
Faculty Governance Review Committee Report

Faculty Governance Review Committee Members

Christopher Carothers (Comp. Sci.)
Jacob Fish, *Chair* (MANE, MSEC)
Wayne D. Gray (Cog. Sci.)
Robert Messler (Mat. Sci. & Eng.)
Mark Shephard (MANE, SCOREC)

Phil Phan (Lally)
Harry Roy (Biology)
Don Vitaliano (Economics)
Iftekhar Hasan (Lally)

Acknowledgments: Jack Mahoney, Karen Jo Traite

Revising Faculty Governance System – A National Trend

- Increasing use of a business model based on market and financial factors to guide university decision making
- Diverging professional cultures of faculty and administration:
 - Recognition of administrators directly tied to their performance in the institutional sphere
 - Success of faculty is tied to their disciplinary recognition
- Supreme Court ruling in the Yeshiva University case
 - By defining private university faculty as “managerial employees,” the Court ruled that the faculty role in governance is not independent of the university administration

Establishment of the Faculty Governance Review Committee (FGRC)

- Tenured and tenure-track faculty from each department identified suitable candidates at the departmental level
- Each department forwarded one nominee to the Dean of their school
- Deans forwarded a minimum of four candidates from each school to the Provost
- The Provost selected two candidates from each school to serve on the FGRC
- The Provost selected the Chair of the FGRC
- The Provost submitted the full composition of the FGRC to the President for final approval

The FGRC Charge

The Faculty Governance Review Committee was charged as an independent body to:

- Review and benchmark best faculty governance practices of selected peer universities
- Visit and look at university governance strategies among the very best universities
- Review publications of higher education associations, including the Association of American Universities Professors, and review the Institute Bylaws
- Produce templates for alternative forms of faculty governance, incorporating key lessons learned from their work

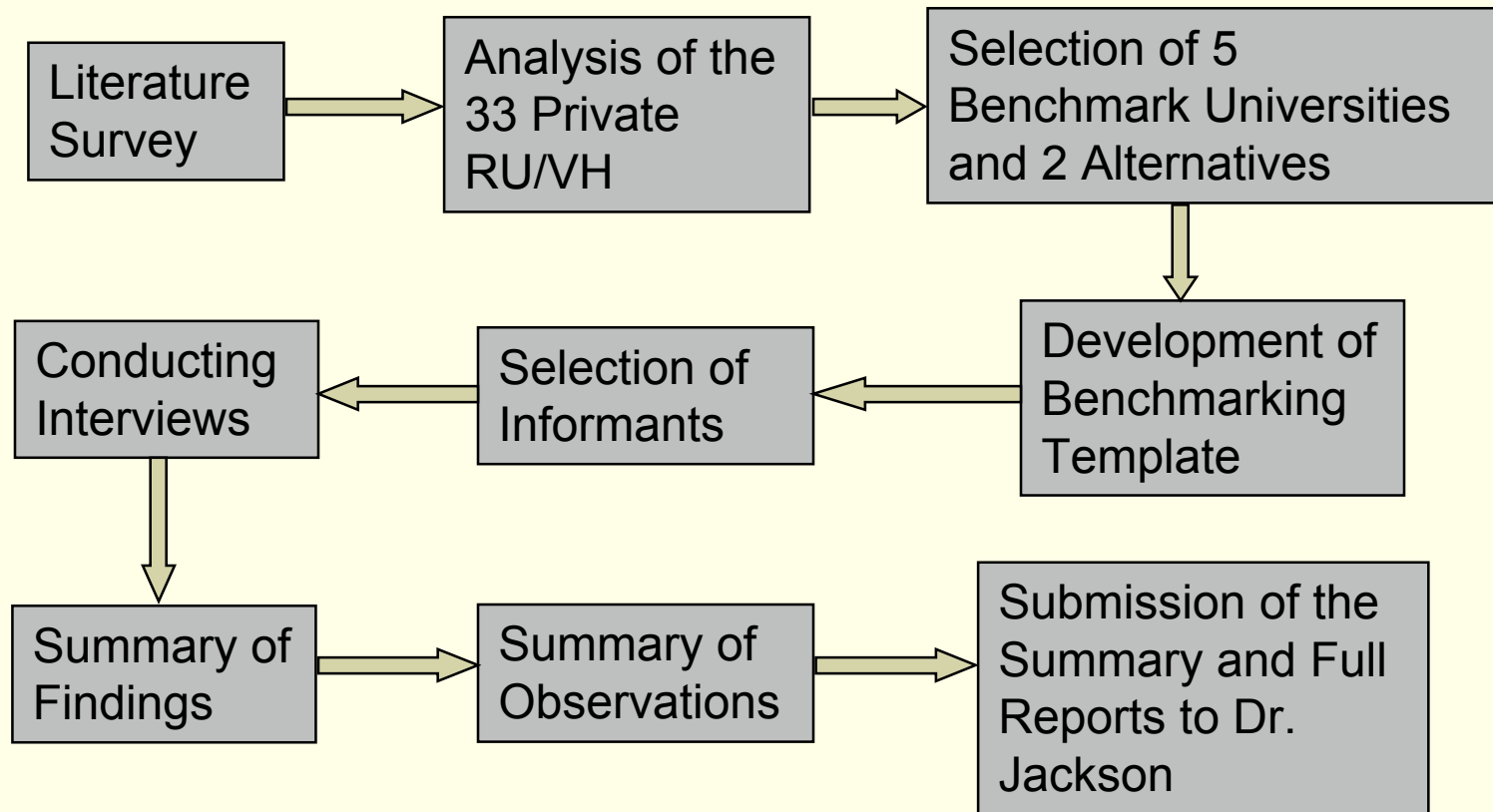
Mission Impossible ?














- Cohen and March¹ have famously observed that "efforts to steer an academic institution are as effective as driving a car skidding on ice."
- Due to complexities stemming from multiplicity of interests and diffuse power in academic institutions

¹ Cohen, M.D. and March, J.G., Leadership and Ambiguity, New York McGraw Hill, 1974.

The Faculty Governance Review Process



Literature Survey

-  Benjamin, R. *Recreating the faculty role in University Governance*. Book chapter.
-  Campbell, D. *Leadership and academic culture in the Senate presidency: An interpretive view*. The American Behavioral Scientist; **Mar 2003; 46, 7**
-  Del Favero, M. *Faculty-administrator relationships as integral to high-performing governance systems*. The American Behavioral Scientist; **Mar 2003; 46, 7**
-  Lieberwitz, R. *Faculty in the Corporate University: Professional Identity, Law, and Collective Action*. **16** Cornell Journal of Law and Public Policy, **263; Spring, 2007;**
-  Minor, J.T. *Assessing the Senate: Critical issues considered*. The American Behavioral Scientist; **Mar. 2003; 46, 7**
-  Tierney, W.G. *Introduction*. The American Behavioral Scientist; **Mar 2003; 46, 7**.
-  Carnegie Mellon University Faculty Bylaws
-  Cornell University Faculty Senate Committee to Review Faculty Governance: *Final Report and Recommendations*; **March 7, 2007**.
-  Cohen, M.D. and March, J.G., *Leadership and Ambiguity*, New York McGraw Hill, 1974.
-  American Association of University Professors – 1966 “Statement on Government of Colleges and Universities”.
-  *The Art & Politics of Academic Governance: Relations among Boards, Presidents, and Faculty*; Kenneth Mortimer and Colleen O’Brien, 2007.



Analysis of the 33 Private RU/VH

Measure	Data Source	Rensselaer	University x
Institutional Descriptive Measures			
Institutional Control	IPEDS	Private, non-profit	Private, non-profit
State	IPEDS	NY	MA
Carnegie Classification-Basic	Carnegie Foundation	RU/VH	RU/VH
Expenditures - R&D (\$000) FY2005	NSF	65,571	246,520
Federal R&D (\$000) FY2005	NSF	42,338	228,842
State & Local R&D (\$000) FY2005	NSF	7,640	320
Industry R&D (\$000) FY2005	NSF	4,253	8,592
Institutional R&D (\$000) FY2005	NSF	9,951	0
All other R&D (\$000) FY2005	NSF	1,389	8,766
Endowment - (\$000) FY2006	NACUBO	682,894	916,017
Endowment - rank FY2006	NACUBO	90	71
Total enrollment	IPEDS	7,423	31,574
Undergraduate enrollment	IPEDS	5,192	18,521
Doctorates awarded	IPEDS	146	491
% UG degrees in engineering	IPEDS	53%	7%
Post Docs - Fall 2005	NSF	68	159
Full-time faculty	IPEDS	428	1,525
Tenured/tenure track faculty	IPEDS	349	793
Non-tenured faculty	IPEDS	79	732
US News Category	US News	National Universities	National Universities
US News Ranking	US News	44	57
Admissions applicant overlap w/RPI - UG	College Board's ASQ	NA	238
Admissions accepted overlap w/RPI - UG	College Board's ASQ	NA	217
Admissions cross-admits	College Board's ASQ	NA	91%
Admissions RPI win rate	College Board's ASQ	NA	56%



Rationale for Selecting Benchmark Universities

- Include institutions of similar size in terms of graduate and undergraduate enrollment, number of degrees awarded and research volume
- Include “aspirant” institutions that have many of the attributes we wish to attain, such as rankings, research volume, graduate programs, etc.



Benchmarking Template

Faculty Governance Body structure
How are they elected or appointed? · Separate elections, structures, representation for teaching faculty, research faculty, and T&TT faculty?
Faculty Prerogatives: Academic Freedom type issues
Faculty role in issues such as curriculum, student academic standards, faculty hiring, peer review, budgets, administrative appointments affecting core academic functions, etc · Faculty participation in searches for senior-level administrators
Relationships between individual faculty and the faculty governance body
Mechanisms for attracting broad faculty participation (representation by department? by school? at large? mixture?) · Communication channels between faculty governance body and faculty
Relationship of the Faculty Governance Body to the Administration
Role of president, provost, and other administrators in faculty governance issues · Broad consultation with Provost, President and Board
Definition of faculty
Who is permitted to vote in faculty governance body votes? · Terms of appointment, promotion, procedures for appointment and promotion, contract length, for non-T&TT faculty
Faculty governance code of conduct
How is sensitive confidential information dealt with?



Selection of Informants¹

- representatives from the faculty governance body (senate/council chair/president/dean of faculty)
- representatives from administration (president, chancellor, provost)
- representatives from senior faculty

¹ The questionnaire was emailed to our informants prior to our visits and/or phone interviews.



Summary of Findings

Governance Issue	University				
	A	B	C	D	E
Is Faculty Role Only Advisory	Yes	Yes	Yes	Yes	Yes
More than P&T & Curriculum	No	No	No	No	Yes
Definition of Faculty	All	All	All	All	All
Who Votes	T&TT & retired	T&TT	All	T&TT	T&TT, NT who are teaching at least 3 courses per ac yr + on 2 sem annual appt
Faculty Appointed by Administration	Yes	No	No	Yes	Yes
Representation Unit for Elections	General	Department	Department	Department	School
Frequency of Senate Meetings	7/year	8/year	8/year	2/year	4/yr
Faculty Governance Code of Conduct.	No	No	No	No	No
Recent Conflicts With Administration	No	Yes	Yes (Campus Art)	Yes (BoT membership)	No
Comments	Widely Admired	Reactive Role; Elected DoF	“Harmonious” Dept. only P&T	Committees Do the Work	Committees Do the Work



Summary of Observations

We observed the following five factors that play a major role in the effectiveness of a faculty governance system:

- Representative Unit: Faculty representatives are elected by and report to departments or divisions (B,C,D,E).
- Checks and balances: Faculty representatives with a high level of responsibility for interaction with the administration are, at some institutions, subject to some form of vetting by the administration (A,D,E and possibly C).
- Partnership: Outside of Faculty-specific areas (P&T, Curriculum), members of some key committees include Faculty and Administrators (A,D,E and possibly C).
- Mutually understood domains of responsibility: Faculty retained responsibility on issues of curriculum, student academic standards, faculty hiring, promotion and tenure, peer review, etc. with advice and consent from administration. The administration bears major responsibility on issues of budgets, administrative appointments, etc., with advice from faculty, while final authority on budgets and tenure cases rests with the Board of Trustees, after President's review and approval/consent (A,C,D,E).
- Responses to problems: Faculty and senior administrators seem most satisfied when the faculty governance structure includes a lean executive core that considers issues, and delegates those deserving or requiring attention to the most appropriate among several standing committees (e.g., P&T, Curriculum, etc.) (A, C, D and possibly E).

