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Departmental Governance at the University of South Florida: a Descriptive Report to the Faculty Senate September 26, 2005

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and acknowledging our gratitude for the assistance of our two ex officio members

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Executive Summary

The University of South Florida Faculty Senate formed the Ad Hoc Committee on Departmental Shared Governance in the fall of 2004. Its purpose is to examine the role of the faculty in the governance of departments at USF. This interest grew out of a desire to formalize procedures that ensure faculty involvement in a full range of governance decisions at USF. Toward that goal, the Committee reviewed the body of published literature on faculty governance, examined existing departmental governance documents at USF, and conducted an anonymous mail survey of ranked faculty at USF to determine their experience and satisfaction with opportunities for participation in departmental governance.

The introduction to this report includes a history of the circumstances that caused the Senate to convene this committee and a description of the administrative and governance structure of USF that will orient the reader to the areas examined in this report. The first section is a review of the published academic literature on faculty governance. This is followed by the review of the documents submitted from departments that responded to a request from the Provost’s Office for copies of their departmental governance documents, and the third section describes results of the analyses of the returned mail surveys.

Departmental governance documents reviewed reflect a wide variation regarding the degree of faculty inclusion in governance. Eighty-six percent of the reviewed documents described formal procedures for voting on tenure and promotion, but only 41% require the chair to report to the faculty on the status of the departmental budget or decisions about finances. Only a quarter of the documents included procedures allowing a faculty vote to overturn a chair’s decision. Responses to the mail survey generally supported findings from the departmental document reviews. Thirty-six percent of the ranked faculty responding to the anonymous survey indicated they were not aware of the presence of written governance documents within their departments. Fifty-two percent of the respondents indicated that a majority of their department’s faculty members are involved in governance decisions, but 34% of the respondents were not satisfied with their own opportunities for participation in departmental governance decisions. Approximately one quarter of the survey respondents believed that faculty could override a chair’s decision. In an effort to promote and support shared governance at USF, the Committee recommends that all departments at USF be encouraged or required to post written governance documents online to promote accessibility and openness. The report provides a kit for use by departments interested in creating or revising their governance documents.

It is anticipated that the information included in this report will be of interest to the members of the Faculty Senate, USF Administration, and to faculty in departments developing or updating written governance procedures.
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0. Introduction

This report is one of several initiatives motivated by concerns about governance at USF. The central purpose of these initiatives is to construct a system of *shared faculty governance*, in which faculty participate in the university’s decision-making process. Allowing faculty institutions to have input in university governance will provide expert and scholarly direction to academic policy, strengthen lines of communication between the administration and the faculty, and generate collegial relationships between faculty and administrators at USF.

Faculty encounter this shared governance problem on a daily basis at the departmental level, which is where decisions are made about laboratory and office space, travel and colloquium funding, office and classroom supplies, and course and service assignments. On the one hand, the department is where faculty are impacted the most by the distribution of power, but on the other hand, departmental administrators’ decisions collectively allocate the bulk of the university’s resources and influence the direction that the university takes.

This effort began with a resolution on shared faculty governance, approved by the Faculty Senate in 2003 (see Appendix A). The resolution essentially asserted that faculty shall have the principal responsibility for academic, scholastic, and ethics policy, while faculty and the administration shall share responsibility for personnel decisions involving faculty and administrators, student affairs, and the budget. The resolution also states that procedures for this assignment of responsibility should be implemented.

This resolution partly inspired the Office of the Provost to survey departments in 2004, and this effort received responses from 31 departments. The survey was designed to study the current and desired extent of shared faculty governance at the departmental level, and it solicited opinions on which aspects of university life are appropriate for administrative, faculty, and shared decision-making. Most of the responses were qualitative and varied in format. Four-fifths of all departments responding said that allocation of resources was an administrative area, while the same proportion said that curriculum, courses, and academic policy was a faculty area. Two thirds said that research policy should be a faculty area, while just over half mentioned ethics as a faculty area. Three fourths said that policies and procedures for faculty appointment should be a shared responsibility, while two thirds said that policies on the general welfare of the university should be shared. In some areas, such as faculty evaluation, there was little consensus on where the responsibility should lie. See Appendix B for details.

One result of this survey was a formulation of *Shared Governance at the Departmental Level: Some Principles*, composed by Senate President Liz Bird and reviewed by the Senate Executive Committee in 2004 (see Appendix C). This document advocated that every department should have a governance document determining the role of the chair (whose position should depend on the support of the departmental faculty) and the extent of faculty consultation (especially for the termination or non-reappointment of tenure-track faculty). The resolution, the survey, and the subsequent document played central roles in the discussions of (shared) faculty governance at USF.

In late 2004 the next Senate President Susan Greenbaum appointed the *Ad Hoc Committee on Shared Faculty Governance* in order to compose a report for the Senate and the faculty. This endeavor concentrated on shared governance at the departmental level. This report is the result of that initiative. It is intended as a description of departmental level faculty governance at USF, a toolkit for departments developing or revising their guidelines, and a step toward strengthening shared faculty governance at USF. The report presumes that each
department should have its own governance structure, which should function in accordance to written documents that define and describe that governance. This report does not prescribe any template governance documents, as departments have varying needs and represent a wide array of disciplines from different subcultures. It merely proposes that faculty in a department should have the authority and self-awareness to identify their needs and values and reflect them in governance documents.

Here is a synopsis of the report. First, it is often helpful to determine what is known on a subject; consequently Section 1, outlines the scholarly literature on faculty governance and discusses its theoretical considerations. Then the report turns to two primary sources of information about departmental governance at USF: the departmental governance documents themselves, and faculty views of departmental governance. Section 2 outlines the contents of extant departmental governance documents submitted to the Committee. Section 3 outlines the results of a survey of the faculty that was conducted in April, 2005, which sought a reading of faculty attitudes towards the state of departmental governance at USF.

Based on all this material, the Committee has composed (in Appendix H) a toolkit for departments seeking to devise or revise departmental governance documents.

Before proceeding further, it is advisable to set departmental governance in the larger context of university governance.

As mentioned in the Shared Governance at the Departmental Level: Some Principles document, shared faculty governance is being developed within a statutory framework of hierarchical governance. So here is a description of this hierarchy to place matters in context.

Figure 1. The University Hierarchy
First, there is a legally mandated governance structure that runs from the top to the bottom in a standard hierarchical structure. (See Figure 1 above; for more details, see Appendix D.) The University of South Florida is governed by a thirteen-member Board of Trustees, which oversees the administration of the university. The central administration is divided into two hierarchies: one for the Health Sciences, responsible to the Vice President for Health Sciences, and one for Academic Affairs, responsible to the Provost. These positions have minimal interaction with the departments.

The Deans oversee the chairs of the departments, and also various interdepartmental programs requiring cooperation of several chairs. The primary liaison between a department and its college is the chair, although other departmental officers may deal with associates of the dean of their college, or with deans of the colleges of undergraduate studies or graduate studies. In addition, there are an array of councils and committees at the university and college level. These bodies are mainly advisory, but in reality they make decisions that are usually approved by the responsible administrators.

In addition to the college and university committees, there are two institutions for faculty to influence the decision-making process. One is the Faculty Senate, which is primarily concerned with academic issues, although that can be interpreted broadly. The other is the faculty union -- the United Faculty of Florida (UFF) -- which represents a specific set of university employees (situated largely outside of Health Sciences) in job-related issues. The Senate rarely interacts directly with departments. The councils have regular business with departments through their responsibilities of approving new courses and programs, processing tenure and promotion packets, reviewing mini-grant applications, etc. The UFF also interacts with departments, most frequently in the grievance process, i.e., when problems appear.

1. A Review of Extant Literature on Academic Governance

Recall that one of our first steps was to find out how much is known about governance, especially at the departmental level. It turns out that not much has been firmly established on the departmental level of governance. This section is primarily a review of the literature on faculty governance, with no special focus on shared governance. References are enumerated in Appendix E.

In 1966 the American Association of University Professors (AAUP) issued its Statement on Government of Colleges and Universities, which calls for faculty participation in all aspects of university operation. The statement asserts that faculty should have the primary responsibility over matters dealing with curriculum, academic standards, and faculty personnel matters (especially tenure and salary increases). Although administrators and trustees enjoy the primary authority over administrative functions, such as determining the institution’s long range goals, formulating general education policy, budgeting, and selecting administrators, faculty should have a voice in those matters as well (American Association of University Professors, 2005). The AAUP’s view of shared governance has generated considerable debate and scholarly research. In order to place our project into the context of this shared governance scholarship, this section reviews the literature on faculty governance at both the university and departmental levels.
Many commentators oppose extensive faculty participation in administrative aspects of university governance. Some of these views are based on the belief that higher education in the twenty-first century must be flexible and responsive to market forces, especially given rapidly increasing globalization and technological advances. Because of their professional orientation, faculty make decisions through democratic processes and by consensus. Therefore, too much faculty involvement in the long-term strategic planning and budgetary issues of the university will delay decision making and keep the status quo, which, in turn, will make universities inefficient and inflexible. Ultimately, universities that give faculty too much input on issues extending beyond teaching and research will be less competitive (Duderstadt, 2000; Flower 2003, 246-268; Hirsch 2001; Rosovsky 2001; Weber 2001). Flower (2003, 247) adds that the primary benefit of shared governance was to protect faculty rights, but in contemporary higher education unions and litigation serve that purpose; thus, shared governance is less necessary. While not directly criticizing faculty participation in the governance of universities, some participants in this debate consider shared governance to include staff, students, the local community, parents, alumni, and governments (Lyall 2001; Rhodes 2005). By extending the universe of shared governance, these proposals dilute the influence of faculty.

Other commentators have provided an equally vigorous defense of faculty input into university governance. Joan Wallach Scott, the former chair of the AAUP Committee on Academic Freedom and Tenure, bemoans the “corporatization” of colleges and universities as destructive of faculty rights and the quality of higher education (Scott 2002). Waugh (2002) understands that in response to external pressures administrators need to emphasize efficiency and even hire administrators with business experience but no academic experience. Nevertheless, he cautions that ignoring shared governance and relying exclusively on professional administrators will damage higher education. Johnston (2003) argues that since many professors go on to assume administrative positions, shared governance is an ideal opportunity for training effective administrators and promoting greater understanding between the faculty and administration. Additionally, personal accounts of professors’ experiences in shared governance express a desire for a strong faculty role in university decision making (Friedman 1996; Hollinger 2001). Other defenders of a strong faculty role criticize faculty apathy and the unwillingness of university administrators to credit participation in faculty governance when evaluating professors’ performance (Lucey 2002; Scott 1996).

The shared governance literature does not focus exclusively on polemical arguments; there are empirical studies of shared governance. Some scholars use frameworks from various disciplines to reconcile differences between faculty and administration over the extent of faculty participation in governance. Baldridge’s (1971) edited volume on academic governance draws from an eclectic group of academic disciplines, but it emphasizes the political aspects of academic governance. Leslie (1976) applies the pluralist model, arguing that university governance is a collection of competing interests vying for power, and the groups form varying coalitions in order to gain access to the decision making process. Accordingly, he develops a set of principles for faculty and administrators to follow in order to foster a more inclusive and effective shared governance. Clark (1972) emphasizes the organizational saga, which is a story that helps define a particular college or university in order to develop a sense of shared pride. The saga enables faculty and administrators to work together for the common good. Tierney (1988; 2004) and Tierney and Minor (2004) use an organizational culture approach, arguing that if administrators use cultural concepts, they can better communicate and work with faculty. Drawing on the sociology of organizations literature, Del Favero (2003) applies a “network forms” framework; Pope (2004) employs

Some empirical research tests the extent that shared governance is related to university performance. A case study of a small private college’s attempt to overhaul its operations discovers that the college president’s failure to share responsibility and decision making with faculty ultimately led to the endeavor’s failure (Hartley 2003). Another study demonstrates that shared governance is crucial in easing the otherwise difficult process of discontinuing academic departments and programs (Eckel 2000). Nevertheless, McCormick and Meiners (1988) find that greater faculty input in university decision making is statistically associated with decreased university performance. However, Brown (2001) shows that the relationship between faculty governance and institutional performance varies with different types of decisions. More faculty involvement in personnel and curriculum decisions increases university performance, whereas more faculty involvement in administrative and strategic decisions results in weaker university performance. Kaplan (2004) finds that there is little relationship between academic governance structure and institutional decisions.

Thus the literature gives us no consensus on the relationship between governance structure, performance, and the values of higher education. This may be partly a result of the newness of the field – it may take a while to properly define terms and then study the phenomena defined – but it lends little support for any particular policies or practices. And there is the additional problem of even determining what the governance structure is.

A line of research examines the realities and faculty perceptions of the current state of shared governance. Studies reveal that faculty have limited influence in budgetary and administrative decisions (Diamond 1991; Kaplan 2002), but they have considerable input in decisions on curriculum, academic standards, and faculty personnel decisions (Kaplan 2002). Chait (2002) discovers that in a sample of small, private institutions, faculty have more governance power in schools with tenure than in schools without tenure. (Compare this with the U.S. Supreme Court ruling in NLRB v. Yeshiva University, in which the Court held that, “Members of private university faculty exercising absolute authority in academic matters [are]... held to be managerial employees ...,” (NLRB v. Yeshiva, 1980).) Comparing professors’ perceptions of governance between faculty in the United States and faculty in Japan, Ehara (1998) finds that American faculty have more job satisfaction than their Japanese counterparts. However, he also finds that professors in the United States are less satisfied than professors in Japan about the way their universities are managed. Miller’s (2002) survey of general faculty and faculty governance leaders at a sample of research universities, liberal arts colleges, and community colleges reveals that faculty believe governance bodies adequately represent their viewpoints and act according to institutional rules, but they also recognize the difficulty in convincing faculty to serve on government bodies. Finally, Morahan, Gold, and Bickel’s (2002) survey of medical school professors shows that a majority want their administration to pay more attention to faculty affairs.

There is a rich literature analyzing the state of shared governance in higher education, and most of this research has focused on decision making for the university as a whole. However, in most colleges and universities, the department, and especially the chair, exert the most influence over professors’ teaching responsibilities, performance evaluation, salary increases, and tenure and promotion decisions. Consequently, the department performs a critical governance role. There has been some research conducted on faculty governance at the departmental level, although compared to the scholarship examining the university as a whole, this research has been sparse. Hass and Collen (1971) examine variations in the extent...
that departments formalize procedures for recruiting faculty, evaluating faculty, and dealing with tenured faculty who perform unsatisfactorily. They discover that larger departments, departments that more frequently make decisions, and higher prestige departments are statistically more likely to have formalized procedures. Hill and French’s (1971) survey of faculty perceptions of the power of their department chairs indicate that professors generally do not perceive chairs to be powerful, but there is a positive correlation between faculty satisfaction and perception of the chair’s power. DeVries and Snyder’s (1974) survey of professors ascertains the extent that they participate in departmental governance. They find that higher ranked faculty, and faculty who highly value administration but place less value on research, are the most likely to participate in departmental governance. However, the size of their department and the extent that their department formalizes procedures exerts no impact on participation in departmental governance. More recent literature on departmental governance concentrates on providing advice to department chairs. Although these works address the importance of listening to faculty and allowing them input into departmental policies, none of these works directly examines the extent that there is shared governance at the departmental level (Bennett 1983; Bolton 2000; Gmelch and Miskin 1995; Hickson and Stacks 1992; Lucas 1994; Tucker 1992).

Clearly, the extent that procedures are formalized, the perceptions of the power of the department chair, and the extent of faculty participation in departmental governance are all important components to understanding shared governance at the departmental level. However, research has not concentrated directly on the question of the degree to which rank and file faculty influence or should influence departmental policymaking. Furthermore, none of the research on departmental governance has examined directly the content of documents that define governance and enumerate rules for departmental governance. Obviously, the documents alone do not illustrate how governance works within individual departments. However, the extent to which the rules enumerated in the documents are implemented is essential for complete understanding of shared governance. This type of document examination and evaluation will help to begin to improve our understanding of the state of shared governance at the departmental level.

2. A Review of the Governance Documents

One of the primary sources of information about departmental governance at USF is the governance documents themselves. These are also critical for developing any kit for devising or revising governance documents (as in Appendix H), so one the Committee’s major efforts was to review available documents.

This review reflects a study of 29 governance documents. The Provost’s office requested from all departments copies of their governance documents, and presented the Committee with the paper documents received, most of which were dated between 1995 and 1999. Eight documents were received after we conducted the review, and so were not included. Initially, members of the committee surveyed the document contents to get a general picture of them: the results of that survey are in Appendix F. It is not clear how closely these documents are followed, but they are taken at face value.

Most departments have a classic division between an executive authority – the chair – and a legislative authority – the body of the faculty acting as a whole. Thus a governance document typically defines who the faculty are (this is an increasingly complex question these
days), and how they are hired, evaluated, and promoted. This hiring, evaluating, and promoting involves the executive authority to varying degrees, and these duties as well as others are often divided between departmental officers (especially the chair) and the faculty themselves (as a whole, or as represented on committees). In the latter case, there is usually a senior committee (or executive committee or advisory committee or committee on committees, etc.) that oversees many of these operations.

**On the Faculty**

Many documents reviewed defined the departmental faculty. Departmental guidelines usually list the various position titles that qualify faculty for membership in the department. Typically, these are the permanent instructional, research, or (on occasion) academic oversight positions. Thus, ranked faculty (professors – excluding visiting professors – and librarians) are always included and adjuncts are never included. However, there is some variation among long-term lines, such as visiting professor, instructor, lecturer, researcher, etc.

Many departments simply treat the departmental faculty of the department as a single group, as distinguished from what one could describe as “non-member faculty” (such as adjuncts and visiting professors).

However, some departments have more complex divisions of the faculty. For example:

1. Some departments divide faculty by position title and then assign different rights, privileges, obligations, and authority to each. For example, instructors may be able to vote on curriculum matters but not on selection of the chair.

2. Thirteen of the charters divide faculty by area, sometimes dividing the department into several mini-departments, each under the direction of a vice chair who serves as an officer of the department. The faculty may be divided into several bodies, one for each mini-department, and each body making decisions for that mini-department. This is true for some departments that cover several professional fields.

**Hiring and Firing.** There is a tendency to describe the process of hiring departmental faculty with great care and then only sparingly describe the hiring of non-member faculty, if at all.

For hiring departmental faculty, there is usually a committee that oversees the process, either a permanent committee or a special committee appointed with the sole charge of overseeing the hiring process. While some guidelines do not define the process for selecting this committee, some do, and in these departments the committee is elected by the departmental faculty, appointed by the Chair, or selected by some other method. Once the committee has nominated several candidates, in some departments the departmental faculty select the applicant(s) to be hired, while in others the selection is made by the Chair, by some other body, or perhaps even by the Dean. Dismissal of departmental faculty is usually not mentioned. A few departments refer to the hiring and even dismissal of non-member faculty, but this is rare.

**Assignments, evaluations, and compensation.** Assignment of duties is not mentioned in many guidelines, presumably leaving that duty to the chair. In some guidelines, assignments are mentioned, specifying what officer or committee makes the assignments for which faculty.

Twenty-eight of the 29 documents mention the annual evaluations, and most of them assign
the job of evaluating departmental members to a committee. This is either the department’s own senior committee (described below), or a special committee designed just for evaluations. (A few departments merge multiple evaluations created by different bodies or officers.) This is a major annual exercise, requiring the submission of a file. Some departments spell out very comprehensive procedures or enumerate very precise criteria for ratings.

Those departmental governance documents that enumerate items for the annual file are fairly comprehensive. For teaching ratings there are course materials, general pedagogical materials, course design, progress reports on students, and other materials. In addition to the results of the annual student evaluations. For research ratings, there are publications, preprints, copies of submissions, copies of grant proposals and reports of awards, conference programs, etc. For service ratings, one can submit lists of assignments and accomplishments, perhaps with supporting documentation. Sometimes there is a call for a statement to guide the evaluation in reviewing the file.

Among those departments that describe the evaluation process, there is a consensus that the entire file is relevant, but there is a difference of opinion on whether the entire research submission should be considered in toto or separated into categories. Other documents do not address the process or the criteria so specifically, either leaving the issues to be resolved by the evaluators, or requiring that the department approve a new set of criteria annually. Some departments rely on formulas based on quantities generated by data, while others explicitly require that the evaluators rely on their own non-numeric judgments.

Most guidelines do not go into salary. During the late 1990s, individual departments were involved in salary decisions, and as a result, some guidelines contain language that has been rendered moot by newer university-wide procedures.

**Conflict resolution and grievances.** About half the governance documents outline some kind of grievance or conflict resolution system, ranging from a charge to a standing committee to an extensive formal process on student grievances. There is, however, little integration with college or university grievance procedures.

**Tenure and promotion.** Almost all documents included procedures for awarding tenure and promotion, although many maintained a separate tenure and promotion procedures document. Typically, there is a tenure and promotion committee that conducts the preliminary review of the applicant; this is either a standing committee or an ad hoc committee, or even a committee with other duties, e.g., the senior committee. In a few departments, the tenured faculty collectively function as a tenure and promotion committee.

Departments tended to enumerate criteria for advancement and materials to be included in the tenure or promotion packet. Nevertheless, there was some wariness of the use of numerical measures except perhaps as minimum standards (e.g., as cutoffs among the essentially numerical ratings of satisfactory, very good, or outstanding – i.e., of 3, 4, or 5 – in teaching, research, or service).

The tenure and promotion committee then presents its report to the tenured faculty of the department, whose recommendation is then forwarded to the college per university policies.
On Governance

As mentioned above, the typical department is governed by a chair, usually appointed by the dean with some measure of faculty input, who serves as the departmental executive. The departmental faculty as a whole typically act as a legislature. There are several officers, often appointed by the chair, and several committees, often selected by the chair or by a senior committee whose members are elected by the faculty, or appointed by the chair, or both. In addition, some institutes are housed within departments, and are accountable to those departments. Such institutes are often not mentioned in the guidelines or the bylaws, although sometimes the guidelines provide for institutes, down to the selection of the directors and the oversight of the organization.

The faculty as a legislature. In most departments, the departmental faculty, meeting as a whole (or electronically) serves as a legislature. About two-thirds of the charters mentioned how often faculty meetings must occur, and about two-fifths mention the budget. Many require the maintenance of minutes.

Some guidelines enumerate the powers of the faculty in detail, while others leave that to the department to work out. In many cases, the faculty refers an issue to committee and then, upon the committee making its report, makes a decision.

Much work is done by committees, which are selected in a variety of ways. Usually, there is a senior committee that is elected by the faculty, composed of departmental officers, or selected by some other means. Responsibilities of the departmental senior committee may include: making committee assignments, advising the chair, evaluating faculty, reviewing applications for tenure or promotion, and acting as a hiring committee.

Other committees shoulder considerable responsibilities as well. In many departments, there are separate tenure/promotion, evaluation, and/or hiring committees. In addition, many departments have several committees on graduate and undergraduate students, although work can be allocated in many ways, e.g., by having separate graduate admissions and graduate affairs committees. Some governance documents provide for committees that distribute resources (travel funding, library journal selection, colloquia, computers, etc.), and some have committees that do special work (newsletter committees, committees overseeing or articulating with institutes, etc.). Committees can be appointed by the chair, appointed by the senior committee, appointed by the faculty on recommendation by someone, or nominated from the floor at a faculty meeting.

The Chair as executive. Three-quarters of the charters reviewed outline the process for selecting a chair, and one-third outline a process for removing one. Most charters simply state that the chair is the chief executive of the department, although seven charters go into the chair’s authority in more detail. Only a quarter of the documents present a procedure for reversing a decision by the chair, and, as we shall see in Section 3, this is consistent with faculty perceptions of the power of the faculty.

Departments that outline a chair-selection process tend to have a search process conducted by a faculty committee, although a few do permit the Dean to appoint anyone. The committee may then make a recommendation to the Dean directly, or present the results of the search to the faculty body so that the body may decide. Some departments have the faculty body present several candidates, perhaps as a ranked list, to the Dean; others present a single candidate. Some departments fix terms for chairs, while others have the chairs serve at the
pleasure of the Dean.

As with the faculty body, some documents provide detailed information on the authority of the chair, whereas others are imprecise. Some governance documents establish a vice or associate chair, who handles specific duties (e.g., paperwork, course assignments, etc.). Some charters assign specific duties to this officer, while others leave the delegation of assignments to the chair’s discretion. Some documents specify graduate and undergraduate advisors, various program directors, and other positions that the department may require. Some charters create these offices, while others leave the creation to the chairs.

**On the mission of the department.** While most departments have a mission, with ancillary rights and obligations, a typical governance document addresses only governance and procedural matters and does not address the department’s mission.

First of all, departments vary on mission statements themselves. Some departments have long mission statements, some have short ones, and some have none at all. Somewhat more common is a preamble, which might describe the mission of the department and the purpose of the guidelines. It seems likely that these guidelines were composed with colleagues as the primary, and perhaps only, readers. A few departments have long-range plans attached to their charters, but most departments do not have such formal plans.

Finally, many documents do acknowledge the following order of precedence: the terms and conditions of the document are secondary to those of federal and state laws, of city and county ordinances, of the rules and regulations of the State University System, the University of South Florida, and the College. Most do contain the equal opportunity language that the university increasingly requests most units acknowledge. There is relative silence about resolutions of conflicts between a department and a college. A few mention academic or professional criteria determined by external organizations, and a few acknowledge the priority of university regulations and the Collective Bargaining Agreement (if applicable) over departmental charter and bylaw language. In general, articulation is not an issue that appears in very many charters.

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### 3. Faculty Attitudes on Departmental Governance at USF

One of the primary goals of this project was to explore faculty attitudes and experience with departmental governance. Towards this end, an anonymous mail survey of faculty was completed in April, 2005. The final report submitted to the USF IRB describing the survey, methodology and detailed presentation and discussion of results appears in Appendix G.

One of the first issues to consider in a faculty survey was how to define faculty in order to create a list for mailing the surveys. For this survey, “faculty” meant “full-time, ranked faculty,” and the USF Human Resources Office queried GEMS and provided us with a list of 1,297 such faculty. However, there have been reports that some ranked faculty did not receive surveys, and both the definition and the personnel lists may need further clarification and refinement.

This was an anonymous 3-stage mail survey, which meant that an announcement of the survey was mailed to faculty on the list. Then the survey (which fit on one side of a sheet of paper) was mailed, followed three days later by a reminder. To preserve anonymity, the
survey did not request information that would serve to identify the respondents by name, department or college. Demographic questions asked the faculty member to identify their gender, rank, tenure status, and years at USF. The survey included six choices to describe the respondent’s awareness of the existence of governance documents in the respondent’s own department, one question on the frequency of faculty or staff meetings in the respondent’s department, and six questions on the respondent’s knowledge, participation and satisfaction with participation in their department’s governance.

Thirty-five percent of the mailed surveys were completed and returned, which is regarded as a sufficient level for analysis. The response rate was relatively independent of gender or race. Over a third indicated they were unaware of governance documents in their departments, although over 90% said that there were departmental meetings several times a year. Most respondents indicated that faculty are involved in departmental decision-making processes, with senior faculty reporting greater involvement. On one question about whether a vote of the faculty could overturn decisions of the chair, only a fourth believed that this was possible within their own departments.

Fifty-one of the returned completed surveys included written remarks: six included comments about governance problems at the college levels, eleven were mostly “positive” remarks on their own departments’ governance, five were more “neutral” and twenty-nine returned surveys included written comments that were mostly “negative” about governance in their own departments.

Comparing these results with information from actual departmental governance documents reviewed in Section 2 of this report, while as much as one-third of faculty may be unaware of the existence of governance documents in their own departments, approximately one half of the departments at USF did not respond to the provost office request for submission of written governance documents. One of the findings reported in section two was confirmed in the survey responses in that one fourth of the survey respondents believed that a decision of the chair could be overturned by a vote of the faculty and about one fourth of the departmental governance documents submitted included description of a mechanism for overturning decisions of the chair. The detailed report which includes the survey analysis table of comparisons between characteristics of faculty to whom the survey was sent with those that returned completed surveys, and a table of all information extracted from returned surveys is included in Appendix G. to this report.

4. Conclusions and Further Directions

As noted in Haas & Collen (1971), larger and more prestigious universities tend to have more formal procedures. Perhaps this is because larger institutions need formal procedures for predictability and efficiency, which optimizes the amount of time faculty spend on more productive pursuits. Accordingly, we recommend that departments and comparable units develop their own formal governance documents. It bears emphasizing that we propose that departments compose their own charters, not that the charters be handed to them.

As a result of our review of governance documents and the survey of faculty attitudes, it is apparent that a majority of the faculty cannot overturn an unpopular decision of a chair. This report makes no recommendations on whether departmental faculty should have such authority; however, this issue should be resolved in advance, and not after a crisis arises.
Furthermore, since it is essential that departmental operations deal with higher administration (see Appendix H) and perhaps relations with other departments and programs, departmental governance documents should articulate with the regulations and policies of the administration. This leads to several concerns. First, the charter should be presented to the college, and if the charter is not consistent with the college’s regulations and policies, then the college should inform the department. Additionally, when the college changes regulations and policies, the college should inform the departments in a timely manner, and not wait until an articulation conflict occurs. Moreover, considering the number of articulation issues that abound, it would be helpful if there were a single source that a department could consult for a list of conditions that a charter and bylaws should satisfy (beyond USF Rules). Indeed, considering the growing amount of requests for information, it might be wise to arrange for a responsible office to handle periodic updates on many issues; thereby minimizing the amount of time lost and reporting errors committed.

Finally, there is anecdotal evidence of a recurrent problem: the effectiveness (or ineffectiveness) of governance procedures. As mentioned in Section 1, there seems to be only a limited understanding of this. For example, committees may not be productive because their mandates are unclear. While many faculty are familiar with these phenomena they are not well understood, and researchers in the relevant academic disciplines may find that the situation deserves further clarification and refinement.
Appendix A
Principles of Shared Governance

This is the document approved by the Faculty Senate on September 17, 2003.

Context and Rationale:

The rationale for this document emerged from a concern that the genuine sharing of governance between faculty and administration has been problematic at USF for many years. The existing structure, as well as the culture that has developed here, has made it difficult both to visualize how shared governance should work, and to put it into practice.

The document approved by the Senate represents an attempt to initiate dialogue, by articulating a set of principles that can guide USF as it moves toward establishing shared governance. The goal was to re-establish the voice of the faculty as central to the maintenance of the academic mission of the university. This is not to minimize the role of other important groups, such as staff, students, and administration; however, the Senate does not speak for these groups, and thus the document speaks primarily to the role of faculty.

This document is not intended to lay out specific policy and procedures that will determine how shared governance will function in practice. Indeed, the intent is to begin a shared process that will move toward developing both the structure and the culture that will allow shared governance to flourish. The faculty cannot do this alone, nor are we suggesting that we should dictate the direction of this process. In seeking endorsement from the Provost and administration, we do so in the spirit of cooperation. Now we invite the academic administration, at all levels, to work with us to develop the process that will make shared governance a reality, using these principles as a contributing document in that process, and not as a “written-in-stone” agenda. We see this as an opportunity to move forward together – not as antagonists, but as collaborators.

S. Elizabeth Bird
President: USF Faculty Senate

Proposed Resolution and Principles of Shared Governance:

The Senate resolves that both the USF Administration and the Faculty must work together to develop a climate conducive to the operation of genuinely shared governance, in which faculty have a primary role in determining all policy and practice relevant to the academic functioning of the university.

The Senate thus endorses the Principles of Shared Governance presented below. We call upon the President, Provost, and the entire Administration both to endorse these Principles and to respond appropriately to Senate initiatives that will transform these principles into practice.

USF Faculty Senate: Principles of Shared Faculty Governance

All great universities embrace the concept of shared governance, which reflects a commitment by faculty, administration, and staff to work together toward the common goal of
strengthening the educational mission of the university. Indeed, USF has recognized the concept in Rule, by stating that “On the part of the Administration, Academic Responsibility implies a commitment actively to foster within the University a climate favorable to responsible exercise of freedom, by adherence to principles of shared governance, which require that in the development of academic policies and processes, the professional judgments of faculty members are of primary importance.”

Shared governance represents a mutual respect within the university community for the contributions that all members bring to that common goal. As expressed by the AAUP, "a college or university in which all the components are aware of their interdependence, of the usefulness of communication among themselves, and of the force of joint action will enjoy increased capacity to solve educational problems."

USF seeks to underline its role as a community of scholars by making an unequivocal commitment to these central principles of shared governance:

1. Faculty members have the principal responsibility for originating policy in the following areas:
   • Academic policy, including initial authorization and direction of all courses, curricula, and degrees offered;
   • Scholastic policy, including scholastic standards for admission, grading, continuation, graduation, and honors; and
   • Academic ethics, including development of policies and procedures

2. The faculty shall act jointly with the administration to make recommendations in the areas of:
   • Policies and procedures for faculty appointment, promotion and tenure review, reward systems; discipline and termination;
   • Student conduct and activities;
   • Budgetary review and strategic planning;
   • Selection and review of academic administrators;
   • Making of policy concerning the general academic welfare of the University.

3. A commitment to shared governance requires that faculty members, primarily through their representative governance body, the Faculty Senate, as well as through College and Department governance structures, must be included at all stages of the process of making/reviewing policy, developing curricula, selecting and reviewing administrators, making budgetary decisions, and all other areas relevant to the academic functioning of the University.
   • Notification after the fact does not constitute such inclusion.
   • Shared governance must be seen to operate at all levels of the University, from departments, through Colleges, to the University as a whole.
   • Governance documents at all these levels should reflect this spirit, and governance should be seen to operate accordingly.
Appendix B

Review of the 2004 Survey of Departments

A summary of departmental discussions on the Faculty Senate Shared Governance document (approved 09/17/03) in response to a request from Provost Khator.

Introduction

In order to address problems concerning the allocation of power to faculty versus administration, the Faculty Senate passed on September 17, 2003 a document entitled “Principles of Shared Governance” (see Appendix A). The document stated that, “The existing structure, as well as the culture that has developed here, has made it difficult both to visualize how shared governance should work, and to put it into practice.” (1) The document articulated a set of principles designed to move USF towards “...genuinely shared governance, in which faculty have a primary role in determining all policy and practice relevant to the academic functioning of the university”. (2) In this context the Provost sent the Senate’s “Principles” document to department chairs to solicit feedback from faculty members by April 1, 2004. An ad hoc group of faculty senators, Chairs, Deans and Vice Presidents devised the following questions for faculty to answer:

1. In your department context, which areas do you consider to be appropriate for “administrative decision making”?

2. In your departmental context, which areas do you consider to be appropriate for “faculty decision-making”?

3. In your departmental context, which areas do you consider to be appropriate for “shared decision making”?

This appendix summarizes the responses to these questions from the thirty-one (31) separate departments that participated in this endeavor.

The departmental responses generally fell into two categories: 1) those that approved the “Principles” statement with very little additional comment (7 departments, 22%) and 2) those that provided specific answers to the Provost’s questions and recommended revisions and modifications of the “Principles” statement (24 departments, 78%). Below is a summary of the areas on which the respondent departments reached consensus on the answers. The specific question is repeated at the head of each summary.

1. In your departmental context, which areas do you consider to be appropriate for “administrative decision making”? (A Total of 24 departments responded to this question.)

- 79% of respondent departments mentioned **allocation of resources** (operational budget, space and salary increases)
- 41% of respondent departments mentioned **coordination and implementation of class schedules and related policies**,
- 41% of respondent departments mentioned teaching and research time allocation,
- 37% of respondent departments mentioned faculty evaluation
- 21% of respondent departments mentioned management of non-academic staff
- 20% of respondent departments mentioned conflict resolution
- 12% of respondent departments mentioned representation of the department to higher administration and at state and national levels
- 4% of respondent departments mentioned hiring

2. In your departmental context, which areas do you consider to be appropriate for “faculty decision making”?

- 79% of respondent departments mentioned originating policy in curriculum, course structure and implementation of academic policy
- 67% of respondent departments mentioned scholastic and academic policies
- 64% of respondent departments mentioned research policy.
- 55% of respondent departments mentioned academic ethics policy
- 29% of respondent departments mentioned course and instructor evaluations
- 25% of respondent departments mentioned promotion and tenure
- 8% of respondent departments mentioned education budget
- 6% of respondent departments mentioned professional service
- 3% of respondent departments mentioned chair selection
- 3% of respondent departments mentioned hiring faculty
- 3% of respondent departments mentioned faculty assignments

3. In your departmental context, which areas do you consider to be appropriate for “shared decision-making”?

- 74% of respondent departments mentioned policies and procedures related to faculty appointment
- 68% of respondent departments mentioned policies on the general welfare of the university
- 58% of respondent departments mentioned selection of department heads and administrators
- 51% of respondent departments mentioned promotion and tenure policies
- 45% of respondent departments mentioned discipline and termination policies
- 42% of respondent departments mentioned decisions on development of reward systems
- 39% of respondent departments mentioned student conduct and activities
- 39% of respondent departments mentioned budget review
- 16% of respondent departments mentioned faculty and student grievances
- 16% of respondent departments mentioned faculty evaluation
- 9% of respondent departments mentioned large equipment purchase
- 6% of respondent departments mentioned assignments

References

(1) Content and Rationale, Shared Governance Document, as approved by the USF Faculty Senate, September 17, 2003.
(2) Proposed Resolution and Principles of Shared Governance, as approved by the USF Faculty Senate, September 17, 2003.
Appendix C

Shared Governance at the Departmental Level: Some Principles

This is the document composed by Faculty Senate President Liz Bird in 2004 after reviewing the documents described in Appendix B.

USF Rule and Policy States:

“On the part of the Administration, Academic Responsibility implies a commitment actively to foster within the University a climate favorable to responsible exercise of freedom, by adherence to principles of shared governance, which require that in the development of academic policies and processes, the professional judgments of faculty members are of primary importance.”

The entire university is a community of scholars, which must be committed to these principles. The department is also a community of scholars, and should function through processes that ensure that these principles translate into action.

- Thus, all departments should have a governance document that clearly addresses:
  - The range of responsibilities of the Chair and the decisions that must be approved by a faculty vote.
  - Procedures for recruitment, promotion and retention of faculty, all of which should involve consultation of faculty.
  - The terms of office and appointment/election processes for Chairs and other departmental administrators.
  - Standing committees, processes on budgetary issues.
  - Any discipline-specific criteria that should be considered in tenure and promotion.

- While the department governance document will vary according to the specific nature of each department, shared governance requires certain important conditions be met:

Role of the Chair:

- While department chairs are appointed by the Dean or other administrator, no chair should be appointed without the majority support of the department faculty, which should be recorded through a faculty vote. Only if no agreement can be reached among faculty should the Dean impose a decision on the department.

- If the department faculty withdraws its support (for instance through a vote of no-confidence in the chair), the Dean must respond in a timely fashion, identifying a solution acceptable to the majority of the faculty.
• While there may be occasions when it is necessary for a Dean to remove a chair, this decision should be explained clearly to the department, and an opportunity for discussion and consultation should be offered.

Faculty Consultation:

• Unless very small in size, departments should have an elected Faculty Advisory Committee (or comparable title) whose role is to advise the Chair on key matters affecting the department.
• No full-time faculty member may be appointed without a majority favorable vote of the department faculty and the support of the Faculty Advisory Committee.
• No faculty member may be tenured without a majority favorable vote of the department faculty, and the support of the Faculty Advisory Council.
• Once having gone through a mid-tenure review, no faculty member may be non-renewed without majority approval of the department faculty, and the support of the Faculty Advisory Council.
• All faculty members should have the right to be informed about the state of the Department’s budget.
• Faculty members have the principal responsibility for originating academic policy, including authorization and direction of all courses, curricula, and degrees offered. No changes should be made in program requirements, courses, or any curriculum matters without the approval of the department faculty.
• Faculty members have the principal responsibility for maintaining departmental scholastic standards for admission, grading, continuation, graduation, and honors. No changes should be made in these without the approval of the department faculty.
• Faculty members should have the principal responsibility for safeguarding academic ethics, including development of policies and procedures for the department. No changes should be made in such policies without the approval of the department faculty.

Termination/Non-Reappointment

• Although chairs recommend action in cases of termination for cause, shared governance requires that there must be evidence of faculty consultation. At the very least, the Faculty Committee should approve the decision.
• Although chairs recommend action in cases of non-renewal of tenure-track faculty members, shared governance requires that there must be evidence of faculty consultation. At the very least, the Faculty Committee should approve the decision, and that approval should be recorded on the USF Non-Reappointment Form.
Appendix D
Details of the Governance Hierarchy

The University of South Florida is one of ten universities (and one college) within the Florida State University System, which is a constitutional agency of the State of Florida, as defined by Section IX.7 of the state constitution, adopted in 2002.

The Board of Governors is “fully responsible for the management of the whole university system,” although it is partially under the jurisdiction of the Florida Department of Education and the State Board of Education. It bears mentioning that the Board of Governors has delegated to the local Boards of Trustees many tasks, such as collective bargaining authority.

The Boards of Trustees are literally trustees, as defined in Florida State Statute 1001.74, and they manage each individual university. Their powers include establishing and dissolving programs through the Masters’ level, promulgating student standards, instituting personnel policies, and signing contracts. The Board of Trustees also selects the president of the university by appointing a search committee and then choosing one of the nominees. The Florida Board of Education must ratify the Board of Trustees’ decision. Each Board of Trustees contains thirteen members: five appointed by the Board of Governors; six appointed by the governor of Florida; the president of the Faculty Senate, and the President of Student Government.

The President is the chief executive officer of the university, whose powers and duties are defined by Florida State Statute 1001.75. The President delegates many of those responsibilities to the Provost (who is also known as the Vice President for Academic Affairs). The directors of all regional campuses and all but four colleges report to the Provost. The President delegates powers and duties related to the colleges of Medicine, Nursing, Physical Therapy, and Public Health to the Vice President for Health Sciences.

There are four campuses of the University of South Florida: Lakeland, St. Petersburg, Sarasota, and Tampa. The campuses at Lakeland, St. Petersburg, and Sarasota are “regional” campuses, whose Chief Executive Officers who, by Florida Statute 1004, serve at the pleasure of the President.

The Provost and the Vice President for Health Sciences oversee the Deans of the colleges. In addition, the Provost oversees the Regional Campus Associate Vice Presidents for Academic Affairs of the Lakeland and Sarasota / Manatee campuses (see the proposals in the Inter-Campus Academic Relations among USF Tampa, USF Sarasota / Manatee, USF Lakeland paper endorsed January 20, 2005). We do not review the situation at USF St. Petersburg in this report.

In addition to the top-down, centralized power bureaucratic model of policy making at USF, faculty can impact governance in three other ways: The Faculty Senate, The Faculty Union (UFF), and college and university councils and committees.

The Faculty Senate represents over a thousand faculty having an array of research, instructional, and professional employment titles, with the common factor being substantial scholarly components to the explicit or implicit job description. The Faculty Senate was created by the President of the University of South Florida, although its standing was substantiated by Florida Constitution IX.7(c), which mandates that the Faculty Senate president sits on the Board of Trustees. And the Senate Constitution establishes the Senate not as advisory, but rather as a responsible participant in university governance. The Senate’s
jurisdiction is thus both complex and protean, and efforts are now underway to transform the Senate into an effective representative of the faculty in academic government.

The Senate communicates directly to the Board, to the President, the Provost, the Vice President for Health Sciences, various other administrators, college deans, and university and college councils and committees. Thus it serves as a medium for transmitting faculty concerns on academic and related issues to those officers and bodies.

The United Faculty of Florida (UFF) is affiliated with the Florida Education Association, and is a democratic organization governed in accordance with federal and state law. Its mission is to represent a specific collection of USF employees (defined by job title, but roughly consisting of permanent faculty, excluding Health Science faculty and certain chairs, and including certain non-instructional faculty) in bargaining and enforcing a Collective Bargaining Agreement between the Board of Trustees and those employees. The collection of employees that the UFF represents is the “bargaining unit,” currently consisting of approximately 1800 people. However, only those faculty who choose to join and pay dues are members of UFF, and the members of UFF elect its officers and representatives, thus directing its course.

The UFF bargains with representatives of the Board of Trustees, consults with representatives of the President of USF, and assists faculty grieving contractual violations (this process usually occurs in the Provost’s office). Therefore, it serves as a medium for establishing and enforcing legal compensation, rights, and privileges of faculty.

The various college and university councils, which serve a variety of academic or support missions, provide another way for faculty to communicate to the Administration. For example, these council and committees are the first step in the process of approving new courses and academic programs. These councils consist of memberships often nominated by departments, and selected either by officials or by other councils.

In comparing these three systems, the Senate and the councils are largely internally generated entities concerned primarily with the support and advance of the university’s academic mission. Conversely, UFF is a unit of a national organization concerned largely with employment issues. At the time of this writing, the standing of the Senate and the councils are less clear but with a jurisdiction of considerable scope, while the UFF’s standing is more clear, but with a narrower jurisdiction.
Appendix E
References for
A Review of Extant Literature
on Academic Governance


National Labor Relations Board v. Yeshiva University, 1979, 1980, U.S. Supreme Court cases 78-857.


Appendix F
A Survey of Governance Documents

Twenty-nine governance documents were reviewed, and seventeen specific Boolean questions were asked of each. Here are the results, with the number of documents (out of the twenty-nine) for which the answer is affirmative:

1. Does the document define members of the faculty and their responsibilities (addressing, as examples, faculty ranks and whether instructors are included)? Yes = 28/29.

2. Does the document describe how faculty are evaluated and by whom? Yes = 28/29.

3. Does the document address tenure and promotion criteria and procedures? Yes = 25/29.

4. Does the document address allocation of resources (office and laboratory space, summer pay, etc.)? Yes = 16/29.

5. Does the document provide a procedure for resolution of faculty or student grievances? Yes = 11/29.

6. Does the document define the term of office of the chair and how the chair is filled? Yes = 21/29.

7. Does the document provide a procedure for recall (removal) of the chair? Yes = 10/29.

8. Does the document give to the faculty the authority to change decisions of the chair? Yes = 7/29.

9. Does the document define offices beside the chair (e.g., associate chair, graduate director, etc.)? Yes = 20/29.

10. Does the document define standing and ad-hoc committees, their responsibilities, and how they are staffed? Yes = 27/29.

11. Does the document specify minimum frequencies for meetings of the faculty or subsidiary committees? Yes = 20/29.

12. Does the document divide the unit into sub-disciplines with specific authority? Yes = 13/29.


16. Does the document provide for faculty consultation in cases of non-renewal of contracts of untenured faculty, as required by Senate guidelines? Yes = 3/29.

17. Does the document provide for regular reports by the chair to the faculty on the department budget, as required by Senate guidelines? Yes = 12/29.
Appendix G

Shared Governance at the University of South Florida: Faculty Senate Anonymous Mail Survey of General Faculty Participation in Departmental Level Activities and Decisions

John C. Ward, Jr., Ph.D (Principal Investigator)
Gregory McColm, Ph.D. (Co-Principal Investigator)
USF IRB Protocol No. 103504F
August 1, 2005

Shared Governance at USF: Faculty Senate Anonymous Mail Survey of General Faculty Participation in Departmental Level Activities and Decisions

John C. Ward, Jr., Ph.D (Principal Investigator)
Gregory McColm, Ph.D. (Co-Principal Investigator)
USF IRB Protocol No. 103504F
August 1, 2005

Introduction
There is increased interest at the University of South Florida (USF) and other universities in the practice of shared governance. That generally involves discussion of ways in which the Faculty and University Administration share authority and or responsibility for important decisions or policy in the operation of the University. In Florida, this has become especially important following dissolution of the State Board of Regents and devolvement of oversight responsibilities to Boards of Trustees at each of Florida's State Universities. Defining roles and responsibilities of faculty and administration in deciding and implementing policy has required a process of investigation, dialogue, and re-invention of shared governance at USF and the other public universities in Florida.

In addition to shared governance relationships between the Faculty and University Administration, there is also interest in discovering the extent to which policies and practices at departmental levels within the University encourage or allow individual faculty members to participate in decisions that contribute to a local experience of shared governance. In the Fall of 2004, as part of an initial effort to examine issues of departmental governance at USF, Vice Provost Dr. Robert Chang submitted a request to all Department Chairs for copies of their departmental governance documents. The results of extensive review of those documents by the USF Faculty Senate are described in a larger report. While document reviews can offer information about existence of formal procedures that describe how governance decisions are made within responding departments, document reviews may not describe actual level of participation by faculty in departmental governance…nor do they offer insights into faculty experience, awareness, or satisfaction with ways governance decisions are made within departments. A decision was made to develop and mail a
questionnaire to USF faculty asking about their opinion on these issues. In the Spring Term, 2005, a questionnaire was mailed to USF faculty asking their opinions on these issues.

Survey Recipients
There are many lists and definitions of faculty used for various information and communication purposes at USF...each using different criteria to define faculty membership. For example, in the “USF Faculty Constitution”:

Membership in the general faculty of the University of South Florida shall consist of all full-time faculty members with the rank of Lecturer, Instructor, Assistant Professor, Associate Professor, Professor, Assistant Librarian, Associate Librarian, or Librarian. Department Chairs are considered to be members of the general faculty. Other administrators who hold faculty appointments are not eligible for membership if their administrative assignment is 50 percent or greater. The general faculty acts through the Faculty Senate as its elected representative body.

The Constitution states that all general faculty are eligible to vote for faculty senate representatives from their area but not all general faculty are eligible to serve in the Faculty Senate:

Members of the general faculty eligible to be elected to the Faculty Senate shall be full-time members of the general faculty holding the rank of Assistant Professor, Associate Professor, Professor, Assistant Librarian, Associate Librarian, or Librarian.

About two years ago, in an effort to increase participation in university governance, the USF Faculty Senate voted to expand the definition of faculty eligible for appointment to University Committees and Councils to include those in non-tenured or non-tenure earning positions (e.g., those with modifiers like “Assistant In” Research or “Associate In” Research, or “Research Assistant” Professor or “Research Associate” Professor, etc.).

Other systems in the University employ even more expanded definitions of faculty. For example, the University Personnel Classification System in GEMS lists twenty-two job codes (including the ones that describe the positions referred to above) to classify employees into various categories of “faculty” appointments.

For purposes of this survey, and as a first effort to explore these issues, the survey was sent only to full-time, ranked faculty. The faculty listing used in the survey mail-out was obtained from a GEMS query conducted by USF Human Resources. The final list included 1,297 USF full-time general faculty members with ranks of Assistant Professor, Associate Professor or Full Professor, including Graduate Research Professors and Distinguished Professors.

Survey Methodology
A one-page “Shared Governance Survey” (see Appendix to this report) was developed by members of a USF Faculty Senate Shared Governance Workgroup to query USF faculty about their experiences, awareness, and satisfaction with faculty participation in governance within their departments. The survey questionnaire included several sections: 1) one for the respondent to identify gender, faculty rank, tenure status and years employed at USF; 2) two
other sections with a total of 12 “check box” questions that dealt with awareness of existence of departmental governance documents and frequency of departmental meetings; and 3) one section with six questions using a Likkert response format to evaluate level of faculty participation and satisfaction with opportunity to participate in governance decisions within their department. A section was also provided for written comments.

The main purpose of the survey was to gain general opinions on these issues across the entire University setting. There was no intent to obtain specific information to identify patterns of governance or functioning of individual departments. For that reason, the survey instructed respondents that they should not place their signature, their name, or their department’s name on the completed survey. At the end of the Spring Term, 2005, a three stage campus mail survey procedure was used to distribute the surveys to the 1,297 general faculty included in the mailing list. The first stage of the mail-out was a brief notice about the Faculty Senate's intention to send a one-page survey asking for faculty experiences with governance at the departmental level. Approximately three days later, in stage two, the one-page survey and another copy of the stage-one notice were mailed. One week later, in stage three, a reminder notice was sent thanking addressees for their participation and encouraging them to complete and return the survey if they had not yet done so. The study was reviewed by the USF IRB as Protocol No. 103504F and awarded an exemption certificate under federal criteria 45CFR46.101(b) category two.

**Survey Results**

A total of 459 completed surveys were returned from the 1,297 faculty to whom surveys were sent. No procedures were used to determine if mailed surveys actually reached all faculty on the list. Thus, the return-rate calculation was based on total sent divided into total useable returns. Five other surveys were returned with written comments. These were not included in analyses because all demographic information and survey questions were left blank. The resulting 35.4% return rate is considered sufficient to infer responses to the larger group. In addition, Table 1. shows the comparisons of “gender” and “faculty rank” of the 1,297 faculty to whom surveys were sent with the “gender” and “faculty rank” reports in the 459 completed and returned surveys.
Table 1. Shared Departmental Governance: Comparison of Faculty Surveyed with Return Sample

<table>
<thead>
<tr>
<th></th>
<th>Characteristics of USF Faculty included in the Departmental Governance Mail Survey (n = 1297)</th>
<th>Characteristics of USF Faculty who completed and returned the Anonymous Departmental Governance Mail Survey (n = 459)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Gender</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>64%</td>
<td>62%</td>
</tr>
<tr>
<td>Female</td>
<td>36%</td>
<td>36%</td>
</tr>
<tr>
<td><strong>Faculty Rank</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assistant</td>
<td>28%</td>
<td>26%</td>
</tr>
<tr>
<td>Associate</td>
<td>31%</td>
<td>32%</td>
</tr>
<tr>
<td>Full</td>
<td>40%</td>
<td>39%</td>
</tr>
</tbody>
</table>

The similarity in the makeup of those two groups on the characteristics shown in Table 1 suggests that the faculty who returned surveys are a representative sample of the 1,297 faculty to whom they were mailed. Based on a sufficient return rate and “representativeness” of the sample, it is acceptable to generalize the findings of the 459 faculty who returned a completed survey to what might have been discovered if all 1,297 faculty in the mail list had responded.

Table 2. reports the results of the analyses of responses to the anonymous surveys. Based on responses on the 459 returned surveys, 62% were Male and 36% were female; 9% were ranked but not in tenure earning lines, 28% were on track for tenure and 61% were tenured; 26% were Assistant Professors, 32% were Associate Professors, and 39% were full Professors.
### Table 2. Shared Departmental Governance: Anonymous Responses from Mail Survey sent to 1,297 USF Faculty

<table>
<thead>
<tr>
<th>Characteristics of Survey Respondents</th>
<th>Total Response (n=459)</th>
<th>Gender</th>
<th>Tenure Status</th>
<th>Faculty Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Male</td>
<td>Female</td>
<td>Not tenure earning</td>
<td>On track for tenure</td>
</tr>
<tr>
<td>Assistant Professors</td>
<td>26%</td>
<td>20%</td>
<td>35%</td>
<td>43%</td>
</tr>
<tr>
<td>Associate Professors</td>
<td>32%</td>
<td>29%</td>
<td>36%</td>
<td>33%</td>
</tr>
<tr>
<td>Full Professors</td>
<td>40%</td>
<td>49%</td>
<td>25%</td>
<td>12%</td>
</tr>
<tr>
<td>Tenured</td>
<td>62%</td>
<td>67%</td>
<td>31%</td>
<td>9%</td>
</tr>
<tr>
<td>At USF less than five years</td>
<td>32%</td>
<td>28%</td>
<td>39%</td>
<td>43%</td>
</tr>
<tr>
<td>At USF five to ten years</td>
<td>20%</td>
<td>18%</td>
<td>23%</td>
<td>29%</td>
</tr>
<tr>
<td>At USF eleven to twenty years</td>
<td>26%</td>
<td>26%</td>
<td>26%</td>
<td>21%</td>
</tr>
<tr>
<td>At USF more than twenty years</td>
<td>22%</td>
<td>28%</td>
<td>12%</td>
<td>7%</td>
</tr>
<tr>
<td>Reported not being aware of any written governance documents in their department</td>
<td>36%</td>
<td>37%</td>
<td>35%</td>
<td>69%</td>
</tr>
<tr>
<td>Reported that their department did not have departmental meetings</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
<td>5%</td>
</tr>
<tr>
<td>One or less meeting per year</td>
<td>7%</td>
<td>8%</td>
<td>7%</td>
<td>7%</td>
</tr>
<tr>
<td>At least one meeting per semester</td>
<td>42%</td>
<td>47%</td>
<td>33%</td>
<td>45%</td>
</tr>
<tr>
<td>One meeting or more per month</td>
<td>49%</td>
<td>43%</td>
<td>58%</td>
<td>43%</td>
</tr>
<tr>
<td>Faculty participate in departmental decisions about tenure and promotion</td>
<td>Agree</td>
<td>80%</td>
<td>79%</td>
<td>83%</td>
</tr>
<tr>
<td>Disagree</td>
<td>14%</td>
<td>15%</td>
<td>12%</td>
<td>41%</td>
</tr>
<tr>
<td>No Opinion</td>
<td>5%</td>
<td>5%</td>
<td>5%</td>
<td>21%</td>
</tr>
<tr>
<td>Faculty have opportunity to vote on departmental policy decisions</td>
<td>Agree</td>
<td>64%</td>
<td>65%</td>
<td>64%</td>
</tr>
<tr>
<td>Disagree</td>
<td>28%</td>
<td>27%</td>
<td>30%</td>
<td>45%</td>
</tr>
<tr>
<td>No Opinion</td>
<td>7%</td>
<td>7%</td>
<td>6%</td>
<td>9%</td>
</tr>
<tr>
<td>Faculty could vote to reverse decisions of the Chair of the Department</td>
<td>Agree</td>
<td>28%</td>
<td>29%</td>
<td>29%</td>
</tr>
<tr>
<td>Disagree</td>
<td>49%</td>
<td>51%</td>
<td>49%</td>
<td>57%</td>
</tr>
<tr>
<td>No Opinion</td>
<td>20%</td>
<td>19%</td>
<td>20%</td>
<td>19%</td>
</tr>
<tr>
<td>Majority of faculty are involved in departmental governance decisions</td>
<td>Agree</td>
<td>52%</td>
<td>52%</td>
<td>53%</td>
</tr>
<tr>
<td>Disagree</td>
<td>38%</td>
<td>38%</td>
<td>39%</td>
<td>64%</td>
</tr>
<tr>
<td>No Opinion</td>
<td>8%</td>
<td>9%</td>
<td>8%</td>
<td>7%</td>
</tr>
<tr>
<td>Is an active participant in departmental governance decisions</td>
<td>Agree</td>
<td>60%</td>
<td>60%</td>
<td>61%</td>
</tr>
<tr>
<td>Disagree</td>
<td>33%</td>
<td>33%</td>
<td>33%</td>
<td>45%</td>
</tr>
<tr>
<td>No Opinion</td>
<td>6%</td>
<td>6%</td>
<td>5%</td>
<td>14%</td>
</tr>
<tr>
<td>Is satisfied with opportunity</td>
<td>Agree</td>
<td>55%</td>
<td>56%</td>
<td>54%</td>
</tr>
<tr>
<td>Disagree</td>
<td>34%</td>
<td>31%</td>
<td>39%</td>
<td>40%</td>
</tr>
</tbody>
</table>
Two questions on the survey concerned general departmental governance issues, i.e., awareness of existence of departmental governance documents and frequency of departmental meetings. Thirty six percent of the survey respondents indicated they were not aware of the existence of any written governance documents in their departments. In this category, although gender differences did not appear, the table shows that faculty not on tenure earning lines or who were Assistant Professors without tenure reported the least awareness of the existence of governance documents within their departments. Forty two percent of all respondents indicated that their departments held departmental meetings at least once per semester and 49% reported at least monthly departmental meetings. Nine percent of the respondents indicated that their departments held one or less departmental meetings per year.

Several questions on the survey examined issues of faculty participation or opportunity to participate (e.g., by voting) in departmental governance decisions. Overall, 80% of the respondents indicated that faculty in their department participate in decisions about tenure and promotion. There was not a difference in responses to this category based on gender. However, consistent with general University policy that only tenured faculty vote on tenure decisions, faculty not on tenure earning lines and those who reported they were Assistant Professors (and thus not likely to be tenured) had the lowest agreement rate (38% and 62% respectively) with the statement that faculty in their departments participate in tenure decisions. While sixty-four percent off the survey respondents agreed that faculty in their departments have the opportunity to vote on departmental policy decisions, again, non-tenured faculty agreed with that statement less than tenured faculty. A little more than a quarter of the faculty respondents believed that faculty in their department could vote to overturn a decision by their chair. This ranged from less than a quarter of the non-tenured faculty to about one-third of the tenured full professors reporting a belief that chair’s decisions in their department were reversible by faculty vote. About half of the respondents believed that the majority of faculty in their department were involved in departmental governance decisions. Sixty percent of the faculty reported they were active participants in departmental governance decisions, and slightly more than half (55%) indicated they were satisfied with their opportunities to participate in governance decisions within their department.

Finally, space was provided at the end of the survey to allow additional comments by the respondent. Only fifty-one returned completed surveys included comments that were related to governance. Written comments from six respondents suggested that shared governance problems existed more at the college level or higher than within their departments. Forty-five other returned surveys included comments related specifically to shared governance within the respondent’s department. Eleven of those were rated as mostly “positive” comments about how their departments functioned, five were more “neutral” statements (e.g., “I think the major decision is which decisions faculty should control or share”), and twenty-nine written responses were rated as “negative” because they cited specific problems with
governance within the respondent’s department. Seven of those rated as “negative” included absence of written governance documents as all or part of the written comment.

**Discussion of Survey Results**
As mentioned earlier, the survey did not ask questions that would identify either the individual faculty member or the faculty member’s department or college within USF. This decision was based on the hope that anonymity of respondent and department would result in the most valid responses (e.g., less impacted by social desirability or fear of retaliation). For that reason, it is not possible to say if the 36% of the faculty who responded that their departments did not have written governance documents are distributed as a small number of uninformed faculty in each of several departments that actually have written documents…or, if the 36% represents a relatively large number of informed faculty in a few departments where there are no formal governance documents in existence. Thus, based simply on the survey results, it is not possible to make statements about the absolute number of departments at USF where governance documents exist, or even state the number of departments where the majority of faculty participate in governance and are satisfied with the opportunity to participate.

Absolute interpretation of the university-wide survey responses are also difficult since gold standards may not exist to define what percentage of faculty across a university should be aware of the existence of their department’s governance documents, or how many faculty across a university should report that they participate in departmental governance decisions or how many should be satisfied with their opportunity to participate in decisions made within their departments. Even with that in mind, there still may be room for improvement in results in some of the categories included in the survey responses. For example, if 36% of the faculty are not aware of the existence of governance documents within their departments, there is a strong possibility that in some departments either the documents do not exist or they are not made available as part of orientation of new faculty or they have not been updated or revised or followed for several years. Prudent administrators who support the concept of “shared governance might agree that successful departments are more likely to have current written policies and procedures that define and encourage participation and input from members of the department.

There is a trend in the survey responses related to the tenure status of the faculty member responding. Tenure-earning and tenured faculty are slightly more likely to report more participation in governance and more satisfaction with opportunities to do so than faculty not on tenure earning lines. However, even for tenured full professors, approximately 1/3 responded on the survey that they are not aware of any written governance documents in their departments, 1/3 report that they are not active participants in governance decisions in their department, and 1/3 indicate that they are not satisfied with the opportunities they have to participate in governance decisions in their department.

There has been recent interest within some parts of the University toward encouraging departments (and colleges) to develop or update their governance documents. For that reason, the results of this current survey may be best used as a baseline against which improvement could be measured following readministration of the survey a year or two from now…or after some evidence is available that departments at USF with updated written governance documents are the rule rather than an exception. In that way, there may be less need at the
present time to identify or single out individual departments as having or not having, or using or not using, written governance documents. Instead, information available from departmental governance document reviews in the full “USF Faculty Senate Departmental Governance Report” could serve as one resource for distributing information to interested departments about the types and content of documents they may need to have in place to adequately describe policies and procedures for shared departmental governance.

APPENDIX A. SHARED DEPARTMENTAL GOVERNANCE SURVEY

*(see next page for Figure 2)*
As described in a previous letter to you, the USF Faculty Senate needs your anonymous answers to this brief survey to help learn more about general faculty member’s experiences with participation in governance activities within their home departments. Participation is voluntary. You are not asked for any information that would identify your department or you as an individual. Demographic information will be used to determine if characteristics of respondents are similar to characteristics of the general faculty at USF. Responses will be aggregated to develop a summary report that will available by late summer or early fall. Your answers are important and we appreciate the time you spend responding to these questions. Please return the completed survey to: John C. Ward, Jr., Ph.D.- USF Faculty Senate Office - ADM 226.

### Your Gender:
- [ ] Male
- [ ] Female

### Faculty Rank:
- [ ] Lecturer/Instructor
- [ ] Asst.Professor or Asst.Librarian
- [ ] Assoc.Professor/Assoc.Lib.
- [ ] Professor/Lib.
- [ ] Other

### Tenure Status:
- [ ] Tenure Track
- [ ] Tenured
- [ ] Not on a tenure earning line

### Years employed at USF:
- [ ] less than five years
- [ ] five to ten
- [ ] eleven to fifteen
- [ ] sixteen to twenty
- [ ] more than twenty years

---

**What written documents describe how faculty members in your department are able to participate in Departmental Governance? (Check all that apply.)**

<table>
<thead>
<tr>
<th>Document Type</th>
<th>Agree</th>
<th>Agree Strongly</th>
<th>Disagree</th>
<th>Disagree Strongly</th>
</tr>
</thead>
<tbody>
<tr>
<td>Documents that describe how meetings are run</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Documents that describe how evaluations are done</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Documents that describe how duties are assigned</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Documents that describe how faculty are hired</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Other written documents about departmental governance</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>I am not aware of any written documents related to faculty participation in governance of my department</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

---

**How often does your department hold faculty (or faculty/staff) meetings?**

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Agree</th>
<th>Agree Strongly</th>
<th>Disagree</th>
<th>Disagree Strongly</th>
</tr>
</thead>
<tbody>
<tr>
<td>We do not have departmental faculty meetings</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Less than one meeting each year</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>At least one meeting each year</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>At least one meeting each semester</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>At least one meeting each month</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>More than one meeting each month</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

---

Thank you for your voluntary participation in this survey of USF faculty experiences with shared governance at the departmental level. If you choose not to participate, this will not effect your employment with USF. Do not sign or place your name (or your department’s name) on this survey. However, you may provide additional comments about shared governance in the space below or on the back of this form. Please return the completed survey to: John C. Ward, Jr., Ph.D.– USF Faculty Senate Office- ADM 226.
Appendix H
A Kit for Devising or Revising Governance Documents

One of the primary objectives of this report is to provide a toolkit for departments intent on devising or revising their own governance documents. This Appendix outlines a process and some means by which this construction or revision can be accomplished. This report is descriptive rather than prescriptive, and is composed with the awareness that different departments have faculty from different academic subcultures with their own needs and perspectives. Therefore, this section is designed to assist a department in composing its own charter.

There are several levels of governance documents:

1. A charter is a document that establishes the governance structure of the department, and usually concentrates on the basic organs (the chair, the senior committee, the faculty of the department) and their function.

2. The bylaws form a document that describes how the various organs function. This document is sometimes merged with the charter, and sometimes subordinate to it.

3. The policies agreed to by the department are either recorded as minutes in records of faculty meetings (if it is the faculty of the department who make policy decisions) or as notes by the senior committee or the chair (if it is the senior committee or the chair that make policy decisions). While legislatures have the resources to extract policy decisions from minutes or notes, smaller organizations usually make do by keeping copies of the minutes.

It should be noted that USF desires departments to compose and maintain tenure and promotion guidelines either as part of a charter or of bylaws, or as a separate document.

At any rate, the department (preferably with the consent or at least acknowledgement of the dean) must first devise a mechanism for composing the necessary governance documents, which usually means selecting a committee to compose a document to be presented to the department and the relevant college for ratification.

6.1 The Faculty

The department has ranked and unranked faculty, staff and secretaries, visitors and adjuncts, and students. While the governance documents can deal with each of these groups, they must address the central, decision-making body of faculty. There are several decisions to make:

1. Who are the primary faculty of a department? While there are certain kinds of decisions (e.g., tenure) that are made by groups of faculty selected at higher levels, the department has considerable leeway deciding who should have a voice in decisions on curriculum, assignment of resources, and even hiring.

It should be noted that there is no requirement that a charter simply separate all people at a department into an in-group and an out-group. There can be gradations of involvement. The university itself does this to some extent, with full professors alone voting on promotion to full professorship, but all tenured professors voting on tenure. Nevertheless, the charter should delineate some kind of membership criteria.

2. What sort of sub-units do the faculty belong in? Some departments do not divide their faculty, and thus are divided only by university title. Others divide departments by field, perhaps to articulate with several different accreditation or licensing agencies.

Departmental governance should be consistent with the USF Rules on University Personnel Matters (Chapter 6C4-10); information about USF Rules are available from the office of Human Relations.
Hiring and firing. The precise process for hiring departmental faculty should be described unambiguously and in detail. There is considerable labor involved in a job search, especially in those departments which can anticipate hundreds of applications for a position.

The department should also consider procedures to deal with irregularities. Irregularities can include: (a) being presented with a candidate that the administration wants hired, (b) receipt of information that a highly desirable academic at another university may be interested in coming to USF, (c) a new (and perhaps out-of-cycle) program for hiring permanent faculty on special lines designated for some extraordinary purpose.

Irregularities are crises presenting their own dangers and opportunities, and in trying to anticipate them, the department should consider how much flexibility should the department have to deal with irregularities, and how much rigid structure may be advisable to resist temptation.

Assignments, evaluations, and compensation. This is the basic mechanism for measuring faculty performance and reward. These assignment forms determine the teaching, research, and service loads of faculty, and are reviewed by auditors. Governance documents should explicitly state who has the authority and responsibility for making assignments.

Similarly, responsibility for conducting evaluations should also be made explicit. Evaluations are used to determine merit salary and to flag unsatisfactory or otherwise problematic performance.

One possible concern is the “discretionary raise,” in which chairs make a recommendation for an “out-of-cycle” compensation (e.g., in reaction to a counter-offer). The default is to leave that matter to the chair.

Conflict resolution and grievances. Unless there is a reason for informality, it may be advisable to have a formal system for handling conflicts. Informality can lead to errors and escalation. Indeed, there are laws and regulations that impose restrictions on the most informal proceedings.

If a department is to compose a conflict resolution structure, it should articulate it within the structures of the college and the university. Indeed, a department may want several structures, as there can be student-faculty conflicts, faculty-faculty conflicts, and faculty-administration conflicts. In addition, there may be reason to deal with disciplinary procedures (in which a student or faculty member is believed to have committed an infraction) differently from grievance procedures (in which a student or faculty member claims to be the victim of a violation of contractual conditions or some other laws or regulations).

In any case, the rationale for proceeding should be in writing, and records of all actions should be kept. Because of timeliness constraints, there may be reason to inform the appropriate administrator in the college or higher immediately; for example, a faculty grievance must be filed at the Provost’s office within thirty days of the time the faculty member knew or should have known of the violation. Notice that such a departmental structure would operate under the presumption that a formal grievance had already been filed. Departments should consult the terms of USF Rule 6C4-10.113 and, if applicable, the Collective Bargaining Agreement, Article 20, for university constraints on the grievance procedure for faculty, and USF Rules 6C4-3.0015 and 6C4-6.0021 for university constraints on student discipline and grievances. If low-level resolution fails, then the grievance goes to higher and higher levels, potentially up to binding arbitration if all else fails. All such higher-level hearings, mediation, etc., are held outside of the department, and decisions are binding on the department.

Tenure and promotion. A department should have a fairly precise tenure and promotion process. In practice, much of the responsibility for determining if the prospective applicant can make a viable application lies with the department. Thus, the department’s role will be to monitor the prospective applicant’s progress. This means that the annual evaluations and the mid-tenure review should be assigned to responsible organs. The department also plays a role in the construction of the packet, and the departmental procedure should be consistent with university and college policies and regulations, specifically the USF Rule 6C4.3003 and, if applicable, the Collective Bargaining Agreement, Articles 14
and 15. Thus there must be a formal procedure for collecting materials for the tenure packet, for reviewing it once it is submitted, for presenting recommendations to the departmental faculty (based on written criteria for advancement), and for the faculty recommendations to be forwarded to the college. Second, as a practical matter, the packet has two audiences: the department, and the administrative hierarchy.

3.2 On Governance

A governance structure of a department should be an integral and organic part of the department. First, the department has to make several decisions.

1. What is to be the distribution of authority and power between the chair and the faculty? The first question is this one. This is not just an issue of quantity, but what specific authority and power do the players need to function?

2. How is power to be delegated? The chair cannot do all the executive work and the faculty as a whole cannot do all the policy work. There must be officers and committees, responsible to the chair and/or the faculty, and these must articulate with each other in many cases (e.g., undergraduate advisors with undergraduate committees). It may be advisable to compose a list of governance decisions that are made in the department, and then decide who should have responsibility for each.

The faculty as a legislature. The mechanics of the faculty-body-as-legislature should be addressed. How are meetings called and announced? What is a quorum? What kinds of issues are decided by majority vote and what by supermajorities, and by what supermajorities? What are the rules of order? (Many just stipulate Robert’s Rules of Order.) And what is permitted electronically or by proxy?

The Chair as executive. Just as it may be advisable to enumerate the duties of the faculty body, it may be advisable to enumerate the duties of a chair. We strongly recommend that the governance documents address the following issues:

1. How is a chair hired? Who conducts the search, and how are reports and recommendations made and forwarded?

2. Do chairs have terms of office? There are arguments on both side, and this issue should be discussed and resolved.

3. How are emergency situations dealt with? There are situations when a department may lose confidence in a chair; what is the procedure for resolving differences with a chair, up to and including dismissal of a chair? And what is the procedure for selecting an interim chair?

Since the chair will not be doing all the executive work, one issue to be dealt with is the assignment of executive work. Most departments seem to have a vice chair to handle class assignments, the budget, and similar details. Most departments have various student advisors, and realistically, the chair directs the office staff. In addition, what authority or influence will the faculty body have over office policy?

The mission of the department. A mission statement can help to define what the department and membership is supposed to accomplish or attempt. A mission statement can serve as a starting place for developing a long-range plan and should be tied to support or funding.

The department will need to decide how much administrative support should be provided for research, teaching, and service. The resources for research and service may range from laboratory space and equipment to technical typing and grant application support. A department should reflect on its needs, now and in the future, and at least assign responsibility for research and service support to the appropriate officers and/or committees. Resources for teaching require most departments to have academic advisors. In addition, a department offering many lower division courses will need a system for maintaining standards and coordinating the curriculum.
Articulation with external units and organizations – from professional societies to various colleges (and its own college!) to other departments – should be addressed, reflecting on past events and current trends. A department may contact corresponding departments in other USF campuses to determine what formal relations may be advisable for future collaborative development. The department should also investigate the criteria of academic and professional organizations (e.g., their statements of principles and ethics) for consideration, and the inclusion of language on equal opportunity and non-discrimination.