

October 18, 1995

TO ALL MEMBERS OF THE FACULTY SENATE:

SPECIAL FACULTY SENATE MEETING

Monday, October 30, 1995, 3:15 - 5:00 p.m.

Law 146

The sole focus of discussion will be the attached document dealing with a draft proposal for co-governance at the University of Arizona. This document represents the thinking of a working group of faculty and administrators whose names are found at the end of the document. Please note that this document is not an item for action at this meeting. Instead, it is a first step of a lengthy process of discussion and debate concerning the proposal (see page 4 of the document for the various steps involved in the steps of discussion). The working group is interested in feedback about all aspects of the proposal, including both its strengths that you would like to see retained and its weaknesses that you would like to see changed. The working group also would appreciate any written comments you would like to make. As a Faculty Senator, your input is particularly crucial to a topic that is of far-reaching importance.

Andrew Silverman, Secretary

JS/AS/AEA:ek

**CO-GOVERNANCE AT THE UNIVERSITY OF ARIZONA
PROPOSED POLICY: FOR COMMENT AND FEEDBACK
OCTOBER 1995**

A workgroup made up of faculty governance and administrative leadership at the University has been meeting regularly throughout August and September 1995 to develop ideas about a structure and process for effective co-governance. This co-governance work group wants to present suggestions about goals and an outline for a new structure and processes by which to work together. We want to know what you think and to obtain your input and comment about the direction of our thinking.

Goals and Principles

The common goal of the faculty and administration of the University of Arizona is to retain and enhance the University's position as the very best public university for teaching, research, and outreach during a coming era when many public institutions will decline in quality. Attaining that goal requires effective co-governance; only through effective co-governance can the diverse perspectives required for success be cultivated and incorporated into decision-making. The administration and the leadership of the faculty wish to attain a working relationship that is characterized by: mutual accountability in decision-making; a harmonious atmosphere for problem-solving; timely action and responses; the ability to occasionally disagree on each side and then commit to the action; a process we trust regardless of specific outcomes; and the acceptance and sharing of responsibility.

Definition of Co-Governance

Co-governance consists of policies and procedures that lead to the development of mutually accepted decisions on concerns relating to the academic enterprise. "Mutually accepted decisions" means decisions acceptable to both the faculty and administration. "Decisions relating to the academic enterprise" include all matters having to do with the academic mission of the university.

Decisions and policies included in co-governance, among others, are those pertaining to:*

- The University's Annual Budget
- Strategic Planning
- Personnel Decisions, including:
 - a) Faculty: all policies regarding promotion, tenure, retention, conditions of service
 - b) Administration: faculty agreement on hiring and retention decisions involving vice presidents and deans
 - c) Faculty and Administration annual compensation policy

- Curriculum Policy
- Admissions Policy
- Student Affairs Policy

*NOTE: The policies and actions outlined in the list apply to the governance of the University, but the areas of co-governance for colleges would be the same. Co-governance means that decisions would be made only through mutual agreement between the administration and the faculty. In addition to these areas, it is critical that we develop a mechanism allowing faculty oversight for implementing policies jointly decided. This oversight function could occur through the relevant standing committees of the reconstituted Senate, and either through periodic review or through complaint, and in the colleges through procedures established there by the various college councils.

Structure

The following is the main thrust of our ideas about a structure for co-governance (see Figure 1):

The Faculty Senate would include: faculty elected by the colleges in proportion to the electorate of each college according to procedures decided upon by the faculty of each college; a representative from each faculty college council; the university president; the provost; one vice president or vice provost; one dean; and seven students.

The Faculty Senate Executive Committee would include the chair of the faculty, the presiding officer and secretary of the senate, the chairs of senate standing committees, the representative of each faculty college council, and the provost. All college councils would be elected by the faculty of that college.

The areas of responsibility of the Senate's standing committees will be aligned as much as possible to correspond to the areas of responsibility of the vice presidents and vice provosts. The members will be chosen by the Senate and will include faculty, a student senator, the appropriate vice president or vice provost, and other administrators (e.g., deans) as appropriate. Administrators will serve as ex-officio, non-voting, members of the committee.

The Graduate Council, Undergraduate Council, and SPBAC will have the status of Senate standing committees but with members chosen in a different manner than the other standing committees.

Select subcommittees will be established as needed to address individual policies or actions and will function as ad-hoc task forces. These subcommittees will be chosen by the appropriate standing committee, drawing on a pool of faculty provided by the Committee on Committees. The Committee on Committees will be responsible for providing names of faculty with experience and expertise in the subject of the task force. Administrators will be included as appropriate.

Process

An initiative brought forth by the faculty or the administration would be acted on through the following process:

The administration or faculty refers an initiative (policy change, new policy, etc.) to the Senate Executive Committee, which forwards it to the appropriate standing committee with a timeline for a response.

The standing committee either makes a recommendation itself or forms a select subcommittee, charges the subcommittee, and includes a timeline for response.

In accordance with the timeline, a recommendation comes from the subcommittee to the standing committee. The standing committee resolves areas of difference that remain and forwards the recommendation to the Executive Committee which places the item on the Senate agenda. The Executive Committee decides whether to place the item on the consent agenda or the regular agenda of the full Senate in accordance with the level of consensus about the item.

The full Senate reviews and takes action.

If approved, the administration provides the Executive Committee a timetable and plans for implementation.

If amended on the Senate floor, the administration reviews and indicates its approval or disapproval with recommendations for changes.

In cases where agreement is not reached, the Executive Committee will ask the standing committee or will appoint a special committee to resolve differences. The status quo *ante* will prevail until issues are resolved.

If this additional attempt to resolve issues fails and if the president of the University decides that the status quo *ante* cannot prevail, because interests vital to the future of the university will be jeopardized, he/she has the right to resolve differences as best as possible and to establish new policy. This is expected to occur only very rarely and only in extraordinary circumstances where compelling interests vital to the university are at stake. The president will report to the Senate to set forth his/her reasons. The Senate may question the president and voice its reaction.

The Executive Committee also may address issues that emerge during the summer months and that cannot be delayed until the start of the academic year. Occasionally it may also make decisions on issues that arise during the academic year that require extremely fast action. These decisions are by absolute majority.

Issues Still Under Discussion by the Co-Governance Planning Committee

The co-governance planning committee is continuing to discuss the following additional items.

Your views on these are also welcome.

The Role of the Committee of Eleven

Details of the structure (e.g., the size of the Senate, how many faculty from the colleges, length of terms, appropriate representation of faculty on tenure track and on continuing track)

A mechanism to resolve disagreements over policy versus management decisions.

How best to include service in the faculty governance system, explicitly the reward system for faculty

The relative roles of the committees of the Senate and the Senate as a plenary body

Inclusion into the Senate of units that are not contained in colleges

REVISED 10/13/95

STEPS INVOLVED IN DISCUSSION AND DEBATE OF CO-GOVERNANCE PROPOSAL

Co-Governance Work Group develops draft

Faculty and administration review draft (presentations by members of the workgroup)

Faculty Senate (October 30)

Deans' Council (October 30)

President's Cabinet

Colleges (joint meetings of department heads and the faculty governance body of the college)

Meeting of the general faculty

"Co-Governance Convention" develops responses to unresolved issues
(December 12)

Revisions/additions reviewed by the Co-Governance Work Group; draft 2 developed in accordance with the previous input

Re-review of draft 2 by the Senate, Deans' Council, Cabinet, Colleges, and General Faculty

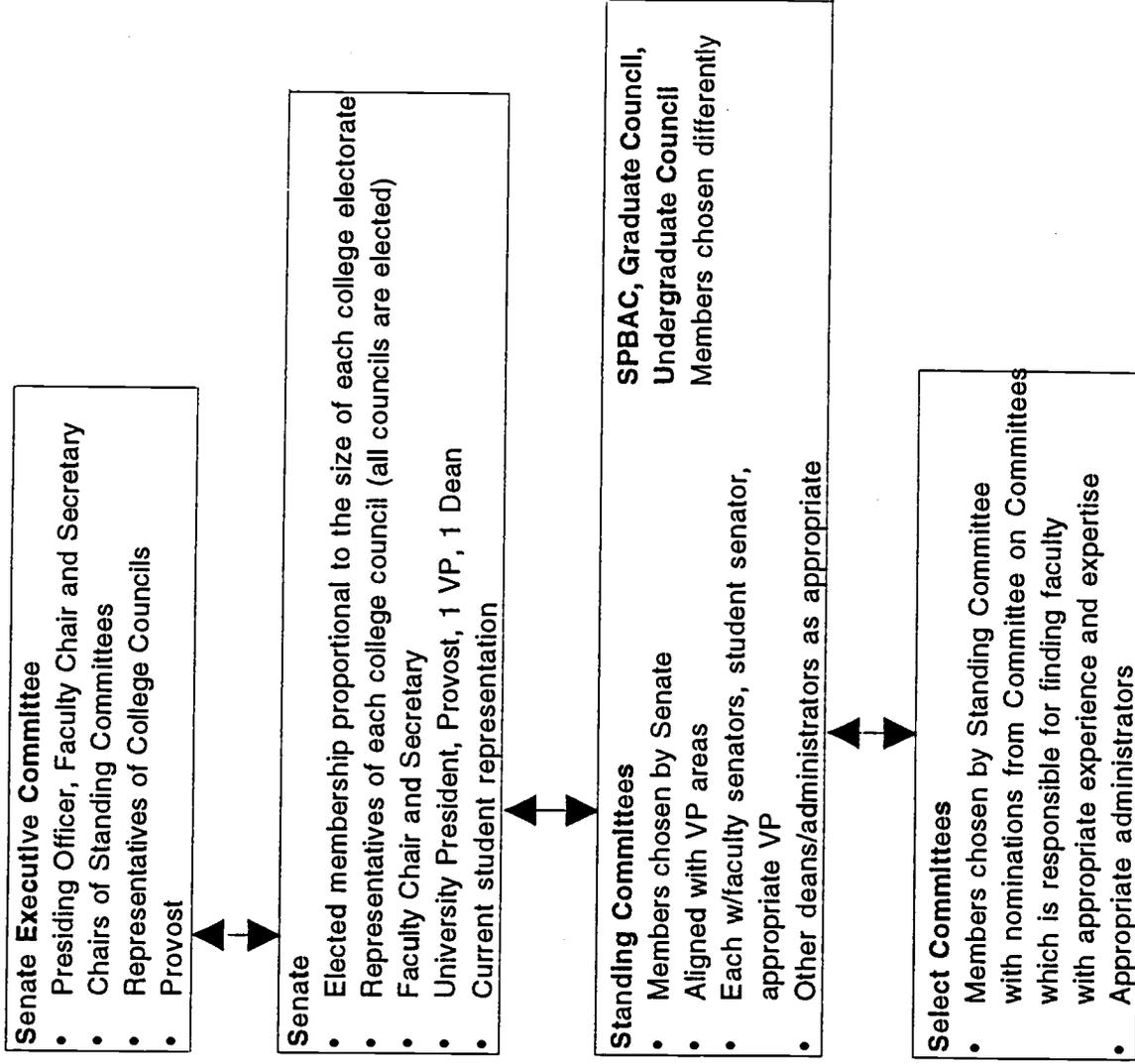
Final proposal developed by Co-Governance Work Group

Faculty votes on the proposal

If approved, college elections and nominations for Senate occur

Senate elections

FIGURE 1: PROPOSED FACULTY GOVERNANCE STRUCTURE



WORKING GROUP MEMBERS

Betty Atwater
Presiding Officer of the Faculty Senate

Michael Cusanovich
Vice President for Research

Martha W. Gilliland
Sr. Vice Provost for Academic Affairs and Human Resources

Michael Gottfredson
Vice Provost for Undergraduate Education

John Schwarz
Chairman of the Faculty

Andy Silverman
Secretary of the Faculty

Shiela Slaughter
Professor, Department of Higher Education

Kenneth J. Smith
Chair, Committee of Eleven

Kenneth R. Smith
Vice Provost for Academic Planning

Paul Sypherd
Sr. Vice President for Academic Affairs and Provost

Tom Volgy
Professor, Department of Political Science

Faculty Governance Law ARS 15-1601B:

The Universities shall have colleges, schools and departments and give courses of study and academic degrees as the board [of regents] approves. **SUBJECT TO THE RESPONSIBILITIES AND POWERS OF THE BOARD AND THE UNIVERSITY PRESIDENTS, THE FACULTY MEMBERS OF THE UNIVERSITIES, THROUGH THEIR ELECTED REPRESENTATIVES, SHALL SHARE RESPONSIBILITY FOR ACADEMIC AND EDUCATIONAL ACTIVITIES AND MATTERS RELATED TO FACULTY PERSONNEL. THE FACULTY MEMBERS OF EACH UNIVERSITY, THROUGH THEIR ELECTED FACULTY REPRESENTATIVES, SHALL PARTICIPATE IN THE GOVERNANCE OF THEIR RESPECTIVE UNIVERSITIES AND SHALL ACTIVELY PARTICIPATE IN THE DEVELOPMENT OF UNIVERSITY POLICY.**

(Text added by legislature in 1992 shown in CAPS; signed into law on June 24, 1992)

We, the Committee of Eleven, celebrating the statutory rights and responsibilities assigned to the elected Faculty under the Faculty Governance Law, dedicated to the Mission of the University of Arizona, and recognizing academic freedom as the cornerstone of open and free inquiry within our University, do hereby present Governance Principles for the University of Arizona.

We hereby (1) affirm the principles of shared governance embodied in this law, along with the progress made by elected leaders during the past several years to increase faculty representation and enlarge their sphere of influence; and (2) reject as a step backwards both the process used to develop the so-called "co-governance" document and the substance of this document circulated to the Faculty Senate and academic deans and college council chairpersons on October 18, 1995, which we believe will seriously weaken and dilute the faculty voice and reverse the aforementioned progress already made.

Longstanding and recent initiatives by the Committee of Eleven and Faculty Senate, approved by the general Faculty and incorporated into UHAP have (1) increased the proportion of faculty into the Senate while sharply reducing the number of administrators; (2) substituted an elected Senate Presiding Officer for the University President, but separate from the Chair of the Faculty; (3) maintained Senators at large, but rejected apportionment of senators from individual academic units; (4) developed a democratic procedure for reviewing terminations of departments and programs (which was nonetheless ignored by the University); (5) increased participation of elected faculty in searches for senior administrators; and (6) assured representation of the Chair of the Faculty and the Chair of the Committee of Eleven on important administrative committees. Much more remains to be done, particularly in the area of administrative accountability; the performance reviews of senior administrators by the Committee of Eleven and Senate and the Senate Administrative Costs Committee address some of these. However, the key issue of extending governance uniformly to the individual colleges and departments has not yet been resolved, nor have we specified clearly articulated policies of conflict resolution when impasses arise, including appeals and rescissions. Other efforts, such the "compact" initiative of the Committee of Eleven, have just begun and aim to address this latter issue. Further, communication with the Faculty about governance activities needs to be restored (expanded Senate minutes so that the Faculty is well-informed in a timely fashion on matters of direct concern to them.

Specific Concerns of the Committee of Eleven

The Committee of Eleven is committed to a shared governance in which the Faculty moves from an advisory to a decision-making capacity. The co-governance document represents a major overhaul of the current Constitution in many areas, which we shall detail at a later time. However, the effect is to focus on a largely non-existent and amorphous college governance structure and faculty council chairpersons, the expansion of administrative representation onto all Faculty committees, a perceived inappropriate concentration of power in a greatly expanded Senate Executive Committee, out of scrutiny of Faculty and its elected representatives. The watchdog role and even the existence of the Committee of Eleven, the first established University-wide governance body on the campus, is up in the air, and at-large senators, who represent interests beyond their colleges, have been eliminated, with Senate representation strictly based on the size of each college faculty, assuming the presence of college governance not yet articulated. The Committee also perceives that all of this is being presented with undue haste.

On behalf of the Faculty and its existing and evolving governance structure, the Committee of Eleven pledges to be an active player, in concert with the Faculty Senate, in soliciting Faculty input, keeping the faculty informed, and supporting initiatives that will assure that the Faculty gains already made are not eroded and that the University move further into compliance with both the letter and the spirit of the Faculty Governance Law.

**Declaration of Governance Principles
for the University of Arizona
Prepared by the Committee of Eleven**

1. An administrative organization and operational structure, including administrative positions and their job descriptions, should be developed and approved, by secret ballot, by a majority of the General Faculty.
2. Academic administrators, including department heads, deans, provosts, vice provosts, and vice presidents, can have a clear mandate and strong support from the Faculty only if the administrator is appointed with agreement by an appropriate elected Faculty body. Each academic administrator must undergo periodic review by the Faculty to ensure accountability.
3. A University budget must be prepared, publicized, and approved by the Faculty Senate. Records of all University expenditures must be open to inspection by elected Faculty.
4. Appointments to all administrative and faculty positions are to be made following open, and where feasible, national competitive searches, with selection based on merit and with due consideration of diversity.
5. Faculty has the responsibility to participate in governance, and their participation should be recognized as service.
6. Decisions to create or remove programs, units, and positions should be regulated by unambiguous, clear, and readily accessible policies and procedures.
7. Clear and unambiguous policies and procedures, including appeals, must be developed for all conflict resolution. The procedures must include elected faculty and must permit rescission by a majority vote of the Faculty Senate or other appropriate elected Faculty body. The President should reverse a Faculty ruling in only very unusual circumstances and only for reasons which are compelling to the welfare of the University, and he should appear before the appropriate Faculty body for explanation and debate.

We firmly believe that adoption of these principles would be a major step toward achieving excellence in teaching, research, and service and recommend this declaration to the Faculty Senate and the Administration for adoption.

Committee of Eleven

Kenneth J. Smith, Chair

THE UNIVERSITY OF
ARIZONA[®]
TUCSON ARIZONA

Office of the Senior Vice President
for Academic Affairs and Provost

512 Administration
Tucson, Arizona 85721
(520) 621-1855
FAX (520) 621-9118

October 18, 1995

MEMO TO: Academic Deans & College Council Chairpersons
FROM: Paul S. Sypherd, Senior Vice President for
Academic Affairs and Provost *PS*
John Schwarz, Chair of the Faculty *JS*
RE: Co-Governance

Late this summer, faculty governance leaders and University academic administrators began meeting together with the goal of establishing a productive partnership between the faculty and the administration for the benefit of the University. Early in our discussions, it became evident to us that if we are to reach our full potential as a university, we must have a structure and process for effective co-governance that will allow us to produce consistently favorable results for the institution.

The co-governance workgroup, a list of whose members is attached, has met regularly over the past several months, and we wish to submit to you for your comments our suggestions about goals and an outline for a new structure and processes by which to work together. We propose to invite input on the enclosed proposal in the following ways:

- 1) Discussion at late October/early November meetings of the Deans' Council, President's Cabinet, and Faculty Senate.
- 2) Discussion at College meetings, to which department heads, the faculty governance body of the College, and at least two members of the co-governance workgroup have been invited. **We ask that each Dean organize a College meeting to take place in early to mid November.**
- 3) Discussion at a meeting of the general faculty of the University.

With the benefit of the input gathered at these meetings as well as any written comments received, the co-governance workgroup will bring unresolved issues to a co-governance convention on December 12, 8:00 a.m.-1:00 p.m. **We request that each Dean identify one department head and that each college council identify two faculty members to participate in this convention, relaying their names to the Office of the Provost by November 17.** Deans and some faculty senators will also be invited to participate.

We are optimistic about the benefits that will accrue to the University from the successful design and implementation of co-governance policy. We look forward to your active and constructive involvement in this undertaking.