

DRAFT REPORT OF THE  
PRESIDENTIAL-FACULTY SENATE JOINT TASK FORCE ON SHARED  
GOVERNANCE IMPLEMENTATION  
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Activities of Shared Governance: In the operations of a complex institution such as the University of Florida, different groups will have different interests in and responsibilities for various aspects of governance. Effective shared governance requires, at a minimum, recognition that both faculty and administrators have unique as well as overlapping roles and are accountable to the institution in different ways, and that they all share a mutual goal of improving the University in its academic mission and in creating an environment that supports all members.

For effective shared governance, all parties must understand that neither the faculty nor the administration can operate successfully when at odds with the other, nor can either act independently of the other. Effective shared governance requires acceptance of the following principles and values:

- **Mutuality, Collegiality, and Collaboration:** faculty and administration are engaged in a collective endeavor that requires that they work together in partnership to create a climate of trust and cooperativeness.
- **Transparency:** there must be openness of ideas and the timely sharing of information regarding all aspects of the collective mission in order for appropriate input to be possible.
- **Representative Participation:** there must be procedures for optimizing faculty input and insuring a broad representative spectrum of faculty viewpoints.
- **Mutual Accountability:** all parties to shared governance must work diligently and expeditiously toward furthering the mission of the College and there must be procedures in place to evaluate the progress of governance activities.

Governance of a complex institution is like a living organism; it is constantly changing and adapting to new information and environmental stimuli. A procedure that might work well in one college may be unsuccessful in another college where the resources, goals, or customs are different.

Recognizing that faculty and administrators have specific responsibilities and are accountable in different ways, effective shared governance recognizes these various responsibilities and implements procedures that further the principles of shared governance and allow for periodic review of its success. The following activities and areas of responsibility identify broad-brush parameters for sharing in the collective governance of the institution.

Areas of Responsibility		
FACULTY	SHARED/MUTUAL	ADMINISTRATION
<p><u>Activities:</u> Develop policies, criteria and standards related to the advancement of the academic mission of the unit and the development of its faculty</p>	<p><u>Activities:</u> Develop processes and procedures to allow optimal input of the faculty and the administration in decision-making</p>	<p><u>Activities:</u> Provide leadership for the unit. Develop and implement administrative policies and procedures. Implement academic and faculty policies, secure adequate resources for the unit, manage budget and fiscal resources. Communicate effectively with external and internal constituents,</p>
<p><u>Scope of Responsibilities:</u> Primary responsibility is to determine academic rules and policies, standards and criteria for hiring and P&amp;T, curricula, standards for evaluating students and faculty, and policies that promote excellence and dissemination of research and scholarship.</p>	<p><u>Scope of Responsibilities:</u> Shared responsibility is to develop strategic plans and budget priorities, define and assess academic freedom, select unit heads, and institute functioning procedures for shared governance</p>	<p><u>Scope of Responsibilities:</u> Primary responsibility is to implement policies and procedures for the effective functioning of the unit, including processes agreed upon by faculty and administration for hiring and P&amp;T. Implement the strategic plan. Manage fiscal resources in a sound manner with appropriate faculty input.</p>
<p><u>Procedures:</u> Each unit should have a representative faculty-led body with the dual role of developing and overseeing the structure and procedures of shared governance and of making sure that policy decisions that affect the unit faculty as a whole are made with appropriate faculty input.</p>	<p><u>Procedures:</u> Faculty and administration should develop an appropriate committee structure that ensures participation by both faculty and administrators to provide faculty input in administrative areas and administrative input in faculty areas of responsibility. Consensus building regarding the policies and procedures of the unit is a shared responsibility and goal.</p>	<p><u>Procedures:</u> The administration has final authority in the unit re: all policies, however, administrators have the responsibility to seek faculty input on all administratively developed policies and procedures and to provide feedback and rationale to the faculty whenever a faculty developed policy is not endorsed.</p>

FACULTY	SHARED/MUTUAL	ADMINISTRATION
<u>Activities:</u> Develop policies, criteria and standards to govern the collective mission of the University	<u>Activities:</u> Develop processes and procedures to allow optimal input of interested parties in decisionmaking	<u>Activities:</u> Implement policies, manage budget and fiscal resources, and report on allocations
<u>Scope of Responsibilities:</u> Primary responsibility to determine academic rules and policies, standards and criteria for hiring and P&T, curricula, standards for evaluating students and faculty, policies that promote excellence and dissemination of research and scholarship.	<u>Scope of Responsibilities:</u> Shared responsibility to develop strategic plan and budget priorities, define and assess academic freedom, select unit heads, and institute functioning procedures for shared governance	<u>Scope of Responsibilities:</u> Primary responsibility to implement policies adopted by faculty, implement processes agreed upon by faculty and administration for hiring and P&T and strategic plan, and manage fiscal resources in a sound manner with appropriate faculty input.
<u>Procedures:</u> Each unit should have a representative body of faculty, led by a faculty member, with the dual role of developing and overseeing the structure and procedures of shared governance and of making sure that final policy decisions that affect the unit faculty as a whole are made with appropriate faculty input.	<u>Procedures:</u> Faculty and administration should develop an appropriate committee structure that ensures participation by both faculty and administrators to provide faculty input in administrative areas and administrative input in faculty areas of responsibility.	<u>Procedures:</u> The administration should have the ability to assent to all policies adopted by the faculty, and if the dean refuses to implement a faculty policy he/she must explain why. The dean must also hire appropriate administrative staff and structure the dean's office to implement the policies adopted by the faculty

No system of shared governance, no matter how detailed, will guarantee that governance is truly shared without a way to assess outcomes. Each academic unit should assess the progress of shared governance regularly by analyzing at least the following indicators and taking steps to improve matters where they fall short:

- The dean and department chairs acknowledge the importance of shared governance.
- Faculty members view participation in shared governance as an important part of their job.
- The institution recognizes participation in governance by reducing workloads and rewarding governance work.
- Faculty can express dissenting views without reprisal.
- The faculty responds expeditiously to administrative requests for recommendations and action on matters.
- The administration responds expeditiously to faculty requests for recommendations and action on matters.

- Faculty members have timely access to information they need to make informed decisions or recommendations.
- Faculty led committees exist to determine educational policy, curriculum design, and standards for evaluating teaching and scholarly production.
- Faculty led committees exist to work with administration to determine standards for retention, promotion, and tenure, strategic plans, and budget priorities.
- There are formal procedures to give faculty peers a voice in decisions of appointment, promotion, tenure, and dismissal of faculty colleagues.
- The faculty has a governing body for which it elects the members, sets the agenda, and establishes procedures for committees that oversee those areas in which the faculty has primary responsibility.
- The faculty periodically reviews and, when appropriate, proposes changes to governing documents and unit policies.
- Appropriate channels exist for administrators to regularly and accurately report to faculty on matters of interest and for faculty to regularly and accurately report to administrators on matters of interest.
- The faculty has an influential (what does this mean—influential?) role in developing the institutional budget.
- The faculty shares the responsibility for selecting and evaluating deans and department heads.

*COMMENTARY:*

In trying to think holistically about shared governance, we realize that there are distinct types of governance activities, distinct substantive areas within which decisionmaking occurs, and specific procedures for insuring collective input and optimal sharing in governance. Thus, the table identifies three broadly-defined ways of thinking about shared governance.

Activities:

The first row tries to distinguish between different activities of governance. One is making policies, setting standards, or otherwise deciding on the rules that will apply in an institution. The second is structuring the processes and procedures to allow decisionmaking to occur. The third is to implement the policies, manage resources, and otherwise administer the procedures. Although we have placed policy-making with the faculty and implementation with the administration, we must understand that the administration will make certain policies dealing with the administrative mission of the University, and the faculty will, in certain respects, actually implement certain of the policies affecting the faculty (as when the faculty votes on promotion and tenure).

An academic unit may decide to allocate these different activities in any variety of ways. It may decide that the faculty should vote on the schedule of courses each year, or it may decide that the dean's office should determine priorities with regard to program development. It may decide that a faculty committee on committees should determine the committee structure and appropriate procedures for governance. Or, it might decide that the administration is best able to decide the number of committees and the jurisdiction of each. The point is not that faculty and administration have separate and distinct activities in which they engage, but rather that the optimal allocation of policy-making, implementation, and procedural authorities should be discussed collectively and

chosen with regard to what is best for each academic unit and with the input of all interested parties.

#### Scope of Responsibilities:

The responsibility for making certain decisions and insuring that those decisions are implemented will depend on the substantive area in which decisions are being made. It is generally understood that the faculty should have primary responsibility to make policy decisions regarding the academic mission of the institution. What defines the academic mission may be open to debate, but most people would generally agree that academic qualifications and standards are squarely within the purview of faculty. Thus, faculty should have the primary responsibility to determine what the curriculum should look like; what qualifies for excellence in teaching, research, and scholarship for purposes of appointment, tenure, and promotion; what constitutes successful completion of a course of study; the requirements for degrees; and the like. An academic unit should establish procedures to guarantee that faculty judgment governs the academic policies and standards of the unit.

It is generally understood that the administration must insure that courses are staffed, the curriculum is implemented, faculty are paid, classrooms and laboratory spaces are appropriately allocated, and that the unit does not run afoul of accreditation standards. But the administration has many many more important responsibilities than making sure the trains run on time. The dean or unit head has the primary responsibility of leadership, which includes insuring that the unit complies with all applicable laws, constitutions, regulations, accreditation standards, and furthers the vision of the President and Provost. To do so, the unit head must make decisions and be held accountable for the progress of his or her unit. Certainly, there are administrative policies that must be established (setting a deadline for grades so that scholarships and financial aid can be allocated, or appointing faculty to critical committees who will actually accomplish the tasks charged). But there are more important administrative policies that fall within the responsibility of the administration: namely, determining the future of the unit and collecting and allocating resources to accomplish the goals set by the body.

Clearly, there are very important areas of the institution for which the faculty and administration must share responsibility. These include determining the strategic plan, budget priorities, selection of unit heads, the contours of academic freedom, and the procedures and structures for optimal governance. A dean who fails to obtain faculty input as to long-range plans for the future of the unit will be unsuccessful in implementing that plan. A faculty that sets policies without regard to the dean's ability to implement them or the dean's judgment and vision will just as likely fail in steering the institutional ship. But there is no single allocation of responsibilities that will work for all units. Just as the faculty and administration should work together to decide which activities fall to whom, they must also work together to decide which substantive matters will be determined in what ways.

#### Procedures:

It is often difficult to distinguish between substance and procedure. A procedure that insures faculty voice may result in turning power over to the administration to make certain decisions. Similarly, an administrator may be tasked with implementing a policy and may feel that the faculty should determine how it will be implemented. The overall characteristic of shared governance is that it is indeed shared. That means that

procedures must exist to allow the input of faculty where appropriate and other procedures must exist to allow the unit head to have final say on matters to which he or she is ultimately accountable. At a minimum, there must exist a procedure by which faculty can discuss and have input on how unit governance will be structured. By the same token, the administration must be able to veto decisions of the faculty where good cause exists. The optimal way to achieve procedures that are appropriate for each unit would be to have a joint faculty/administration body determine the appropriate committee structure, membership, and jurisdiction.

One mechanism that the joint task force feels is important to any system of shared governance is that the faculty have a representative body, led by a faculty member, that has the charge of developing and overseeing the structure and procedures of shared governance, with appropriate administrative input. This body might be an elected body of 20 or 30 faculty, or might consist of the entire college faculty where the college is small enough so that the body can function effectively. This body should meet a minimum of monthly during the academic year and should be charged with establishing sound shared governance procedures that will function effectively for that unit. It should also have a primary goal of periodically reviewing the progress of shared governance in that unit. This body may establish committees or task forces to further its mission of determining academic policies and procedures for the unit.

Similarly, the administration may establish whatever task forces, committees, or administrative bodies it feels is necessary to effectively administer for the unit. But the faculty and administration should work together to develop appropriate committees or other structures for effectively developing long range plans, budget priorities, and other matters that clearly require joint consensus.

#### Outcomes:

Finally, no system of shared governance will be effective if it does not achieve efficient and fair outcomes. It makes no sense for faculty to waste their time supervising every single aspect of unit administration. Similarly, it makes no sense for the administration to make broad sweeping policies that the faculty do not understand or agree with. At the most basic level, shared governance will be successful when every person respects the opinions of others and seeks outcomes that further the collective best interest of the unit. Because it is probably impossible to get the perfect balance between faculty input and administrative decisionmaking on all issues, perhaps the most important factor is a relatively simple procedure for revisiting the processes and monitoring the outcomes. But the AAUP indicators of shared governance provide a good gauge of how effective governance structures are and should serve as guides to both faculty and administration seeking to implement shared governance.