The Faculty's Governance Role in Areas of Shared Responsibility

The *1966 Statement* notes that in some areas of governance, the faculty, president, and governing board share decision-making with greater weight in decision-making accorded to one or another of the participants. In those areas, the degrees of respective authority, responsibility, and vested interest determine which group's judgment should carry greater weight.

In general, the faculty should have a meaningful role in decision-making in those areas that have a significant impact on the educational and scholarly enterprise. The faculty should share with the governing board the responsibility of selecting the institution's president, and should significantly influence the hiring of other academic administrators. Budgeting, strategic planning, facilities planning, and regulating intramural athletics are only a few of the other functions that require significant participation by the faculty, according to the *Redbook*. In addition, the faculty should have a say regarding institutional relationships with outside entities—government agencies, athletic conferences, the church, accrediting bodies, foundations, etc.—that increasingly influence campus policies and priorities. Items 23-36 relate to the faculty's role in those areas in which governing responsibilities are shared.

Terminology

This document does not assume a particular structural model such as an academic senate for faculty governance. (Indeed, the AAUP does not favor a particular structural model.) When the term "senate" appears in this document, it refers generically to any legislative body of the faculty. In like manner, we use the term "president" to refer to the chief administrative officer of your campus, and the term "governing board" to refer generically to boards of directors, trustees, and regents. The term "administration" refers primarily to the president, chief academic officer, and academic deans.

Just as the governance and organizational structures may vary from campus to campus, the number of levels for review of curricular and personnel decisions varies among institutions according to their size and complexity. To refer to these levels, we have used the term "institution" generically for both universities and colleges, and we have used the terms "college" and "school" in the document to refer to divisions within the institution.

Finally, this document distinguishes between faculty committees and institutional committees. In this document, the term "faculty committee" refers to governance committees of the faculty within a department, school, or college as well as committees of the faculty that carry out the work of the faculty as a whole. (Typically, these latter faculty committees are committees of the academic senate or its equivalent.) The term "institutional committee" refers to standing and ad hoc committees (sometimes called

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university committees) that typically are formed and convened by the administration as a means of communication among university constituents and to carry out administrative initiatives and tasks.

Institutional committees generally have a mixed membership that may include faculty members, administrators, staff members, and others. Faculty committees are usually composed chiefly of faculty members, but may also have student and administrative representation.

We make this distinction because the means of selecting members and chairs differs between the two types of committees, and the reporting lines should also be different. Specifically, the faculty alone usually decides the composition and selects the faculty members of faculty committees, but faculty representatives to institutional committees are often jointly selected or selected by the administration from a list provided by the faculty. Similarly, institutional committees usually report to the administration, while faculty committees report either to members of the department or college, or to the faculty senate.

For more detailed information about standards for shared governance, refer to the *Redbook (AAUP Policies and Documents, 9th edition)*; and the 1998 monograph by Keetje Ramo, *Assessing Faculty's Role in Shared Governance: Implications of Redbook Standards*. Both publications are available for sale on the AAUP's website, <www.aaup.org>.

The AAUP welcomes your comments on this instrument, and would appreciate receiving copies of your results and analysis. Please direct correspondence to the attention of Robert Kreiser, Committee T on Government of Colleges and Universities. The address of the AAUP national office is

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Keetje Ramo

February 12, 2001

The American Association of University Professors Indicators of Sound Governance

This instrument is designed to gather information about the state of shared governance on your campus. It should be completed by persons who are very familiar with governance structures and practices at the institution.

Part I: Indicators of Sound Governance				
<p><u>Circle the appropriate number.</u></p> <p>Circle "2" if the statement is <u>True</u> of governance practices or climate at your institution with <u>rare exceptions</u>.</p> <p>Circle "1" if the statement is <u>More True than False</u> of governance practices or climate at your institution.</p> <p>Circle "-1" if the statement is <u>More False than True</u> of governance practices or climate at your institution.</p> <p>Circle "-2" if the statement is <u>False</u> with regard to governance practices or climate at your institution with <u>rare exceptions</u>.</p>	True	More True than False	More False than True	False
1. The governing board verbally acknowledges the importance of shared governance. <i>(Acknowledgment)</i>	2	1	-1	-2
2. The president verbally acknowledges the importance of shared governance. <i>(Acknowledgment)</i>	2	1	-1	-2
3. Faculty members view participation in shared governance as a worthwhile faculty responsibility. <i>(Acknowledgment, Influence)</i>	2	1	-1	-2
4. The institution fosters shared governance by maintaining reasonable workloads, supporting faculty development of governance skills, and rewarding participation in governance work. <i>(Acknowledgment)</i>	2	1	-1	-2
5. Faculty members can express dissenting views on governance without reprisal. <i>(Safety)</i>	2	1	-1	-2

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<p>Circle the appropriate number.</p> <p>Circle "2" if the statement is <u>True</u> of governance practices or climate at your institution with <u>rare exceptions</u>.</p> <p>Circle "1" if the statement is <u>More True than False</u> of governance practices or climate at your institution.</p> <p>Circle "-1" if the statement is <u>More False than True</u> of governance practices or climate at your institution.</p> <p>Circle "-2" if the statement is <u>False</u> with regard to governance practices or climate at your institution with <u>rare exceptions</u>.</p>	<p>True</p>	<p>More True than False</p>	<p>More False than True</p>	<p>False</p>
<p>6. The campus climate supports a diversity of opinions, schools of thought, perspectives, and personal styles. (<i>Safety</i>)</p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>7. Relationships between the faculty, academic administrators, and governing board are cooperative. (<i>Mutuality</i>)</p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>8. Structures, policies, and procedures for disciplinary and dismissal hearings, grievances, appeals, and allegations of sexual harassment are consistent with AAUP standards for due process. (<i>Safety, Gatekeeping</i>)</p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>9. Negotiations and communication between and among the faculty, president, and governing board are carried out in good faith. (<i>Mutuality, Responsible practices</i>)</p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>10. The campus community fosters participation and leadership by women, persons of color, part-time faculty, and members of other underrepresented groups. (<i>Representativeness</i>)</p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>11. Given reasonable time, the faculty responds expeditiously to requests from the administration or governing board for recommendations and action on institutional decisions. (<i>Responsible practices</i>)</p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>

<p>Circle the appropriate number.</p> <p>Circle "2" if the statement is <u>True</u> of governance practices or climate at your institution with <u>rare exceptions</u>.</p> <p>Circle "1" if the statement is <u>More True than False</u> of governance practices or climate at your institution.</p> <p>Circle "-1" if the statement is <u>More False than True</u> of governance practices or climate at your institution.</p> <p>Circle "-2" if the statement is <u>False</u> with regard to governance practices or climate at your institution with <u>rare exceptions</u>.</p>	True	More True than False	More False than True	False
12. Faculty leaders look to national standards (e.g., <i>AAUP Policy Documents and Reports</i>) for the faculty's appropriate role in the governance of the institution. (<i>Responsible practices</i>)	2	1	-1	-2
13. Given reasonable time, the governing board responds expeditiously to faculty concerns and to the need for action on institutional issues. (<i>Responsible practices</i>)	2	1	-1	-2
14. Faculty committees determine educational policy, curriculum design, curriculum review, and standards and procedures for evaluating teaching and scholarly production. (<i>Appropriate boundaries, Influence</i>)	2	1	-1	-2
15. Faculty committees largely determine policies and decisions concerning those aspects of student life that relate to the educational process. (<i>Appropriate boundaries, Influence</i>)	2	1	-1	-2
16. Faculty committees largely determine standards and criteria for retention, promotion, and tenure. (<i>Appropriate boundaries, Influence, Gatekeeping</i>)	2	1	-1	-2
17. Recommendations of faculty committees largely determine the nature of decisions regarding the faculty status of individuals. (<i>Appropriate boundaries, Influence, Gatekeeping</i>)	2	1	-1	-2

<p>Circle the appropriate number.</p> <p>Circle "2" if the statement is <u>True</u> of governance practices or climate at your institution with <u>rare exceptions</u>.</p> <p>Circle "1" if the statement is <u>More True than False</u> of governance practices or climate at your institution.</p> <p>Circle "-1" if the statement is <u>More False than True</u> of governance practices or climate at your institution.</p> <p>Circle "-2" if the statement is <u>False</u> with regard to governance practices or climate at your institution with <u>rare exceptions</u>.</p>	True	More True than False	More False than True	False
18. There are formal procedures at the departmental level to give peers a voice in decisions on the appointment, retention, tenure, dismissal, and promotion of departmental colleagues. (<i>Influence, Gatekeeping</i>)	2	1	-1	-2
19. The faculty responsibly renders both positive and adverse recommendations in faculty personnel matters through established procedures. (<i>Responsible practices, Gatekeeping</i>)	2	1	-1	-2
20. The faculty determines criteria and procedures for conferring faculty status on administrators, librarians, coaches, and other professionals. (<i>Appropriate boundaries, Influence, Gatekeeping</i>)	2	1	-1	-2
21. The president and governing board avoid overturning faculty judgments in those areas in which the faculty has primacy (i.e., curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life that relate to the educational process). (<i>Appropriate boundaries, Influence</i>)	2	1	-1	-2
22. The faculty sets agendas, chooses representatives and leadership, and establishes procedures for committees that oversee those areas in which the faculty has primacy. (<i>Appropriate boundaries, Influence</i>)	2	1	-1	-2
23. The faculty periodically reviews and, when appropriate, proposes changes to the faculty handbook, senate by-laws, and similar documents. (<i>Influence, Responsible practices</i>)	2	1	-1	-2

<p>Circle the appropriate number.</p> <p>Circle "2" if the statement is <u>True</u> of governance practices or climate at your institution with <u>rare exceptions</u>.</p> <p>Circle "1" if the statement is <u>More True than False</u> of governance practices or climate at your institution.</p> <p>Circle "-1" if the statement is <u>More False than True</u> of governance practices or climate at your institution.</p> <p>Circle "-2" if the statement is <u>False</u> with regard to governance practices or climate at your institution with <u>rare exceptions</u>.</p>	<p>True</p>	<p>More True than False</p>	<p>More False than True</p>	<p>False</p>
<p>24. Since they may administratively overturn or override decisions and judgments of the faculty, academic officers do not have votes on faculty committees and legislative bodies. <i>(Appropriate boundaries)</i></p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>25. Formal arrangements exist for regularly and accurately communicating faculty positions and concerns to the governing board, and for regularly and accurately communicating the views of the governing board to the faculty. <i>(Communication channels)</i></p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>26. Faculty members have timely access to the information they need to make informed decisions or recommendations on institutional matters. <i>(Communication channels)</i></p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>27. The president and board use established mechanisms to ensure a faculty voice in matters of shared concern, consulting either the faculty as a whole or representatives who have been selected or approved by the faculty. <i>(Communication channels, Representativeness)</i></p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>28. Faculty representatives to institutional committees, advisory boards, and the governing board have adequate time to consult with their constituents before voting or making recommendations on important issues. <i>(Communication channels)</i></p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>

<p>Circle the appropriate number.</p> <p>Circle "2" if the statement is <u>True</u> of governance practices or climate at your institution with <u>rare exceptions</u>.</p> <p>Circle "1" if the statement is <u>More True than False</u> of governance practices or climate at your institution.</p> <p>Circle "-1" if the statement is <u>More False than True</u> of governance practices or climate at your institution.</p> <p>Circle "-2" if the statement is <u>False</u> with regard to governance practices or climate at your institution with <u>rare exceptions</u>.</p>	<p>True</p>	<p>More True than False</p>	<p>More False than True</p>	<p>False</p>
<p>29. Faculty members who represent the faculty on the governing board, institutional committees, and advisory groups, or who represent the institution to outside agencies such as athletic conferences, are selected by the faculty or are selected by others from a list provided by the faculty. <i>(Representativeness)</i></p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>30. The faculty has a voice regarding the nature and goals of relationships with outside entities such as accrediting bodies, athletic conferences, etc. <i>(Influence)</i></p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>31. The faculty has an influential role in developing the institutional budget. <i>(Influence)</i></p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>32. a. (For collective bargaining campuses): Where collective bargaining arrangements exist for the faculty, collective bargaining reinforces but does not replace sound policies and structures for shared governance. <i>(Influence)</i></p> <p>b. (For campuses without collective bargaining for faculty): The faculty's participation in governance can improve and has improved working conditions for the faculty. <i>(Influence)</i></p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>33. The faculty shares with the governing board the primary responsibility for selecting a president. <i>(Influence, Gatekeeping)</i></p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>34. The faculty has a strong influence on the selection of academic administrators. <i>(Influence)</i></p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>

<p>Circle the appropriate number.</p> <p>Circle "2" if the statement is <u>True</u> of governance practices or climate at your institution with <u>rare exceptions</u>.</p> <p>Circle "1" if the statement is <u>More True than False</u> of governance practices or climate at your institution.</p> <p>Circle "-1" if the statement is <u>More False than True</u> of governance practices or climate at your institution.</p> <p>Circle "-2" if the statement is <u>False</u> with regard to governance practices or climate at your institution with <u>rare exceptions</u>.</p>	<p>True</p>	<p>More True than False</p>	<p>More False than True</p>	<p>False</p>
<p>35. Faculty participation influences the evaluation of academic administrators. (<i>Influence</i>)</p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>36. Faculty representatives to the senate, institutional committees, and other representative bodies keep their constituents informed of the agendas of those bodies and solicit constituents' views whenever appropriate. (<i>Responsible practices, Representativeness</i>)</p>	<p>2</p>	<p>1</p>	<p>-1</p>	<p>-2</p>
<p>Column Totals</p>				
<p>Total Score</p>				

Part II: Satisfaction with the Faculty's Role in Shared Governance

In general, how satisfied is the faculty with its role in shared governance? (Circle the appropriate response.)

Very satisfied

Satisfied

Dissatisfied

Very dissatisfied