

Shared Governance at Vanderbilt University

by the Shared Governance Committee

MAY 2018



EXECUTIVE SUMMARY

Shared governance describes the extent and means by which faculty and other stakeholders are involved, consulted, and collaboratively and constructively engaged in university decision-making and priority setting. The Shared Governance Committee, a term committee to support and partner with the Faculty Senate, was appointed by Provost Susan Wentz from faculty nominations provided by the Deans of each of Vanderbilt's colleges and schools. The Committee's charge, announced by the Chancellor in November and delivered by the Provost in December 2016, was to assist Vanderbilt's faculty and university leaders in reflecting on the current state of shared governance at Vanderbilt, exploring best practices in shared governance for Vanderbilt, and considering how shared governance might be enhanced and improved by developing new ways to engage faculty voices, collaborations, and partnerships in university initiatives. The overarching goal of the Committee was to aid Vanderbilt in achieving the mission and goals articulated in the 2013 Academic Strategic Plan. In particular, as further discussed, the Committee's work was related to the Trans-institutional Programs (TIPs) and Education Technologies pillars of the Plan.

The Shared Governance Committee respectfully submits this executive summary of the Committee's recommendations. These recommendations are drawn from the Committee's conversations with multiple groups (faculty, department chairs, associate deans, deans, vice provosts, vice chancellors, the Provost, and the Chancellor), the 2016 COACHE survey, and peer-school comparisons. In summary, based on the COACHE results and peer comparisons, the Committee concludes that Vanderbilt is in line with its peers on governance-related matters, such as the structure and authority of the Faculty Senate. Detailed discussions of the COACHE survey and peer comparison results pertaining to governance are contained in Appendices III and V, respectively.

The executive summary is divided into four sets of recommendations regarding: communication, a shared governance website, committees, and individual faculty. The recommendations are developed more fully in the main report. Our executive summary concludes with suggestions for future work and the outline of the main report, which follows.

COMMUNICATION

Communication is a pervasive, overarching attribute of good shared governance. In order to successfully engage in collaborative and constructive feedback and decision-making, the free flow of information is essential. The Shared Governance Committee recommends that shared governance communication flows at Vanderbilt generally

- *Adopt a three-step process of shared governance decision making.* The three-step process is as follows:
 - *Early-stage discussion* between faculty and university/school leaders with the objective of encouraging the free-flow of ideas at this early stage.
 - *Decision process* communicated by leaders to faculty with clarity around expected processes of decision making. For example, which groups are active participants in the decision-making process? Which groups will be consulted and will serve in an advisory capacity? What will the feedback loop look like after the decision is made?
 - *Follow-up report* after decision making provided by leaders to faculty to explain the rationale for the decision(s) made.

In addition to the three-step process, to further improve communication in shared governance at Vanderbilt, the Committee recommends improvement in the overall flow of communication.

- *Improve the consistency of information flow.* The committee recommends improvement in the consistency of information flow from the central administration and the Deans' offices to all faculty stakeholders (departments, programs, centers, individual faculty) to ensure that information is messaged in a uniform manner.

SHARED GOVERNANCE WEBSITE

Education about and opportunities for participation are pivotal to shared governance. The Shared Governance Committee recommends the creation of the Shared Governance Website, which will be an online portal to all Vanderbilt governance-related matters. The Website will both educate Vanderbilt stakeholders about shared governance at Vanderbilt and provide opportunities for enhanced involvement in shared governance.

- *Construct a Shared Governance Website.* The information provided by this online portal will include: current and past shared governance committee activities and reports, university, school, and college bylaws, a faculty expertise database to facilitate committee assignments, and various information to educate the faculty about shared governance generally and Vanderbilt's specific shared governance practices. The Website will link to already established and maintained Vanderbilt websites where current shared governance initiatives reside (e.g., the Office of the Provost and Faculty Senate websites) as well as establish new avenues to enable governance.

COMMITTEES

A large volume of the university's shared governance work occurs through faculty committees and other collective bodies, such as the Faculty Senate, school-level Faculty Councils, and across-college committees. Faculty committees include university-, school-, and, in some schools, departmental-level committees. A number of desirable features of committees were identified. Our Committee recommends steps to enhance committee work at Vanderbilt:

- *Provide committee best practices.* Information about best practices for committees should reside on the Shared Governance Website.
- *Enhance the efforts of committee work.* Ways of enhancing the efforts of committee work include broadening faculty representation on committees, preparing faculty to serve on committees, and optimizing faculty contributions to committees.

INDIVIDUALS

Shared governance represents a collaborative and constructive partnership among stakeholders, which includes both individual faculty members, administrative leaders, and other stakeholders. Thus, individual faculty participation in governance is critical.

- *Foster greater inclusion of faculty in shared governance.* Means of fostering increased inclusion of individual faculty in Vanderbilt's shared governance include building knowledge, skill, and desire among faculty for participation in shared governance. This participation includes committee work and engagement with university and school-level forums when available. Participation also is enabled by clear internal organizational charts and processes, many of which exist, to facilitate individual faculty engagement.

FUTURE WORK AND REPORT OUTLINE

In addition to the recommendations above, the Committee recommends that a follow-on committee be established to further develop, implement, and possibly expand, the recommendations presented here. The Committee recommends that this endeavor be in partnership with the Faculty Senate.

This report proceeds as follows. We discuss shared governance by drawing on the shared governance scholarly literature and then provide our committee's definition of shared governance. The committee then discusses its formation, membership, and engagement with faculty, the Faculty Senate, and university, School, and College administration. We turn next to our recommendations, followed by the implications of the 2016 reorganization for shared governance. The main report concludes with suggestions for future work. The report also contains five appendices, including Appendix III, with a detailed account of our findings, and Appendix V, which summarizes peer level comparisons of faculty senate bodies. Throughout its deliberations and information-gathering, the Committee sought to be highly inclusive and fully transparent in its efforts.

The Shared Governance Committee members are:

- Terrah Foster Akard**, associate professor of nursing;
- Erin Charles**, lecturer in the teaching of music;
- Jeffrey Johnston**, Stevenson Professor of Chemistry;
- Anne Kenworthy**, professor of molecular physiology and biophysics and
associate professor of cell and developmental biology;
- Christopher Lind**, professor of medicine;
- Holly McCammon**, co-chair, Cornelius Vanderbilt Professor of Sociology;
- David Merryman**, professor of biomedical engineering;
- Phillis Sheppard**, associate professor of religion, psychology, and culture;
- Marybeth Shinn**, Cornelius Vanderbilt Professor of Human,
Organizational, and Community Development;
- Richard Willis**, co-chair, associate dean, Owen Graduate School of
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- Yesha Yadav**, professor of law.

We submit this report on behalf of the Shared Governance Committee.



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CONCEPTUALIZING SHARED GOVERNANCE

This section contains the following discussions:

- I. Brief Review of the Academic Literature on Shared Governance
 - A. Definition of Shared Governance
 - B. Challenges to Shared Governance and Best Practices
- II. Shared Governance Committee's Working Definition of Shared Governance
- III. General Overview of Shared Governance at Vanderbilt

I. BRIEF REVIEW OF THE ACADEMIC LITERATURE ON SHARED GOVERNANCE

A. Definition of Shared Governance

Shared governance is the principle recognizing the authority of institutional governing boards and the distributed authority among administration and faculty (Association of Governing Boards [AGB], 2016). The governance of an academic institution is ultimately controlled by the governing board, which has legal authority over the institution (Olson, 2009). In practice, the governing board delegates authority to the president, who in turn delegates various aspects of daily management to other officials.

Over the years, the concept of shared governance has evolved to include roles for faculty in the process as well (Olson, 2009). Shared governance can bring together different ideas and create an inclusive environment for decision-making when faculty join administrators to provide institutional leadership and participate in decision-making processes involving academic policies, programs, and other key issues at higher education institutions (AGB, 2016; Del Favero, 2003; Schwartz, 1980). This collaboration requires a balance of the interests and power of each group with the goal of advancing the best interests of the institution. Shared governance not only balances faculty and staff participation in decision-making, but also administrative accountability (Olson, 2009). Some higher education institutions rely on unionization to bolster shared governance; however, many elite universities do not have unions because their tenured faculty members have job security, competitive salaries, a strong voice in governance, and prestige (Jones, 1986; Bucklew, Houghton, & Ellison, 2013). Surveys have shown that although the majority of governing boards, administrative leadership, and faculty report that shared governance is working, challenges exist and could be addressed to further strengthen shared governance (AGB, 2016).

B. Challenges to Shared Governance and Best Practices

Challenges to shared governance include *lack of regular review* of shared governance structures and bylaws to ensure they reflect new realities, *balancing faculty workloads* between institutional and scholarly work, and, significantly, *reduced faculty available* for shared governance (AGB, 2016; Del Favero, 2003). *Unclear definitions of "shared governance"* cause many faculty and administrators to misunderstand the term. Thus, shared governance often takes on the meaning of the user (Olson, 2009). Providing a clear definition of shared governance may be the first step toward improving the process. See Section II.

Another challenge is created by *different responsibilities and cultures of faculty and administrators* (Del Favero, 2003). Differences in individual experience levels, competencies, and motivations have an impact on the effectiveness of shared governance and influence perceptions of trust (Migliore, 2012). For example, the main role

of administrators is decision-making and problem solving, with the goal of serving the institution. Faculty are focused on achieving success in their own discipline, and in most cases their allegiance to the institution is secondary to their discipline. Faculty value autonomy, while administrators control faculty resources required for scholarly work. This feature of university life can create tension when resources are withheld, or when the number of administrators increases. Administrators are responsible for resolving this potential dilemma between faculty preferences and university control mechanisms by establishing practices that support successful shared governance.

Prior research has identified best practices in shared governance to help achieve these goals, which include transparent and frequent communication, decision-making collaboration, active faculty engagement in governance activities, and regular assessment of shared governance (AGB, 2016; Bahls, 2014; Del Favero, 2003; Olson, 2009; Thoenig & Paradeise, 2014). Cristofoli, Markovic, & Meneguzzo (2014) suggest successful administrative leaders perform three different tasks: *action planning* which consists of establishing a clear mission and strategies to execute the mission, *activating* by providing resources and selecting appropriate faculty and staff members to carry out the mission of the institution, and *re-planning* by altering and repositioning the institution's objectives when important changes within the institutional environment occur (Agranoff & McGuire, 1998, 2001, 2003; Mitchell & Shortell, 2000; Mitchell, Florin, & Stevenson, 2002; Shortell et al. 2002). Moreover, administrators and board members can frequently invite faculty collaboration on substantive matters and decision-making (AGB, 2016; Del Favero, 2003). Olson (2009) argues that communication is key. Specific practices include providing opportunities for various constituents to voice their concerns, even if they do not have ultimate authority to act on them. The goal is keeping stakeholders informed about university developments and building and supporting partnerships in the governance process.

II. SHARED GOVERNANCE COMMITTEE'S WORKING DEFINITION OF SHARED GOVERNANCE

The Shared Governance Committee carefully reviewed the literature on shared governance and deliberated in its committee meetings about the appropriate definition for Vanderbilt. After its discussions, the committee arrived at the following working definition of shared governance to guide its committee work:

Shared governance describes the extent and means by which faculty and other stakeholders are involved, consulted, and collaboratively and constructively engaged in university decision-making and priority setting. Faculty voice in university decision-making can be solicited through formal (e.g., institutionalized) methods, such as the Faculty Senate or a university committee, and/or it can be sought through informal (e.g., ad hoc) mechanisms, such as informal conversations between faculty members and university leaders. Shared governance occurs at many levels:

- interactions between the university and the schools/colleges;
- interactions among the schools and colleges; and
- interactions within the schools/colleges (among departments, programs, and/or centers).

Regardless of the channel of interaction, participants seek to communicate and make decisions regarding university decision-making and priority setting.

Features of shared governance:

- Shared governance promotes an environment of soliciting early, and genuine, feedback, even on preliminary ideas. It benefits from the respectful and inclusive collaboration of all stakeholders, which often includes faculty, staff, students, and others.
- Shared governance often occurs through representation. In those cases, representatives are responsible for ensuring information is communicated and other stakeholders are responsible for ensuring their views are heard. Furthermore, all parties must maintain their focus on benefiting the whole even in cases in which the optimal outcome for the whole may diverge from their own preferences or goals.
- Shared governance is not compromised in its independence when administrative consultation and engagement are solicited.
- Shared governance is maintained when the distinction between leaders declaring and leaders guiding is respected.
- Shared governance is furthered through succession planning that ensures the continued identification and development of talent.
- Shared governance thrives when a significant and varied group of stakeholders participate in meaningful ways. Institutional memory becomes paramount in ensuring that the desired generation and regeneration of varied input is not distracted by duplication and redundancy. Broad engagement also helps address the overtaxing of the few in service to the many.
- Shared governance is more likely to prosper when demonstrated outcomes are clearly articulated and linked to the initiatives from which they originated.
- Shared governance succeeds when stakeholders know, and are reminded, of the mechanisms by which their views and feedback can be safely shared.
- Shared governance thrives in cultures in which healthy ideation and discussion are depersonalized and not viewed as antithetical to hierarchical, or other, real or perceived differences.

III. GENERAL OVERVIEW OF SHARED GOVERNANCE AT VANDERBILT

Vanderbilt University's *Code of Bylaws* states that Vanderbilt's immediate governance is charged to the university's "Chancellor and, through the Chancellor, to the assisting officers and the faculty in each of the several schools and colleges . . . The Chancellor shall carry out the policies adopted from time to time by the Board of Trust" (*Code of Bylaws*, Vanderbilt University).¹ Additionally, as Vanderbilt University's *Faculty Manual* states, "Vanderbilt University is committed to a robust model of shared university governance. The Faculty and Administration cooperate and collaborate through a number of university committees and the Faculty Senate" (Chapter 2).² "The Faculty Senate is the representative, deliberative, legislative body of the Faculties." (Vanderbilt University *Code of Bylaws*).³ The Senate is comprised of Deans from the schools and colleges, elected faculty senators, and ex officio members. Ex officio members participate in deliberations but are non-voting and include the Chancellor, the Provost, and the Vice-Chancellors. The number of elected faculty representatives from each school is proportioned to the size of the school, and Senators are elected for staggered three-year terms.

1 Vanderbilt University's Board of Trust's Code of Bylaws can be found at: <https://www.vanderbilt.edu/boardoftrust/bylaws/>.

2 Vanderbilt University's Faculty Manual can be found here: <https://www.vanderbilt.edu/faculty-manual/>.

3 <https://www.vanderbilt.edu/boardoftrust/bylaws/Vanderbilt-BOT-Bylaws04302016.pdf#page=10>.

Chapter II, Sections D.2 and D.4 of the *Code of Bylaws* authorizes the Faculty Senate “to review and evaluate the educational policies and practices of the university (including policies and procedures to be applied in cases involving conscience or academic freedom); to make recommendations concerning them to the Chancellor and to the Board of Trust; to discuss and express its views about any matter affecting the university to any individual, faculty, or other group within the university; and to facilitate communication among the faculties, the Chancellor, and assisting officers.” Thus, the Faculty Senate’s role is advisory. The authority of the faculty, codified in Chapter II, Section C.2 of the *Code of Bylaws*, is specified for the conferral of degrees: “The faculties have the power of recommending individuals for degrees or other marks of academic distinction when the conditions prescribed in the several departments, colleges, and schools have been fulfilled. No individual shall be awarded a degree without the recommendation of the appropriate faculty.”

Vanderbilt’s Office of the Chancellor and Office of the Provost both convene numerous committees of faculty to consult with and advise them on university matters. The school and college Deans also assemble faculty committees to advise them at the school/college level. Moreover, some schools and colleges are further organized into departments to facilitate communication, aggregate faculty perspectives, and foster scholarly community.

VANDERBILT’S PAST EXAMINATIONS OF SHARED GOVERNANCE

While it is difficult to see the history of all aspects of shared governance at Vanderbilt, we are able to follow the development of the Faculty Senate, a key arena of shared governance at Vanderbilt.

Soon after Vanderbilt University’s founding in 1873, the university’s leadership, in 1874, created a University Senate with members made up of Deans and then Chancellor, Landon C. Garland. This Senate was unlikely to have been very active and these early Senate efforts were abandoned in 1885. In 1959, Chancellor Harvie Branscomb reintroduced the University Senate, which now included faculty members as well as administrators, in roughly equal numbers. A broad planning study was undertaken at Vanderbilt shortly thereafter, an effort likely akin to more recent strategic planning initiatives at Vanderbilt. Newly-appointed Chancellor Alexander Heard, following a recommendation from the planning study in 1964, appointed a faculty committee charged to increase the faculty’s role in Vanderbilt’s governance, particularly in the University Senate. The Heard committee recommended a number of changes to the Senate, including increasing its overall size by adding more faculty members, such that faculty members of the Senate would outnumber administrative members; apportioning faculty senators on the basis of the schools’ and colleges’ number of faculty members and their student enrollments; and shifting from the Chancellor as leader of the Senate to an elected Faculty Senate chair as leader. Soon thereafter both the faculty and the Board of Trust approved these recommendations.

In 1971, the University Senate was renamed the Faculty Senate. Since this time, the Committee’s search of the historical record suggests that Vanderbilt has not evaluated its shared governance, with the exception of at least one effort by a 2011 Faculty Senate committee to compare Vanderbilt’s shared governance structure with that of other similar higher-educational institutions.⁴

4 Sources: Paul K. Conkin, 1985; *Gone with the Ivy: A Biography of Vanderbilt University*; “Executive Administration, 1873-1973”, n.d., Vanderbilt University Archives; “Request for Comments on Committee Proposal for University Government,” March 9, 1966, Vanderbilt University Archives; “Governance Model 2011 Report,” 2011, Faculty Senate Archive. The Committee appreciates the assistance of Teresa Gray, Public Services Archivist at Vanderbilt’s Special Collections and University Archives and Geoffrey Fleming, M.D., Associate Professor of Pediatrics, and 2017-2018 Chair of the Faculty Senate.

SHARED GOVERNANCE COMMITTEE: FORMATION AND MEMBERSHIP

Vanderbilt's Shared Governance Committee consists of eleven faculty members from the university's ten colleges and schools, with each school represented by one faculty member, with the exception of the School of Medicine which is represented by two faculty members, one from the Basic Sciences Departments and one from the Clinical Departments. The Committee is part of Chancellor Nicholas Zeppos's Shared Governance Project. Its composition was announced in MyVU on November 17, 2016, and it received its charge from the Provost in its first meeting on December 15, 2016.

In April 2016 Vanderbilt University reorganized into two independent 501c(3) entities, Vanderbilt University (VU) and Vanderbilt University Medical Center (VUMC). Although faculty appointment status would continue to reside with Vanderbilt University for all faculty members, there would be two different employers: VUMC and VU. VUMC-employed faculty would be those faculty associated with the School of Medicine Clinical Science Departments. VU-employed faculty would be those faculty associated with the School of Medicine Basic Science Departments or Vanderbilt's other schools and colleges: College of Arts & Science, Blair School of Music, Divinity School, School of Engineering, Graduate School, Law School, School of Nursing, Owen Graduate School of Management, and Peabody College of Education and Human Development. The impetus for the Shared Governance Committee's creation arose from this reorganization and a desire to ensure continued and robust involvement of all faculty in university decision making and priority setting. As discussed later, because faculty have *appointment-related* and *employer-related* benefits, there will be instances in which faculty engagement in shared governance may be appropriate depending on whether a faculty member is employed by VU or by VUMC. The unionization activities, which began in February 2017, motivated the Committee to redouble its efforts to be inclusive of all faculty, both tenure track and non-tenure track faculty.

The Committee's charge was broad: to gather information on Vanderbilt's current shared governance practices, to consider best practices in shared governance for Vanderbilt, and to propose new ways to engage faculty voices in university initiatives. The committee was encouraged by the Provost to develop its proposal while being conscientious of faculty need for emphasis on research, discovery, and teaching.

The Committee's first step was to draft a "scope" statement, which appears in Appendix I, and is summarized briefly here. In addition to the committee's definition of shared governance and its charge broadly defined (both discussed above), the scope statement also articulated the committee's goals more specifically, as follows⁵: "To those ends, we will engage administrative leaders, full-time faculty of all ranks, and others to gather their understandings of current shared governance and ways in which shared governance can be enhanced.

Our specific aims are multi-faceted:

- To investigate, understand, describe, and compare existing College, School, and university governance practices, processes, and structures.
- To identify successful policies and governance structures and recommend implementation or expansion where beneficial.
- To discern areas for which faculty input is particularly necessary and valuable.

⁵ Please see Appendix I for the Committee's complete scope statement as of March 3, 2017.

To fulfill its mission, the Shared Governance Committee will involve faculty and senior leaders through individual and group meetings, town halls, surveys, MyVU updates, and other means designed for:

- Partnering with the Faculty Senate to ensure a robust and continually evolving set of approaches to faculty governance.
- Understanding faculty attitudes toward involvement in decision making, such as through the COACHE faculty satisfaction survey.
- Empowering and engaging faculty as an informed voice and as one of the primary stakeholders in the success of Vanderbilt University.
- Encouraging methods to embrace shared governance as a key component of leadership development and succession planning.
- Fostering Vanderbilt University’s commitment to equity, diversity, and inclusion in the recommended policies and governance structures developed.”

The Committee presented its scope statement for feedback and discussion at the Elected-Senators-only Faculty Senate meeting on March 3, 2017. The primary feedback the Committee received at that time was the need for benchmark comparisons. The Committee incorporated the COACHE school-level information on governance practices and undertook a peer analysis of Senate-type faculty bodies at peer schools in response. That information is contained and discussed in this report.

ENGAGEMENT: FACULTY, FACULTY SENATE, AND UNIVERSITY ADMINISTRATIVE LEADERSHIP

The Committee took a broad and inclusive approach to gathering information from faculty and administrative leaders to understand the faculty, faculty leadership, and university administrative leadership roles in Vanderbilt’s existing shared governance processes and to listen to the views of these groups discussing how Vanderbilt might improve shared governance.⁶ The Committee viewed the following parties as stakeholders for purposes of its report: Chancellor, Provost, other Vice Chancellors, Vice Provosts, Deans, Associate Deans, and all faculty, regardless of tenure status or rank. Below we discuss how we solicited input from each of these stakeholder groups. This section contains the following:

I. Faculty

A. Individual Faculty Members

1. COACHE Data
2. Anonymous Survey and Email Input
3. Shared Governance Faculty Conversations
4. Shared Governance Faculty Town Halls

B. Faculty Senate

II. University and School/College Administrative Leaders

⁶ While the Committee’s charge was to investigate the role of faculty and administrative leaders in shared governance at Vanderbilt, the Committee notes that a next step is to explore existing roles for staff and students, who also represent important stakeholders in Vanderbilt University.

I. FACULTY

A. Individual Faculty Members

1. COACHE Data

During the spring 2016 semester, Vanderbilt partnered with the Collaborative on Academic Careers in Higher Education (COACHE) to survey the Vanderbilt faculty. The Committee received access to the school-level COACHE data and examined the COACHE survey results for the shared governance survey questions. Appendix III contains our analysis of these data. Appendix IV contains the fifteen COACHE questions posed regarding shared governance, which represent the school-level response data that the Committee studied.

2. Anonymous Survey and Email Input

In fall 2017, the Committee invited all faculty members to provide their insights regarding Vanderbilt's shared governance via an anonymous survey or through an email message to the Committee's email address (sharedgovernance@vanderbilt.edu). The short survey offered the following questions to its participants:

- What does shared governance mean to you?
- Please give one or more examples where shared governance has worked well (explain).
- Please give one or more examples where shared governance has fallen short (explain).
- How could shared governance be improved?
- Are there areas for which you desire more input (please identify, explain)?

Thirty-nine faculty members participated in the survey. The Committee received some email feedback from faculty members but the primary means of input was the survey. Appendix III contains a summary of the results of this input.

3. Shared Governance Faculty Conversations

Also in fall 2017 the Committee, in partnership with the Faculty Senate, hosted 10 campus-wide Shared Governance Faculty Conversations with both Committee members and members of the Faculty Senate's Executive Committee present. The schedule is below. Fifty faculty members, excluding Committee members, attended the Faculty Conversations, providing helpful insights to the committee. The Conversations were announced through a faculty-wide email in partnership with the Faculty Senate as well as multiple MyVU announcements.

Schedule of Shared Governance Faculty Conversations:

November 28, Tuesday, 12:00pm, [Basic Sciences] – 3131 MRBIII

November 29, Wednesday, 1:00 pm, [Owen] – Room 216

November 29, Wednesday, 12:00pm, [Law] – Covington

December 1, Friday, 11:30 am, [Nursing] – Nursing Annex 161
December 5, Tuesday, 4pm, [Engineering] – Featheringill 132
December 6, Wednesday, 12:00 pm [Blair] – Choral Hall
December 6, Wednesday, 3:00 pm [Peabody] – Mayborn 204
December 8, Friday, 12:00pm, [Divinity] – Reading Room
December 13, Wednesday, 4pm, [A&S] - Wilson 112
December 14, Thursday, 12:00pm, [Clinical Sciences] – 512 Light Hall
Appendix III contains a summary of these faculty conversations.

4. Shared Governance Faculty Town Halls

In March 2018, again partnering with the Faculty Senate, the Committee presented its preliminary report in two Town Hall meetings and received feedback (summarized in Appendix III) from both faculty members and administrative leaders. The feedback was incorporated into this final report.

B. Faculty Senate

In addition to presenting the Committee's scope statement to the Faculty Senate for feedback and discussion (see above), the Committee partnered with the Senate in additional ways. During summer 2017 the Committee co-chairs met with the Faculty Senate's Executive Committee to share its work-to-date, discuss the Committee's next steps, and invite feedback from the Faculty Senate Executive Committee. In conducting the Shared Governance survey, inviting faculty to email the Committee, and holding the Faculty Conversations in fall 2017 (see above), the Committee both relied upon the Faculty Senate's list of faculty email addresses and invited the Faculty Senate's leadership to join with the Committee in coordinating, conducting, and conversing with faculty members at the Shared Governance Faculty Conversations. Faculty Senate Executive Committee members, along with the Committee representatives, attended all of the Shared Governance Faculty Conversations. The Committee also invited feedback from the Faculty Senate Executive Committee on the Shared Governance Faculty Conversations. Additionally, the Committee presented its preliminary report to the Faculty Senate for feedback and discussion in a March 2018 specially-called Faculty Senate meeting. The Committee again invited the Faculty Senate's leadership to partner with the Committee to present and receive feedback on the Committee's preliminary report in two Faculty Town Halls held during March 2018.

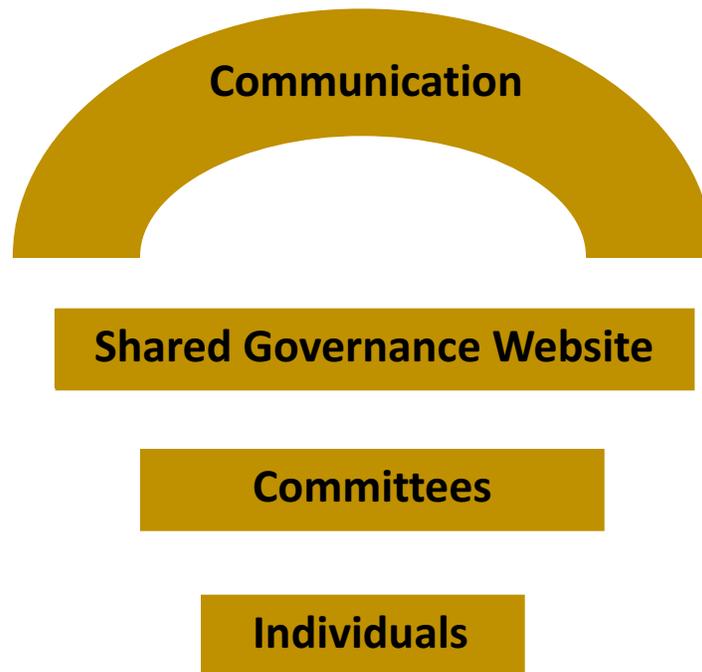
II. UNIVERSITY AND SCHOOL/COLLEGE ADMINISTRATIVE LEADERS

Our Committee also met with university and School/College administrative leaders. These meetings occurred as face-to-face meetings between Committee members and the various leaders. One to four representatives from the Committee met individually with the Chancellor, the Provost, other Vice Chancellors, Vice Provosts, each School/College Dean, and many Associate Deans for hour-long conversations during the spring and fall 2017 semesters. Please see Appendix II for the questions posed to these university leaders and Appendix III for our summary of the themes from these meetings.

RECOMMENDATIONS

The overarching pillar of desirable governance practices is predicated on *communication*. In order to successfully engage in collaborative and constructive feedback and decision-making, the free flow of information is essential. Given multiple channels of communication, information overload, and limited time for faculty to locate and process pertinent information, the Committee recommends that a *Shared Governance Website* be established. The Website would be an online gateway to governance at Vanderbilt. The start-up and maintenance of the Website should be relatively cost-effective, utilizing existing information technology resources to develop the Website and hiring an administrative manager to maintain it. The Website will further enable the two primary components by which faculty voice, in support of shared governance, occurs: through *committees*, the universal workhorse of faculty service at most universities, and the constructive, collaborative engagement of *individual faculty* opting into that service. This overarching framework involving communication, a Shared Governance Website, committees, and individual faculty is illustrated directly below.

Overarching Framework of Shared Governance Committee Recommendations



In order to arrive at the following recommendations, the Shared Governance Committee organized its workflow into four broad categories: (i) published literature on shared governance; (ii) Vanderbilt documents associated with shared governance (for example, the *Vanderbilt University Faculty Manual* and university by-laws); (iii) various interviews with faculty and administrators along with the Collaborative on Academic Careers in Higher Education (COACHE) 2016 survey results related to school-level governance; and (iv) a summary and comparison of peer-school primary faculty governing bodies, chiefly Faculty Senates.

The first two workflows were undertaken to place the Committee's work within the realm of what is known and recorded in the scholarly and Vanderbilt literatures pertaining to governance. That work (discussed above) provides context and background for the Committee's creation and overall effort. The second two workflows, the 2016 COACHE survey results and peer Senate-body comparisons, were designed to gather faculty views regarding Vanderbilt governance, generate insights aligned with desirable governance practices, compare Vanderbilt with those practices,

and offer recommendations designed to further enhance faculty governance at Vanderbilt. Benchmark comparisons were also recommended by Vanderbilt's Faculty Senate when the Committee first met with that body in March 2017.

Four overarching remarks about the Committee's recommendations follow.

First, the recommendations are intentionally broad. The Committee, aided by its campus-wide conversations in partnership with the Faculty Senate and its school-based membership, identified heterogeneity in school-level governance practices tailored to a particular school's structure and culture, strategic objectives, and opportunities for faculty engagement. Thus, many recommendations should be viewed as providing potential starting points for customization to a school's or department's needs and goals.

Second, the recommendations are a synthesis of valuable insights from numerous individuals. Although some recommendations may appear to reference a particular level within the university organization, their implementation need not be so constrained.

Third, the implementation of some recommendations, particularly the creation of the Shared Governance Website, may require the establishment of a follow-on committee (Shared Governance Committee 2.0) to best operationalize.

Fourth, as stated in the Vanderbilt University Code of By-Laws (Chapter II, D.2) "The Faculty Senate is the representative, deliberative, legislative body of the Faculties." Thus, the Committee's work was in partnership with the Faculty Senate. Regarding the Faculty Senate, the Committee saw its role as conveyor to the Senate of recommendations it received and developed about the Faculty Senate. The Senate will then make its own determination how, or if, any next steps will be pursued. Recommendations pertaining to the Senate are contained in the body of the report.

This discussion contains the following recommendation areas:

- I. Communication and Decision-making
 - A. Top-down Communication
 - 1. Information Flow from Central Administration
 - 2. Information Flow from Local Leaders
 - B. Bottom-up Communication
 - C. Decision-making and Issues for which Faculty Desire to Provide Input
- II. Shared Governance Website
- III. Committees
- IV. Individuals
- V. Faculty Senate

I. COMMUNICATION AND DECISION-MAKING

Communication is the bi-directional flow of meaningful and transparent information between and among stakeholders. This information flow occurs through synchronous and asynchronous means. The primary objective of shared governance is improved decision-making. Decisions involve the judicious allocation of scarce resources in support of Vanderbilt's mission and goals. Decisions are ideally made conditional on relevant, reliable, objective, and verifiable information. Thus, communication, and the information flow it facilitates, is foundational to shared governance. Furthermore, and importantly, transparent and complete communication builds institutional

memory over time. Institutional memory represents the archive of historical practices, policies, and networks. This repository facilitates succession planning by making individuals aware of what has been done in the past, improves efficiency, and reduces redundancy. The Shared Governance Website would support these goals.

Because successful communication is bi-directional, and because the Committee's scope was faculty shared governance, the Committee separates communication into top-down and bottom-up. Top-down communication is information conveyance from an administrative office to a group of faculty, which may be the faculty at large, the faculty in a school or college, the faculty in a department, or some other organized group of faculty. Bottom-up communication is the reverse—information flow from the faculty to relevant administrative officers. There is no presumption of hierarchy in this definition—it is merely intended to capture the direction of information flow.

A. Top-down Communication

The Committee identified two primary groups who are the top-down communicators: Central Administration, including the Chancellor, Provost, Vice Provosts, and Vice Chancellors, and local leaders, which includes Deans, Department Chairs, and their respective offices.

1. Information Flow from Central Administration

This quantity of communication was generally judged positively, although its sincerity was sometimes questioned. Regarding quantity, almost all groups with whom the Committee met, or who provided survey feedback, felt that they received a sufficient amount of information from the Central Administration. However, concerns were expressed that information flow currently appears to be scripted and somewhat late-stage in its release, which conveys the *appearance* of an insincere desire to alter the intended course of action conditional on feedback. Thus, the *perception*, founded or unfounded, exists that the course of action has been decided and the process of information dissemination is perfunctory, serving the purpose of faculty notification rather than meaningful faculty engagement.

It is important to note, because communication is bi-directional, that faculty committee efforts should similarly be open to early-stage discussion with administrative leaders. Early feedback from administrators, particularly those who will be overseeing committee recommendations, eases implementation and can also identify unforeseen obstacles, such as laws, regulations, or other constraints, that might conflict with a committee's plans. Similarly, early stage consultation with appropriate administrators can be useful in identifying on-campus synergies that may exist (e.g., committees with related missions, centers, or offices with parallel missions).

Contributing to the perception of information solicitation as insincere was a lack of insight into the ultimate decision(s) made and, most importantly, the rationale. The Committee calls the process of explaining decision-making rationale as "closing the loop." Uniformly, the faculty indicated they were receptive to an answer of "No" as long as it was accompanied by an explanation for choices that were made, the trade-offs inherent in those choices, and a clear indication of feedback received that was used (and why), feedback received that was modified in its incorporation into the decision made (and why), feedback received that was not used (and why). There is no presumption that the information not used, or modified before use, is in any way inferior to the information utilized in the decision making process. Rather, the act of decision-making often requires trade-offs between or among multiple viable courses of action and is highly context specific.

The Committee recommends that shared governance communication flows at Vanderbilt generally adhere to the following three steps:

- *Early-stage discussion.* The Committee recommends a greater amount of early-stage discussion between faculty and university leaders. This phase, which could be called the “Discussion Phase” would be exploratory in nature. There might not even be slides involved—facilitating a general conversational nature to the exchange. There would be a clear indication about what is currently known, what is knowable with additional work, and what is unknown. The objectives are to encourage the free-flow of ideas and not implicitly or unintentionally convey, though highly prepared remarks, that decision points have already been identified.
- *Decision process.* The Committee recommends providing earlier information and greater clarity around processes of decision making. For example, which groups are active participants in the decision-making process? Which groups will be consulted and will serve in an advisory capacity? What will the feedback loop look like after the decision is made?
- *Follow-up report.* The Committee recommends documentation that would serve to “close the loop” in explaining the rationale for the decision(s) made. For example, this communication would explain how the decision was reached, how faculty or other groups were (or were not) part of the decision making, the steps to be taken or that have already been taken to implement the decision, and future actions planned to assess the impact of the decision, including opportunities or calls for faculty engagement. This process highlights the efficacy of shared governance, further inducing stakeholder desire to participate. The Academic Strategic Plan website is a model for this type of loop-back communication.⁷

2. Information Flow from Local Leaders

In this discussion, we refer to information from the Central Administration and some school/college Deans that is then shared with faculty via specific local leaders (e.g., departmental chairs). We found that this avenue of communication was variable. Numerous examples were identified in which intended information flows were not further disseminated or were incompletely disseminated locally. Although the Committee did not offer this restriction in discussing incomplete communication, the maintained assumption of much of the feedback the Committee received was that deficiencies in communication, real or perceived, were the responsibility of the Central Administration and the Deans’ offices. The Committee recommends:

- *Improving the consistency in information flow.* The committee recommends improvement in the consistency of information flow from the Central Administration and the Deans’ offices to all faculty stakeholders (departments, programs, centers, individual faculty) by: (i) offering specific guidance to local leaders about orally communicating information through face-to-face and local meetings; (ii) inviting members of faculty groups (e.g., the Faculty Senate, Faculty Councils, Vice Chancellors, Committee Chairs) to report during departmental and school faculty meetings.

B. Bottom-up Communication

The Committee identified two primary groups who are the bottom-up communicators, that is, communication from the collective faculty out to the Vanderbilt community: Committees and the Faculty Senate We discuss both of these further below.

⁷ The Academic Strategic Plan can be found here: <https://www.vanderbilt.edu/strategicplan/>.

C. Decision Making and Issues for which Faculty Desire to Provide Input

Vanderbilt faculty strongly desire to be informed citizens in their university. They appreciate transparency on the part of the university's leaders and the willingness of administrators to share information. Faculty members also desire to play a meaningful role in decision making on issues of greatest importance to them. Our Committee heard a range of views regarding the scope of the issue areas in which faculty would like to have opportunities to provide significant input. Some faculty stated that they only wished to play a decision-making role for curricular matters. A few faculty members stated that they wished to be involved in decision-making in all university matters, including, for instance, regarding budgeting and decisions about new construction. Many members of the faculty agreed, however, that faculty should continue to be meaningfully involved in decision making in the following areas: undergraduate curriculum, graduate and professional studies, faculty hiring, promotion and tenure decisions, matters that importantly impact faculty research, and faculty benefits. Our Committee notes that some faculty members feel disenfranchised from even those matters most related to their work, such as research and teaching. This may be particularly the case for some non-tenure-stream faculty.

- *Improving faculty voice.* The committee recommends continued exploration of the issues in which faculty most desire to provide input, especially as new issues emerge and existing matters shift in scope and meaning.

II. SHARED GOVERNANCE WEBSITE

Education and opportunities for participation are pivotal to shared governance. The Shared Governance Committee recommends the creation of the Shared Governance Website, which will be an online portal to all Vanderbilt governance-related matters. The information provided by this online portal will include: current and past shared governance committee activities and reports, university, school, and college bylaws, a faculty expertise database to facilitate committee assignments, and various information to educate the faculty about shared governance generally and Vanderbilt's specific shared governance practices. The Website will link to already established and maintained websites where current shared governance initiatives reside (e.g., the Office of the Provost and Faculty Senate websites) as well as establish new avenues to enable governance.

The Committee views the Website as related to the Education Technologies pillar of the Academic Strategic Plan.⁸ The Website should capture the spirit of this pillar of the Strategic Plan by enabling technology to educate stakeholders about governance opportunities, outcomes, and the need for faculty engagement. Our Committee recommends the following:

Constructing the Website:

- Construct a Shared Governance Website.
- Provide, on the Website, an audience-friendly definition of shared governance and discussion of its critical role in higher education and at Vanderbilt. This discussion could explore the institutional benefits of developing collaborative shared governance relationships, avoiding an "us-them" mentality, and furthering a shared vision for Vanderbilt's future.
- Hire an administrative manager to run the Website.

⁸ Vanderbilt University Academic Strategic Plan: <https://www.vanderbilt.edu/strategicplan/>.

- Develop a Website “dashboard,” which will enable faculty to opt-in to email notifications on topics of interest allowing them to curate their newsfeeds with a goal of reducing the overall flow of email traffic. Work with appropriate Vice Chancellors to determine optimal approaches.
- Make the Website text searchable to ease collection of information on previous university initiatives.
- Provide a means for individuals to submit questions and feedback.

Adding Vanderbilt Content to the Website:

- Populate the Website with the university’s and each school’s and college’s bylaws and faculty handbook and maintain them there.
- Make the Website the access point for all university and school/college governance committees, in particular, by providing information to faculty about what committees are doing and how to contact the committees.
- Populate the Website with all relevant committee reports (e.g., Diversity, Inclusion, and Community Committee, the International Strategy Working Group, Graduate Education Study Group reports), including “closing the loop” report-outs (that is, administrator reports that explain the rationale for final decisions made based on committee efforts and next steps, if any).
- Populate the Website with appropriate onboarding kits that can educate and advise faculty who serve in new shared governance roles, such as chairing a committee.
- Provide a resources tab to understand where to go to get more human capital if necessary to complete committee work (e.g., Vanderbilt Temporary Services or Office of the Provost graduate student assistants to assist with scheduling, publicity, and research).
- Identify “governance champions” in various areas as first-order points of contact. Governance champions are experts in their area of university operation. For example, each Vice Chancellor should have an individual named as a governance champion that a stakeholder can contact to find out where to take their questions or concerns pertinent to that Vice Chancellor’s area of university operations.
- Develop an overall “governance map” or “governance flow chart” to ease navigation of entry points for shared governance at Vanderbilt to provide feedback and seek additional information on university initiatives.

Making the Website Useful to All:

- Develop a database of faculty expertise to enable users to search for faculty expertise for purposes of constituting committee memberships and other objectives. This effort should dovetail with the Trans-institutional Programs (TIPs) pillar of the 2013 Academic Strategic Plan by fostering scholarly connections campus-wide and clearly link with those initiatives in a unified manner.
- Invite stakeholders to volunteer on the Website for participation in shared governance.
- Populate the Website with a clear articulation of all faculty titles at Vanderbilt.⁹
- Make the Website the access point for all individual faculty activity reporting, potentially using a product such as Interfolio’s Faculty 180.

⁹ For example, the Vanderbilt Faculty Assembly is defined as individuals at the “rank of instructor or above.” It is unclear to what hierarchy of academic titles this phrase refers. See Article I of the Faculty Senate Constitution, <https://www.vanderbilt.edu/facultysenate/constitution-documents/article-I.php>. The Johns Hopkins example might be useful in this regard, http://academiccouncil.jhu.edu/files/2017/03/Description-of-Academic-Titles_rev-16-01-13.pdf.

- Have an area organized by stakeholder group: for example student (VSG connections, The Hustler, others), the Senate, Provost, Chancellor, Vice Chancellor, Vice Provost sites as related to shared governance, the Chief Business Officer network, and others as relevant.
- Provide examples of formalized best practices network sharing. Examples include the Associate Deans committee coordinated by Vice Provost Cynthia Cyrus; the Diversity Council coordinated by Vice Provost Melissa Thomas-Hunt; and the Vanderbilt University Research Council coordinated by Vice Provost Padma Raghavan. The Website should serve as a gateway to all these groups for information and contacts.

III. COMMITTEES

A large volume of the university's shared governance work occurs through faculty committees. A number of desirable features of faculty committees were identified, some of which occur in various schools on campus; others occur at other Universities. Thus, education about the processes of committee work is a component of the Shared Governance Committee's recommendations and our committee recommends that information about best practices for committees should reside on the Shared Governance Website. Here we list a number of such possibilities.

Broadening Faculty Representation:

- *Representation.* Numerous faculty stated that faculty governance committees tend to rely on a small segment of the university's faculty. Representation on governance committees should be broadened to include more of the university's faculty.

Preparing Faculty to Serve:

- *Onboarding kits.* Many faculty come to committee work without a clear indication of what best practices are in committee service, especially when chairing a committee. The Committee recommends that a Committee Chair Onboarding Kit be created and be maintained and updated on the Website.
- *Recommendations.* Faculty committees might attend to making their final number of committee recommendations manageable. Because others will often be tasked with implementation, this culling and prioritizing of recommendations aids that process. Information regarding topics or consideration such as this could be incorporated into the onboarding kit for committee chairs.
- *Collective interest.* Committees are constructed to represent the collective interest of the faculty as a whole. Therefore, it is imperative that committee objectives be clearly articulated and that committee members recognize that they are there to represent both the interests of their school or college and the interests of the university as a whole.
- *Utilization.* When committees are charged it should be clearly indicated how their report will be used. Is it advisory? Is it exploratory in order to establish follow-on committee creation? What is in scope and out of scope for the committee?
- *Check ins.* Committees should be aware that checking in with pertinent administration along the way can make good sense. For example, in order that committee reports be used to their best ability, committee leaders need to become aware of any restrictions that may be placed on university behavior that could impact their committee recommendations. The purpose of a check in with administrative leaders is to inform the committee of practical constraints, not guide the committee's work.

Optimizing Faculty Contributions:

- *Faculty expertise.* Committee construction generally at Vanderbilt could be re-evaluated with a goal of identifying faculty for membership on a committee given faculty expertise. The text-searchable faculty expertise database on the Website will support this effort.
- *Length of service.* A number of individuals offered feedback that committee terms should be extended to facilitate continuity of knowledge. However, there is need for finding optimal balance between the ideal length of committee terms and the need for ensuring sufficient replenishment of new talent to the committee.
- *Cross-college committees.* Undergraduate associate deans from the various schools and colleges currently meet regularly to coordinate and address undergraduate needs. This approach was successfully used for the undergraduate business minor. This model occurs for the graduate and professional schools as well. University leaders could explore the possibility of other such cross-college committees.
- *Publicity.* Because committees represent the faculty, the faculty need a centralized location describing what the committees are, what their scope is, and how to contact committee chairs. The Provost website currently serves most of this need at the university level. The Committee recommends that the Provost's site be expanded to provide means of contacting committee chairs. Dean and possibly departmental sites could offer similar information for faculty stakeholders. Also, onboarding kits for committee chairs could convey an expectation that faculty may reach out to committees, in order to foster a culture of such communication between faculty and committee representatives.

IV. INDIVIDUALS

Shared governance represents a collaborative and constructive partnership among stakeholders, which includes both individual faculty members and administrative leaders. Thus, individual faculty participation in governance is critical. Here we list a number of ways to foster inclusive involvement among faculty in university shared governance.

- *Culture of shared governance.* Continue to take steps to foster a culture of the importance of individuals participating and valuing shared governance. Leaders should continue to convey messages of need and value of faculty involvement in governance.
- *Trust.* Continue to foster an environment of trust between administrators and faculty designed to encourage faculty involvement in governance. Faculty should feel safe to share ideas and they should understand that they will be heard if they share such ideas. Perceptions of micromanagement or lack of awareness or interest in the impact of decisions can reduce faculty trust. Perceptions of favoritism toward individuals or entities can also reduce faculty trust.
- *Knowledge and skill.* Continue to help faculty gain needed knowledge and skills to participate in shared governance and leadership through expanded workshops (e.g., Faculty Insights), mentorship (e.g., Chancellor Higher Education Fellows), and other means.
- *Succession planning.* Raise Vanderbilt's level of awareness of a need for succession planning for university leadership. Take steps to consider how to encourage and prepare faculty to assume leadership roles in the university.
- *Compensation and recognition.* Consider possibilities of greater compensation and recognition for faculty participation in shared governance. Compensation and recognition can take many forms. Compensation

could take the form of increased professionalization of service by providing committees with staff support, for instance, to schedule meetings, collect information, take minutes, and maintain committee archives on Box. Other forms of compensation and recognition that could be considered include: awards (including at the school level) or other means of recognition such as receptions and social gatherings, financial compensation, such as a research fund or salary supplement, course release, or a point system (that is, service is expected of everyone, so points could be offered for large assignments; points would be accrued through time and could be converted to financial or time compensation).

- *Opting out of service.* At least one university of which our committee became aware, Skidmore, has adopted a service model wherein, during any seven-year period, faculty become university “service eligible” for a consecutive three-year period; the other four years are, therefore, “service free” at the university level. The cycle then repeats. Such rotations facilitate diversity of faculty representation in service. Vanderbilt could consider allowing faculty, at their own discretion, to opt out of university service during an academic year when research and/or teaching duties are heavier than usual.

V. FACULTY SENATE

As stated in the Vanderbilt University Code of By-Laws (Chapter II, D.2), “The Faculty Senate is the representative, deliberative, legislative body of the Faculties.” The Shared Governance Committee’s work was in partnership with the Faculty Senate. Thus, the Committee views its role as conveyor of recommendations it received about the Faculty Senate to that body itself for it to make its own determination how, or if, any next steps will be pursued. The Committee therefore offers the following observations with the recommendation that the Senate determine whether it will consider them further.

- Senate membership is uneven across some schools. For example, non-tenure-track faculty are not allowed to run for Senate in at least one school. The Senate might consider devising its own means of determining an inclusive Senate membership.
- The Senate might study the peer benchmark information included in Appendix V with an eye toward whether or not school-level deans should retain voting privileges.
- The Senate might reassess the committees it currently has in light of the benchmark information in this report. In particular, the Senate might consider the “Committee on Committees” model that some peer Senates have adopted, notably Stanford University and the University of Pennsylvania.
- The Senate might develop guidelines to Senate committees regarding tangible work deliverables that are provided at the beginning of the academic year.
- Notwithstanding the staggered terms of the Faculty Senate Executive Committee, the lack of continuity in Senate leadership arose in multiple contexts with various constituencies. The Senate might consider means of addressing the continuity of leadership issue. This examination might involve improving the archives and institutional memory of the Senate which was identified by many stakeholders as poor.
- The continuity issue could also be revisited with regard to Senate committee chairs, that is, having individuals serve longer as committee chairs or serving a year as chair elect.
- The continuity issue could also be revisited with regard to the term for Senators, that is, considering a longer term for Senators.

- Senate membership could be further studied to consider the possibility of voting or non-voting Senate memberships to other stakeholders, such as alumni, graduate and professional students, undergraduate students, and staff (that is, considering the possibility of a “University” Senate).
- The Senate could consider more face-to-face outreach opportunities with stakeholders and faculty conversations to solicit feedback and input on Senate priorities. The Yale Faculty Commentor model might be useful to study.¹⁰
- The Senate could consider seeking additional means of raising the Senate’s profile on campus with all stakeholders.
- The Senate could consider the impact of growth in the School of Medicine faculty on Senate apportionment.
- The Senate could evaluate peer school Senate bodies with an eye toward understanding whether incentives (e.g., course relief, financial compensation) are appropriate for Senate service.
- The Senate could have in place means of identifying redundancies in effort. The example that most often came to our attention was the Senate mental health initiative in light of the Chancellor’s priorities in that regard.
- The Senate might develop comprehensive Senate onboarding materials and possibly even videos for new or potential Senators. The Senate might consider Columbia’s nascent efforts in this regard.
- The Senate might increase transparency around Senate apportionment, including the means of Senate apportionment.
- The Senate could develop means of publicizing regularly what Senate committees are working on so that stakeholders can reach out proactively to the Senate for initiatives the committees are addressing rather than reacting to motions.
- The *Vanderbilt University Faculty Manual* was repeatedly identified as deficient in a number of ways: inefficient, out-of-date, poorly copy edited, poorly organized, dominating Senate conversations when bigger picture issues might be a better use of the time. The Senate might consider a task force to evaluate the Faculty Manual process at peer schools and determine a better way to incorporate the Faculty Manual into university life.

THE VANDERBILT/VUMC REORGANIZATION AND SHARED GOVERNANCE

I. BACKGROUND

The Vanderbilt/VUMC reorganization took effect April 30, 2016. Before the reorganization, Vanderbilt University employed all faculty and conferred all faculty appointments. After the reorganization, Vanderbilt University continues to hold all faculty appointments and confer all new faculty appointments, but now some faculty are employed by the new organization, Vanderbilt University Medical Center (VUMC).

Thus, after the reorganization, there are faculty who are employed by Vanderbilt University (VU) and there are faculty who are employed by VUMC. For brevity, these faculty are often referred to as VU-employed faculty and VUMC-employed faculty, respectively. Regardless of employer, however, faculty appointments reside with, and are conferred by, only VU.

¹⁰ See: <http://fassenate.yale.edu/sign-faculty-commentor>.

Faculty have two types of benefits.

- Benefits related to their faculty *appointment*.
- Benefits related to their *employer* (VU or VUMC).

A. Benefits Related to Appointment

Benefits related to a faculty member's faculty appointment are contained in the *Vanderbilt University Faculty Manual*. The *Faculty Manual* describes the relationship and summarizes the obligations between the faculty and the university. Because all faculty appointments reside with Vanderbilt University there continues to be one *Faculty Manual*, which governs all faculty appointment-related benefits. Examples of faculty appointment-related benefits are the tuition benefit, scholarly leaves of absence, and the peer-based grievance process. Also, the process for promotion and tenure as a matter of faculty status is governed by the *Faculty Manual* for all Vanderbilt faculty, regardless of employer.

B. Benefits Related to Employer

Benefits related to a faculty member's employer include the 403b retirement plan. There are separate 403b plans for VU and for VUMC, as is required by law. 403b plans are not governed by the *Faculty Manual*. As another example, consistent with VU and VUMC being independent entities, each determines the details of the health benefits it will offer its own employees. Therefore, there is one health insurance plan for VU-employees and one health insurance plan for VUMC-employees. These plans are also not governed by the *Faculty Manual*.

As was true before the reorganization, faculty associated with VUMC, now called VUMC-employed faculty, will continue to be subject to the policies of VUMC, just as these faculty were subject to certain Medical Center policies before the reorganization. For example, faculty attending clinicians remain subject to the obligations of the VUMC Medical Staff Bylaws and may be subject to discipline for a neglect of clinical duties pursuant to those Bylaws. Thus, if there are performance issues related to clinical duties those matters will be addressed by VUMC. On the other hand, if corrective actions need to be taken against a faculty member related to the individual's faculty appointment (and this pertains to both VUMC-employed faculty and VU-employed faculty), those actions will be taken by Vanderbilt University.

II. IMPLICATIONS FOR SHARED GOVERNANCE

Given that faculty have *appointment-related* and *employer-related* benefits, there will be instances in which faculty engagement in shared governance may be appropriate depending on a faculty member's employer-status. For example, when VU consolidated plan administrators for its retirement plan it solicited faculty input on which plan administrator to select. The same approach could be used if VUMC were to contemplate changes to its health benefits. Faculty input could be sought from VUMC-employed faculty. On matters concerning faculty benefits related to faculty appointment status, however, all faculty, regardless of employer, would be the appropriate set of stakeholders for input collection.

SUMMARY AND FUTURE WORK

In summary, based on the COACHE results and peer comparisons, the Committee concludes that Vanderbilt is in line with its peers on governance-related matters, such as the structure and advisory role of the Faculty Senate. Detailed discussions of the COACHE survey and peer comparisons are contained in Appendices III and V, respectively. An important goal of our Shared Governance Committee's work, however, was to document current shared governance practices at Vanderbilt and identify how those practices could be enhanced. We have endeavored to fulfill that goal through the report recommendations. Given the Committee's broad scope, many of our recommendations are general in nature. Thus, many recommendations may require further tailoring to the specific and unique objectives of an individual school or college.

The Committee recommends that in the next phase of Vanderbilt's efforts to improve shared governance, or what might be referred to as an agenda for Shared Governance Committee 2.0 (SGC 2.0), the new Committee could focus on operationalization and, if needed or desired, modification and/or expansion of the Committee's recommendations.

Much of our Committee's work pivots off of the proposed Shared Governance Website. In our report, our Committee has attempted to articulate its view of the Shared Governance Website, essentially a repository of all governance-related matters at Vanderbilt, including links to other Vanderbilt websites with related content (for example, the Office of the Provost website). SGC 2.0 may want to consider enhancing the functionality of the Website. The Website could provide for more dynamic and interactive engagement in that it could also foster dialogue among faculty and administrators regarding shared governance, for example, through faculty and administrator blogs or forums for the exchange of ideas. Additionally, there may be an opportunity to link this endeavor in with the nascent Faculty Commons, with which the Faculty Senate is also actively engaged.

Aligning the SGC 2.0's work in a way that best supports the Faculty Senate as the "representative, deliberative, legislative body of the Faculties" will be critical.¹¹ Our Committee's view is that within the hierarchy of faculty shared governance one body has to be the governing body and that body should be the Faculty Senate. Ensuring the seamless integration and continuation of the Committee's work under the auspices of the Faculty Senate is paramount. The Senate should further explore how to foster this continuation, possibly through a standing committee on governance, to ensure continuity of focus and action through time.

Our Committee provided numerous opportunities to solicit and engage feedback through town halls, a special Senate meeting, school-centered faculty conversations, surveys, and a group email address. We note that participation by faculty was in some cases light. This limited participation is linked to heavy demands on faculty time and perhaps lack of interest. However, because the cornerstone of shared governance is the collaborative and constructive engagement of faculty, this limited participation is concerning. SGC 2.0 should consider faculty participation further. Our report makes a number of recommendations to foster greater faculty involvement in shared governance. SGC 2.0 should consider next steps in increasing faculty engagement in shared governance.

Our Committee repeatedly heard in a number of forums that VUMC is quite different from VU. The Committee views these differences positively, as providing opportunities for cross-learning and ensuring that practices are tailored to the unique opportunities and challenges of the organization(s) in which they are used. The Committee acknowledges, however, that it had difficulty understanding where and how to bridge shared understandings between the two entities, particularly as they relate to a sense of belonging with regard to curricular matters and faculty hiring and retention. This observation is unlikely new; it was possibly more salient to the Committee because of the creation of

¹¹ "Code of By-Laws of the Vanderbilt University," chapter III. <https://www.vanderbilt.edu/boardoftrust/bylaws/Vanderbilt-BOT-Bylaws04302016.pdf>

two independent entities as a result of the April 2016 reorganization prior to the Committee's formation. It does, however, speak to the extent to which the Committee's work may resonate across the campus. This suggests an area, too, for next steps for SGC 2.0, beginning with a more focused look at shared governance for VUMC-employed faculty.

With this background in mind the Committee offers the following ideas on next steps for future shared governance work:

- Construct the Vanderbilt Shared Governance Website and populate it with content.
- Consider possible functionalities of the Shared Governance Website. Should the Website be simply a repository of shared governance information? Should it allow interactive engagement: inviting faculty to volunteer for committees, hosting shared governance blogs, providing forums for the exchange of ideas regarding shared governance among faculty and administrators? In what ways could the Website be linked with the future Faculty Commons?
- Establish clear lines of reporting authority and feedback loops with the Faculty Senate.
- Contemplate new ways of engaging participation and feedback among faculty. One potential opportunity that the Committee viewed as promising is the use of professionally managed focus groups. At least one committee of which our Committee is aware, the Committee on Diversity, Inclusion and Community, has experience with focus groups and might be a source of information.
- Delve further into school-level governance differences, with a particular focus on shared governance for the medical faculty. Are there differences in schools that justify differences in faculty participation in shared governance? Additionally, how can the broad recommendations offered by our Committee be best adapted to the specific and unique objectives of the individual schools? It may be that individual schools will want to take steps to assess their school-level shared governance practices and policies.
- Further explore the areas in which the faculty most desire to provide input. The Committee determined that undergraduate curriculum, graduate and professional studies, faculty hiring, promotion and tenure decisions, matters that importantly impact faculty research, and faculty benefits were clear topics for which faculty agreed that shared governance was important.
- Contemplate broadening the arena of engagement to include other university stakeholders. Our committee's scope was confined to faculty and shared governance. SGC 2.0 might consider roles for students (both undergraduate and graduate students), staff, and alumni.
- Integrate the remaining recommendations of the report into practice where possible.

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APPENDICES

Appendix I: Shared Governance Committee Scope Statement (March 2017)

Shared governance describes the extent to which faculty are involved in and consulted regarding university decision-making. Shared governance has horizontal and vertical components. The horizontal component includes interactions between the Schools and Colleges; the vertical component includes interactions between the university and the Schools and Colleges. Faculty voice can be solicited through formal (e.g., institutionalized) and/or informal (e.g., ad hoc) mechanisms. Our committee's broad scope is to understand, analyze, and recommend potential changes to shared governance at Vanderbilt. The overarching goal of the Committee is to aid Vanderbilt in achieving its mission and goals as articulated in the 2013 Academic Strategic Plan. To those ends, we will engage administrative faculty, full-time faculty of all ranks, and others to gather their understandings of current shared governance and ways in which shared governance can be enhanced. Our specific aims are multi-faceted:

- To investigate, understand, describe, and compare existing College, School, and university governance practices, processes, and structures.
- To identify successful policies and governance structures and recommend implementation or expansion where beneficial.
- To discern areas for which faculty input is particularly necessary and valuable.

To fulfill its mission, the Shared Governance Committee will involve faculty and senior leaders through individual and group meetings, town halls, surveys, MyVU updates, and other means designed for:

- Partnering with the Faculty Senate to ensure a robust and continually evolving set of approaches to faculty governance.
- Understanding faculty attitudes toward involvement in decision making, such as through the COACHE faculty satisfaction survey.
- Empowering and engaging faculty as an informed voice and as one of the primary stakeholders in the success of Vanderbilt University.
- Encouraging methods to embrace shared governance as a key component of leadership development and succession planning.
- Fostering Vanderbilt University's commitment to equity, diversity, and inclusion in the recommended policies and governance structures developed.

Appendix II: Questions Posed to University Stakeholders

The questions below offer a general sense of the types of questions our committee posed as we spoke with each stakeholder group.

- What is the existing governance structure within your school?
- What are your primary goals in shared governance?
- What is your ideal model of shared governance?
- What is working well in the structures and practices of shared governance in your school?
- What is not working well in the structures and practices of shared governance in your school?
- Are there things that could be done differently to improve shared governance in your school?

Appendix III. Findings

Following the Shared Governance Committee’s extensive effort to gather input from the faculty and university leaders, the Committee carefully reviewed the information gathered, deliberated over the findings, and in this appendix provides a summary of key themes and findings. These themes and findings informed the Committee’s recommendations for enhancing shared governance at Vanderbilt.

This appendix includes:

I. Key Themes in the Information Gathered from Vanderbilt Stakeholders

A. Faculty

1. COACHE Survey Data
2. Anonymous Survey, Email Input, and Faculty Conversations
3. Shared Governance Faculty Town Halls

B. Faculty Senate

1. Feedback on Scope Statement
2. Feedback on Preliminary Report

C. University Administrative Leaders

1. Themes from Dean Conversations
2. Themes from Associate Dean Conversations
3. Themes from Senior Administrative Leader Conversations

II. Benchmark Report on Shared Governance at Peer Institutions

A. Background

1. A&S Model
2. University Model

B. Comparisons

I. KEY THEMES IN THE INFORMATION GATHERED FROM VANDERBILT STAKEHOLDERS

A. Faculty

1. COACHE Survey Data

a. General

Vanderbilt University in collaboration with the Collaborative on Academic Careers in Higher Education (COACHE) administered the COACHE survey to Vanderbilt’s faculty members during the spring 2016 semester. COACHE is a research-practice partnership at Harvard Graduate School of Education working to improve faculty recruitment, development, and retention in institutions of higher education.¹² In September 2017, a Vanderbilt faculty working group released a comprehensive report based on Vander-

¹² Further information about COACHE can be found at: <https://coache.gse.harvard.edu/>. The COACHE website reports that “more than 250 colleges, universities, and state systems have strengthened their capacity to identify the drivers of faculty success and implement informed changes.” The COACHE survey instrument can be found here: <https://vanderbilt.edu/faculty-development-diversity/faculty-development/coache/COACHEDocuments.pdf>.

bilt's overall COACHE survey results.¹³ The COACHE faculty working group considered all aspects of the Vanderbilt COACHE results (including survey questions addressing faculty satisfaction with the nature of work, resources and support for faculty, mentoring, interdisciplinary work, and tenure and promotion). Our committee, given our emphasis on Vanderbilt's shared governance practices, concentrates solely on the COACHE survey results regarding faculty satisfaction with shared governance. We note here, as the COACHE faculty working group indicated, while Vanderbilt's assessment of shared governance is somewhat higher than those for its survey peer schools, the shared governance scores specifically were among the lowest scores for Vanderbilt on the survey as a whole.

The COACHE survey was administered to all full-time faculty at Vanderbilt, including tenured, tenure-track, and non-tenure-track faculty, with the exceptions of faculty in their first year at Vanderbilt, faculty with senior administrative appointments, and School of Medicine faculty employed by Vanderbilt University Medical Center (that is, the School of Medicine clinical department faculty).¹⁴ Vanderbilt's overall response rate for the COACHE survey was 56 percent.¹⁵ COACHE conducted the survey, and in order to protect anonymity COACHE retains the individual-level data while providing to Vanderbilt school- and subgroup-level means and frequencies.¹⁶

b. Shared Governance Survey Questions

In Appendix IV we provide the COACHE survey questions regarding shared governance examined here. Given that the COACHE survey data are designed to assess faculty perceptions of shared governance, some survey questions are worded in terms of "On the whole, rate the effectiveness or ineffectiveness of ..." or "Rate your level of agreement or disagreement with ...". Other questions are worded in terms of "How often do faculty leaders and senior administrators ...". Respondents are provided a 5-point Likert scale response format which includes the following possible responses depending on the wording of the question:

- 5: very effective / strongly agree / frequently
- 4: somewhat effective / somewhat agree / regularly
- 3: neither effective nor ineffective / neither agree nor disagree / occasionally
- 2: somewhat ineffective / somewhat disagree / seldom
- 1: very ineffective / strongly disagree / never

13 The Vanderbilt faculty working group's report on the COACHE survey results can be found here: <https://news.vanderbilt.edu/2017/09/25/final-report-on-faculty-job-satisfaction-survey-released-by-working-group/>. The committee was chaired by Tracey George, the Charles B. Cox III and Lucy D. Cox Family Professor of Law and Liberty, and David Owens, professor of the practice of management and innovation and of engineering management.

14 Our committee, in addition to considering the COACHE data, also met with university and school administrators, including the Chancellor, Vice Chancellors, Provost, Vice Provosts, Deans, and Associate Deans. Our committee also invited Medicine-Clinical faculty members to attend our Faculty Conversations and a number of these faculty did so. Elsewhere in our report we discuss themes that emerged from these various conversations.

15 Vanderbilt's response rate was higher than the average for the survey peer institutions. Additionally, the response rate for Vanderbilt's COACHE shared governance questions did not differ importantly from other questions in the survey.

16 Also, COACHE does not provide results for survey items if fewer than five individuals responded. Given that COACHE does not provide the individual-level data, we are unable to explore correlations among individual-level responses and thus possible causal factors. COACHE also compared Vanderbilt to five benchmark peer institutions. See the Vanderbilt faculty working group's report on the COACHE survey results for a discussion of these peer institutions (p. 6), as well as a discussion of how Vanderbilt compared to these schools for the leadership and shared governance questions (pp. 16-17).

The fifteen shared governance questions considered in our report are of four types.¹⁷ The *overall* question (1 question) considers the faculty’s overall rating of the effectiveness or ineffectiveness of shared governance at Vanderbilt. The *direct* governance indicators (5 questions) consider whether individual faculty members perceive opportunities to provide their own input on institution-wide policies. The *representative* governance questions (8 questions) consider the relationship between faculty leaders and senior administrators. The *unusual situations* measure (1 question) considers whether the university governance model holds up under unusual situations (e.g., the 2016 reorganization of Vanderbilt University and Vanderbilt University Medical Center).

We examine the COACHE data for all of Vanderbilt and for individual schools/colleges (Arts & Science, Blair, Divinity, Engineering, Law, Medicine-Basic Sciences, Nursing, Owen, and Peabody). Examining school-level data allows us to note differences and similarities across schools. We also disaggregate the COACHE data by various groups of faculty: a) racial and ethnic groups,¹⁸ b) gender,¹⁹ c) tenure-stream faculty and non-tenure-stream faculty, and d) rank (among the tenure-stream faculty using two categories: full/associate professors and assistant professors/instructors). We examine these disaggregated groups both for Vanderbilt as a whole and within/across the individual schools.

We calculate two difference measures in our analysis below:
GROUP DIFFERENCES and SCHOOL DIFFERENCES.

GROUP DIFFERENCES allow us to gauge differences in means between two groups of faculty, for example, between Underrepresented Minority and White faculty, where:

$$\text{GROUP DIFFERENCES} = \text{UNDERREPRESENTED MINORITY}_{\text{MEAN}} - \text{WHITE}_{\text{MEAN}}$$

SCHOOL DIFFERENCES, on the other hand, allows us to compare one school’s mean to the mean for all the remaining schools (combined) in the university, for example:

$$\text{SCHOOL DIFFERENCES} = \text{A\&S}_{\text{MEAN}} - \text{VANDERBILT (excluding A\&S)}_{\text{MEAN}}$$

In our discussion of the school differences below, we focus particularly on GROUP DIFFERENCES and SCHOOL DIFFERENCES scores that are greater than 0.50 (after taking their absolute value). Our choice of 0.50 is somewhat arbitrary, but we find that such a cut-off allows us to focus our discussion on the more pronounced differences in the survey data.

In the discussion below, we summarize the survey results, beginning with Vanderbilt as a whole, next turning to the individual schools and colleges at Vanderbilt and disaggregations by race/ethnicity, gender, tenure stream, and rank (among the tenure-stream faculty).

17 COACHE offered its own question clusters: trust, shared sense of purpose, understanding the issue at hand, adaptability, and productivity. Our Committee decided to use our clustering of the shared governance questions in our report. Our clustering, as noted below, include an overall assessment of shared governance, assessments of direct and representative governance, and an evaluation of shared governance in unusual situations. We consider this last question given the 2016 reorganization between the Vanderbilt University Medical Center and Vanderbilt University and thus the applicability of the question for Vanderbilt at the time the survey was administered.

18 The COACHE data permit us to disaggregate into the following racial/ethnic categories of faculty: Asian, Underrepresented Minority, and White.

19 COACHE asked respondents to identify as either male or female, thus using binary gender categories.

c. Vanderbilt and Its Schools

Figure 1 and Table 1 contain the Vanderbilt and school-specific mean responses for the shared governance survey items.²⁰ In two schools, Divinity and Peabody, the overall assessment of the effectiveness of shared governance is rated substantially lower than it is in other schools (the absolute or unsigned value of the SCHOOL DIFFERENCES score is greater than 0.50). Peabody faculty also rate representative shared governance and shared governance in unusual situations markedly lower than do other schools. In fact, while the mean shared governance responses for Vanderbilt as a whole are roughly neutral (that is, “neither satisfied nor dissatisfied,” or approximately “3”), in Peabody they are often closer to “dissatisfied” (“2”). Nursing and Owen faculty, on the other hand, are noticeably more satisfied overall with shared governance, and in both schools other facets of shared governance are rated noticeably higher than they are in other schools, with average shared governance responses lying between “satisfied” (“4”) and neutral (“3”) in these two schools.

d. Race/Ethnicity

The COACHE data allow us to examine the shared governance responses for the different racial and ethnic groups in the Vanderbilt faculty. Specifically, the COACHE data permit us to assess responses for Asian, Underrepresented Minority (URM), and White faculty members. The Asian category includes faculty members who identify on the survey as: Asian, Asian-American, or Pacific Islander. The URM category includes faculty members who identify as: American Indian or Native Alaskan, Black or African-American, Hispanic or Latino/Latina, Multiracial, or Other. The White category includes faculty members who identify as: White (non-Hispanic). The number of responses among these racial and ethnic groups for Vanderbilt as a whole for the shared governance questions range from 32 to 51 for Asian faculty, 42 to 62 for URM faculty, and 379 to 589 for White faculty.

The results for Vanderbilt as a whole for race and ethnicity are presented in Figure 2 and Table 2. As Figure 2 shows, Asian faculty in general, exhibit more satisfaction with shared governance, while URM faculty are often slightly less satisfied with shared governance. Table 2 provides more detailed information, specifically means and GROUP DIFFERENCES scores for Vanderbilt as a whole (see top rows in the tables).

The GROUP DIFFERENCES measure in the Asian columns provides the difference in the mean response between Asian and White faculty, that is:

$$\text{GROUP DIFFERENCES} = \text{ASIAN}_{\text{MEAN}} - \text{WHITE}_{\text{MEAN}}$$

The GROUP DIFFERENCES measure in the URM columns provides the difference in mean response between URM and White faculty, that is:

$$\text{GROUP DIFFERENCES} = \text{URM}_{\text{MEAN}} - \text{WHITE}_{\text{MEAN}}$$

As Table 2 reveals, the only pronounced racial/ethnic difference for Vanderbilt as a whole (that is, the only absolute value GROUP DIFFERENCES scores greater than 0.50 for Vanderbilt as a whole), are for Asian faculty, who rate overall and representative shared governance substantially higher than do White faculty. The absolute value GROUP DIFFERENCES scores for URM faculty for Vanderbilt as a whole are not greater than 0.50, indicating that for Vanderbilt generally, URM faculty do not rate shared governance substantially differently than do White faculty.

²⁰ In this table and in all tables below, for clarity we highlight in yellow the absolute value of the GROUP DIFF scores that are greater than 0.50 and highlight in orange the absolute value of SCHOOL DIFF scores that are greater than 0.50. All tables and figures appear at the end of this document.

Also, moving down further in Table 2 to the school-level data, one can see that Asian and URM faculty are represented by “-“ in most cells, meaning that the number of faculty of color within schools responding to the COACHE survey questions is fewer than five.²¹ This, in and of itself, is important information. Vanderbilt has so few faculty of color within most schools that it is not possible to view their responses in these tables. Results for minorities appear for only three schools, Arts & Science, Engineering, and Medicine-Basic Sciences. Nursing and Peabody, schools with numbers of respondents roughly equal to or larger than the number of respondents in Engineering and Medicine-Basic Sciences, had no or fewer than five faculty of color responding to the survey questions. The number of faculty of color responding to the shared governance questions in Medicine is also small (with Ns only sometimes equal to 5). Arts & Science sees a larger number of minority faculty responding to the survey (with 10 to 35 faculty members of color providing insights).²²

In examining the school-level racial/ethnic data and any pronounced racial and ethnic differences in Arts & Science, Engineering, and Medicine-Basic Sciences, we find a few differences.

Table 2 reveals only two substantial differences between racial or ethnic groups within schools (see GROUP DIFFERENCES scores). In Engineering, Asian faculty report a distinctly higher level of satisfaction in their overall assessment of shared governance and with representative shared governance compared to their White colleagues. Both in the overall assessment and for representative shared governance, the difference between the mean responses for Asian and White faculty members is greater than 0.50.

The SCHOOL DIFFERENCES measures in the WHITE, ASIAN, and URM columns of Table 2 provide differences within racial and ethnic groups across schools, that is, for example:

$$\text{SCHOOL DIFFERENCES} = \text{A\&S URM}_{\text{MEAN}} - \text{VANDERBILT URM (excluding A\&S)}_{\text{MEAN}}$$

Comparing schools (that is, comparing Arts & Science, Engineering, and Medicine-Basic Sciences, schools providing enough information for Asian and URM faculty to make such comparisons), we now look for clear differences within these racial and ethnic groups across schools (see SCHOOL DIFFERENCES scores). URM faculty in A&S are decidedly more satisfied than their racial counterparts in other schools, while URM faculty in Medicine-Basic Sciences are markedly less satisfied than their counterparts in the other schools. For Whites, looking across all the schools, one can see that White faculty in Nursing and Owen are more satisfied with shared governance, while Whites in Peabody are less satisfied.

In sum, the limited presence of faculty of color in many schools results in numerous empty cells in our racial and ethnic tables, and this, in and of itself, is important information suggesting a need for greater racial and ethnic diversity among the faculty at Vanderbilt. In the schools where data are available (Arts & Science, Engineering, and Medicine-Basic Sciences), we find generally that Asian faculty are more satisfied with shared governance than White faculty. Additionally, URM faculty in Arts & Science are sometimes more satisfied with shared governance than are White faculty, but in Medicine-Basic Sciences they are sometimes less satisfied than White faculty with shared governance.

²¹ COACHE does not provide results for cells with fewer than five faculty members responding.

²² Here we do not list the frequency of responses for specific survey questions but these are available in the COACHE data provided to Vanderbilt.

e. Gender

The COACHE data also allow us to examine responses regarding shared governance for female and male faculty members. The number of female and male responses range from 193 to 264 for women and 260 to 342 for men.

The results for Vanderbilt as a whole for gender are presented in Figure 3. The results suggest that male and female faculty evaluate Vanderbilt's shared governance generally similarly.

Table 3 provides more detailed information, specifically means, GROUP DIFFERENCES, and SCHOOL DIFFERENCES scores by gender for Vanderbilt as a whole and for each Vanderbilt school or college. The GROUP DIFFERENCES measure in the Female columns provides the difference in the average score for Females and Males, that is:

$$\text{GROUP DIFFERENCES} = \text{FEMALE}_{\text{MEAN}} - \text{MALE}_{\text{MEAN}}$$

The SCHOOL DIFFERENCES measures in both the FEMALE and MALE columns provide differences within genders across schools, that is, for example:

$$\text{SCHOOL DIFFERENCES} = \text{A\&S FEMALE}_{\text{MEAN}} - \text{VANDERBILT FEMALE (excluding A\&S)}_{\text{MEAN}}$$

Looking at the top rows of Table 3 (that is, at the results for Vanderbilt as a whole), one can see that none of the GROUP DIFFERENCES scores show a pronounced difference in how female and male faculty rate shared governance. For Vanderbilt as a whole, male and female faculty assess shared governance similarly.

Moving further down the rows in Table 3, one can see the school-level results for shared governance by gender. In Arts & Science, Engineering, Medicine-Basic Sciences, Owen, and Peabody, there are no pronounced within-school gender differences for the shared governance measures (see GROUP DIFFERENCES scores).

On the other hand, in Blair, Law, and Nursing, within-school gender differences exist. However, for Blair and Law, the SCHOOL DIFFERENCES scores suggest that much of the within-school gender differences may be a product of substantially higher levels of satisfaction with shared governance by female or male faculty members.

In Blair, female faculty are markedly more satisfied with overall shared governance than their male Blair counterparts (see GROUP DIFFERENCES score), but this may be the result of Blair female faculty's decidedly higher satisfaction with overall shared governance compared to female faculty in other schools (see SCHOOL DIFFERENCES score), rather than lower satisfaction among male Blair faculty.

Similarly in Law, across multiple shared governance measures, female faculty are noticeably less satisfied with shared governance than their same-school male counterparts (see GROUP DIFFERENCES scores), and for all of the shared governance measures, male Law faculty are pronouncedly more satisfied with shared governance than male faculty in other schools (see SCHOOL DIFFERENCES scores). This suggests that much of the gender difference in Law is driven by high levels of male satisfaction with shared governance rather than female dissatisfaction. There is one important exception, however. Female Law faculty are decidedly less satisfied with overall shared governance than are their female counterparts in other schools, which suggests that the gender difference in Law for the overall shared governance measure

is produced by both female dissatisfaction and male satisfaction with shared governance. This is evidence that the female and male faculty in Law are not experiencing shared governance in the same way.

In Nursing, female faculty members report decidedly more satisfaction with shared governance on average than male faculty members. This is the case in Nursing for all four of the shared governance measures. In each case, the GROUP DIFFERENCES measure is greater than 0.50. Additionally in Nursing, female faculty members report noticeably higher levels of satisfaction with shared governance when compared to their female counterparts in other schools (see SCHOOL DIFFERENCES scores). Taken together, then, the gender difference within Nursing for shared governance may be due to more positive perceptions of shared governance by the female faculty, rather than due to more negative perceptions among the male faculty.

In Divinity, male faculty members report markedly lower satisfaction with overall shared governance than their male counterparts in other schools.

In Owen, both female and male faculty are decidedly more satisfied with shared governance than their same-sex counterparts in other schools.

In Peabody, there is lower satisfaction with shared governance, compared to other schools. Among both female and male Peabody faculty, there is decidedly lower contentment with shared governance, for women with overall and representative shared governance and shared governance in unusual situations and for men with representative share governance and shared governance in unusual situations.

In sum, while for Vanderbilt as a whole, pronounced gender differences in assessments of shared governance are not evident, at the school level, there are a number of gender differences and they occur in different ways. Some within-school gender differences may be driven by one gender being more satisfied than average with shared governance (in Blair and Nursing). In, Law, however, lower than average satisfaction with shared governance among female faculty members drives the results.

f. Tenure-Stream and Non-Tenure-Stream Faculty

COACHE survey responses disaggregated by tenure-stream and non-tenure-stream faculty are provided in Figure 4 and Table 4. Tenure-stream faculty include instructors and assistant, associate, and full professors. Non-tenure-stream faculty are those faculty not on the tenure track. The number of tenure-stream faculty responding to the shared governance survey questions range from 310 to 392, while the number of non-tenure-stream faculty responding range from 142 to 214.

Figure 4 shows that for Vanderbilt as a whole tenure- and non-tenure-stream faculty are similar in their assessments of shared governance. As Table 4 (in the top rows of data in the table) reveal, for Vanderbilt as a whole there are no pronounced differences between the tenure- and non-tenure-stream groups of faculty in their views of shared governance. None of the GROUP DIFFERENCES measures (in the tenure-stream columns and taking the absolute values) are greater than 0.50, where:

$$\text{GROUP DIFFERENCES} = \text{TENURE STREAM}_{\text{MEAN}} - \text{NON-TENURE STREAM}_{\text{MEAN}}^*$$

Table 4 also provides the school-level means, GROUP DIFFERENCES, and SCHOOL DIFFERENCES scores for tenure- and non-tenure-stream faculty for the governance data.

The SCHOOL DIFFERENCES measures in both the TENURE STREAM and NON-TENURE STREAM columns provide differences within these tenure groups across schools, that is, for example:

$$\text{SCHOOL DIFFERENCES} = \text{A\&S TENURE STREAM}_{\text{MEAN}} - \text{VANDERBILT TENURE STREAM (excluding A\&S)}_{\text{MEAN}}$$

While there are no pronounced differences between tenure- and non-tenure-stream faculty when Vanderbilt-as-a-whole shared-governance responses are considered, some schools show a different pattern (see GROUP DIFFERENCES scores).

In both Blair and Engineering, the overall assessment of shared governance reveals that tenure-stream faculty are less satisfied than non-tenure-stream faculty.

Additionally, for Peabody, across all shared governance measures, the tenure-stream faculty are less satisfied than the non-tenure-stream faculty.

In Arts & Science and Nursing, no pronounced differences between tenure- and non-tenure-stream faculty exist in any of the shared governance measures.

Also, we note that in Divinity, Law, and Owen, there are too few non-tenure-stream faculty members responding to the survey to make comparisons between the two groups of faculty.

Among the tenure-stream faculty, when comparing the different schools (see SCHOOL DIFFERENCES scores), we see that Peabody tenure-stream faculty stand out as decisively less satisfied than their counterparts in other schools across all of the shared governance measures. Additionally, Nursing and Owen tenure-stream faculty are markedly more satisfied with shared governance than their counterparts in other schools.

For the non-tenure-stream faculty, when comparing the schools, we find that Nursing non-tenure-stream faculty report substantially more satisfaction for the overall and direct governance measures, while Medicine-Basic Science non-tenure-stream faculty are decidedly less satisfied with direct shared governance than their peers in other schools and Peabody non-tenure-stream faculty members are noticeably less satisfied than their counterparts in other schools as indicated by the overall shared governance measure.

In sum, while for Vanderbilt as a whole, we do not find differences between tenure- and non-tenure-stream faculty in their assessments of shared governance, we do find a number of school-level differences. One important general theme in the school-level findings is that tenure-stream faculty are, in some schools, markedly less satisfied with shared governance than are non-tenure-stream faculty in those schools. This pattern is the case in Blair, Engineering, and Peabody.

g. Faculty by Tenure-Stream Rank

We now consider the tenure-stream faculty disaggregated by rank. Specifically, we compare perceptions of shared governance between full and associate professors, on the one hand, and assistant professors and instructors, on the other. These results appear in Figure 5 and Table 5. The number of associates and full professors responding to the shared governance survey questions ranges from 309 to 377, while the number of assistants and instructors ranges from 140 to 225.

The results for Vanderbilt as a whole by rank are presented in Figure 5. Figure 5 shows that associates and full professors tend to assess shared governance somewhat more negatively than do assistants and instructors. As Table 5 reveals, for Vanderbilt as a whole (see top rows in the table), associates and fulls evaluate shared governance overall noticeably more negatively than do junior faculty (see GROUP DIFFERENCES score for overall shared governance), where:

$$\text{GROUP DIFFERENCES} = \text{FULL/ASSOCIATE}_{\text{MEAN}} - \text{ASSISTANT/INSTRUCTOR}_{\text{MEAN}}$$

Table 5 also provides school-level means for the shared governance survey responses by faculty rank. In Arts & Science, Engineering, and Medicine-Basic Sciences, there are no pronounced differences between senior and junior tenure-stream faculty in their evaluation of shared governance (see GROUP DIFFERENCES scores).

In Blair, assistant professors/instructors are markedly less satisfied than senior faculty with direct shared governance (see GROUP DIFFERENCES scores).

In Nursing, the associate/full professors are noticeably less satisfied with shared governance than are the assistant professors/instructors and this is true across all shared governance measures (see GROUP DIFFERENCES score). The SCHOOL DIFFERENCES results, however, suggest that this within-school difference between junior and senior Nursing faculty may be the result of junior faculty being more than typically satisfied with shared governance, given their large SCHOOL DIFFERENCES score (rather than the result being produced by senior faculty who are less than typically satisfied).

The SCHOOL DIFFERENCES measures in both the FULL/ASSOCIATE and ASSISTANT/INSTRUCTOR columns in Table 5 provide differences within these faculty groups across schools, that is, for example:

$$\text{SCHOOL DIFFERENCES} = \text{A\&S FULL/ASSOCIATE}_{\text{MEAN}} - \text{VANDERBILT FULL/ASSOCIATE (excluding A\&S)}_{\text{MEAN}}$$

Also, in Owen, senior faculty are decidedly less satisfied with representative shared governance than are junior faculty (see GROUP DIFFERENCES score). But this finding is muted by the fact that when we examine the Owen SCHOOL DIFFERENCES scores, we can see that in most cases Owen senior and junior faculty are both noticeably more satisfied with shared governance than their same-rank counterparts in other schools.

In Peabody, the senior faculty are also decisively less satisfied with shared governance when compared to the Peabody junior faculty, and this is true for all of the shared governance measures (see the GROUP DIFFERENCES scores). However, the SCHOOL DIFFERENCES scores allow us to see that senior Peabody faculty are decidedly less satisfied with shared governance (in fact, for all measures of shared governance) than are their senior counterparts in other schools. Thus, unlike Nursing and Owen where the evidence for lower satisfaction with shared governance among the senior faculty is less clear in the data (see discussion above), at Peabody, the senior faculty appears to be decidedly less content with shared governance.

In Divinity and Law, too few assistant professor/instructor faculty responded to the COACHE survey to assess differences.

In sum, there is evidence for Vanderbilt as a whole that associate/full professors evaluate shared governance more negatively than do assistant professors/instructors. Moreover, the results for Peabody suggest that senior faculty in that school hold markedly more negative views of shared governance than do senior faculty in other schools as well as do junior faculty in Peabody.

h. Summary of COACHE Survey Results

Our analysis of the COACHE survey data reveals substantial homogeneity among Vanderbilt's faculty in its assessment of shared governance. However, some differences stand out. For example, among the schools and colleges, Peabody and, to some degree, Divinity faculty express lower than average satisfaction with shared governance. On the other hand, Nursing and Owen faculty evaluate shared governance more highly than do faculty in the other schools and colleges. When comparing racial and ethnic groups, Asian faculty tend to rate shared governance more positively than do White faculty. The results for Underrepresented Minority faculty are more school dependent, with URM faculty in Arts & Science somewhat more satisfied and in Medicine-Basic Sciences somewhat less satisfied than their White counterparts. In most cases, female and male faculty view shared governance similarly, but there are some exceptions. For instance, female faculty in the law school tend to be less satisfied with shared governance while male law faculty tend to be more satisfied. Also, while tenure-stream and non-tenure-stream faculty members generally assess shared governance similarly, in Blair, Engineering, and Peabody, tenure-stream faculty are less satisfied than their non-tenure-stream counterparts. Additionally, full and associate professors in Peabody are less satisfied compared both to assistant professors and lecturers within their school and to full and associate professors in other schools and colleges.

2. Anonymous Survey, Email Input, and Faculty Conversations

a. Decision Making by Administration and Communication

A concern among some faculty members is that faculty have limited input into administrative decision making. There is a sense among some faculty members that decisions and changes are made by the administration without consulting faculty, and faculty desire to feel more integrated in the shared governance of the university.

There is also more of a sense of limited faculty input at the school level in the School of Medicine Clinical Departments compared with other schools. Some faculty members in the School of Medicine Clinical Departments expressed a desire to have more input into hiring and appointing divisional and departmental leaders.

The faculty suggest a number of steps that would address this sense of limited faculty input. For instance, faculty suggest giving faculty members greater opportunity to provide insights before critical decisions are made. Faculty also suggest that administrators may want to take more steps to bring faculty with expertise in a given area into decision making. Faculty would also like to know earlier in the process about how faculty input will be utilized in decision making.

A number of faculty members suggest that the flow of communication around administrator decision making could be improved. They suggest that administrators could routinely provide a feedback loop once an important decision was made, telling faculty how the decision was made, whose input was utilized, why this input was critical, and, importantly, what the rationale for the decision was. Other faculty

mention that there is substantial variability in the degree to which some information is shared in local units and steps could be taken to encourage local leaders to share information more consistently. Others mentioned that they did not always know whom to contact about a particular shared governance matter.

Faculty would like to have greater input on matters they care most about. According to the faculty, these matters are often issues with locally distinct ramifications. Faculty mention these areas of desired input at their college or school level: senior administrative searches and hiring of faculty in general; curriculum and curriculum focuses and initiatives; graduate student admissions and recruiting; decisions about the timing of rollout of new software; budget matters (although some faculty were less interested in budgetary matters); decisions about health insurance; diversity at Vanderbilt; and decisions about how building space is used.

The faculty would also like the administration to trust faculty more both to offer quality input and to make good decisions themselves as faculty. Faculty also ask that administrators make decisions more so in light of the likely effects of the decision on faculty, their programs, and students. One suggestion faculty offer in order to provide greater information about the impacts of decision making is that someone in the administration be assigned to monitor effects of decision making on faculty. Additionally, some decisions might be beta tested before implementation to gauge the impact of the decision before full implementation.

b. Faculty Involvement in Shared Governance

Some faculty express concern that the same group of faculty tended to be invited to serve on committees, and thus, in many respects, only a somewhat small group of faculty is generally involved in shared governance. Faculty also acknowledge that some faculty members work to avoid participating in shared governance.

Those faculty who do participate, indicate that they want to be involved in matters that concern them and they also desire to be involved when they have expertise in the particular area. Additionally, faculty want to be involved because they are dedicated to the good of the university and want to be a part of making the university the best it can be. Many faculty mentioned the networking benefits of meeting faculty from other schools and, thus, having a greater sense of community with the overall university and its mission. Faculty often mention the time constraints that can limit their ability to participate.

Those faculty who participate less than they otherwise might, offer a number of suggestions about how to involve more faculty in shared governance. Administrators could provide more information to faculty about opportunities to be involved in shared governance and about how to become involved in those opportunities. Leaders could take more steps to encourage more faculty to become involved. At the school and/or departmental level there could also be more mentoring around shared governance and more information in handbooks, websites, orientations, and faculty meetings. Leaders could also offer more training and preparation for committee roles, perhaps especially so for committee chairs. Faculty also suggest that administrative leaders could take steps to invite more and different faculty members to serve on committees. Faculty also indicate that university leaders could develop a database of faculty expertise to consult in deciding committee invitations. Some faculty would be more likely to participate in shared governance if there were some form of compensation or support. Possibilities include: awards to faculty for their service contributions (this recognition could be used for different types of shared-governance involvement and could be offered at the school level); greater assistance from staff with committee administrative duties; and for more onerous shared governance participation, compensation of time (course release) or mone-

tary compensation (research funds to hire research assistance support). Faculty also expressed a desire for social opportunities to better get to know their fellow committee members.

Additional themes that the Committee heard were some frustrations with the bureaucracy involved in booking travel and addressing visa issues, the confusing nature of the COACHE survey questions, and some perceived favoritism in resource allocation decisions. Some faculty also mentioned that they would like to be able to opt out of being contacted about shared governance participation in some instances, for example during a heavy teaching or research semester.

c. Faculty Senate

Faculty note welcome improvements in the Faculty Senate's transparency and general visibility. Some suggested that the Faculty Senate could be more efficient, perhaps by giving the Faculty Senate committees fewer assignments. Some suggested that the Faculty Senate should have more power in university governance. Faculty members in one school asked if all schools have enough senators. There is also a desire that all non-tenure-track faculty be represented on Faculty Senate. Some suggested that the Faculty Senate should explore ways to make itself more relevant to the School of Medicine faculty. Others mentioned that the Faculty Senate should seek ways to visit local units (schools, departments, programs, centers) to provide the faculty information about its activities.

3. Shared Governance Faculty Town Halls

The Committee and Faculty Senate held two town halls, March 22 and 27, 2018, to receive feedback about its draft report circulated campus-wide via MyVU on February 23, 2018. The town halls were sparsely attended so drawing general themes is difficult. Two matters that did arise were noteworthy. First, the nature of faculty governance including primary faculty appointments in one school with the expected increase in trans-institutional initiatives at Vanderbilt was pondered. Second, the perception that some administrative leaders are afraid to deliver bad news to the faculty was discussed.

B. Faculty Senate

1. Feedback on Scope Statement

The Faculty Senate offered no revisions in wording for the Committee's scope statement in March 2017. The primary areas of discussion by the Senate expressed concerns that the Committee lacked an absolute benchmark that would be specific for Vanderbilt and serve as a gauge against which to judge its findings and recommendations. Absent a benchmark Senators were unclear whether the Committee's findings would be interpretable. The Committee incorporated the COACHE school-level information on governance and undertook an analysis of Senate-type bodies at peer schools as a result. There were also concerns expressed that the faculty unionization efforts reflected a contingent of disenfranchised faculty, and the extent to which the Committee should, or should not, address those matters was discussed. (The Committee chose not to take a position on the unionization activities other than to redouble its efforts to be inclusive of all faculty, regardless of status.)

2. Feedback on Preliminary Report

A Special Faculty Senate Meeting occurred March 19, 2018 to discuss this report. A sizable number of senators attended the meeting and they encouraged the Committee to offer further discussion in the report of the recommended website, issues for which faculty want to provide input, and differences between VUMC-employed faculty and VU-employed faculty regarding shared governance. Senators also suggested adding a specific set of next steps for a follow-on shared governance committee. The Committee incorporated all of these suggestions to the best of its ability in the final report.

C. University Administrative Leaders

1. Themes from Dean Conversations

a. How deans communicate to faculty

The deans use a variety of means to communicate information to faculty members. The most commonly mentioned means is via committees. Committee membership seems to vary across and within schools in terms of whether members to committees are appointed by the dean or dean's designate, elected by the faculty, or, in at least one school for some committees, faculty are invited to volunteer. In most cases, committees are appointed by the deans.

It was less clear whether there were formalized mechanisms in all schools for committee reports to the broader faculty (e.g., through committee meeting minutes, through broader faculty meetings, through email or newsletter communications within the school). There seemed to be an expectation of communication from the committees to the school-level faculty in some schools, although the extent to which such communication was occurring in practice in those schools was not always clear.

Deans also report that they communicate to faculty using faculty-wide meetings. The Committee got the impression there was variation in the faculty attendance rates at school meetings.

Deans of larger schools also name chairs/program directors as a means of communicating with the faculty. One dean in a smaller school mentions one-on-one meetings with faculty and memos/emails.

Additionally, there appears to be variation among deans in the extent and depth to which budgetary items were shared with their school's faculty. Of those deans with experience with ETOB (either previously at VU when it was more ETOB or at universities that have historically been more ETOB) the view of an ETOB approach appeared positive.

b. How deans gather input from faculty

The deans also use a variety of methods to gather input from the faculty, with the most common method, again, being committees typically appointed by the deans. Deans also with some frequency mentioned other channels for gathering information from the faculty: full faculty meetings, chairs/program directors, and informal/one-on-one conversations with faculty.

Some deans attend to efficiency in the solicitation of information from faculty. For example, one dean reported use of an internal consent calendar where more perfunctory items requiring faculty input are sent to the faculty with the proposed action and faculty have a timeframe to request broader discussion in a full faculty meeting.

Schools vary on the extent to which they provide incentives for participation on committees. Some schools provide explicit incentives (effort allocation); at least one school mentioned that service should not be an “add-on” and should be an “instead of” so that a responsibility is reduced or eliminated if service is high.

c. General culture of governance and organizational structure in the schools

The deans tended to describe the culture of governance in their schools as egalitarian or interactive and consultative. Four of the schools (Divinity, Law, Nursing, Owen) are structured as a single unit with no departments. Three schools can be characterized as primarily a mixture of departments and centers (Engineering, School of Medicine-clinical, School of Medicine-basic science), and three schools are primarily made up of departments (Arts & Science, Blair, Peabody).

d. School bylaws

Some deans specifically mentioned that they have school-level bylaws to guide their operations.

e. Relationship to the Central Administration

Most comments from the deans about their relationship with the higher administration (“Central Administration”) were quite positive, with comments about an open flow of information between the deans and Central Administration and a good level of supportiveness from Central Administration. There seemed to be, in general, more interaction between the deans and the Provost than between the deans and the Chancellor. This may be attributable to the reporting structure of the Central Administration but there appeared to have been some variation across schools on the extent to which the Chancellor might have been involved within a dean’s school through time. The Committee notes that the Chancellor was previously the Provost so lines of distinction regarding when such interactions occurred may be role-dependent to some extent.

f. University committees

There appears to be some variation in the extent to which schools are represented on university committees, with some schools being overrepresented.

g. Communication among the deans

The deans meet monthly and appear to have a free-flow of information exchange among them. Some deans mentioned they feel they can turn to other deans on campus to get their perspectives and experience on certain matters. At least one dean explicitly mentioned that school-based governance models were not a topic of discussion at these dean meetings.

h. Views on the Faculty Senate

Most comments about the Faculty Senate were positive, with the deans saying that Faculty Senate's role was an important one in the university. There was also a sense that the recent leadership of the Senate has been working hard to improve the Senate's role.

Some comments about the Faculty Senate, however, raised concerns (e.g., about low attendance at its meetings and a difficulty in “see[ing] tangibles”). Two other broad concerns were expressed. *First*, there appears to be limited institutional memory in the Senate with the turnover of Senators and Executive Committee leadership. A repository of information might be in order as some Senate initiatives appear to revisit topics addressed previously sometimes because there was no memory they had been previously reviewed. *Second*, there seemed to be variation in understanding or agreement regarding what topics fall within the province of Faculty Senate oversight and input. For example, compliance with federal regulatory policy, technology policy, and benefits were topics upon which there seemed to be lack of clarity on what the Senate's role was and disagreement and/or confusion within the Senate on what its role was as well. This matter also extended to new degree review proposals, for which Article II of the Senate Constitution indicates the Senate will act in a “consultative capacity.”

i. Training of faculty for governance and leadership roles

Only one dean mentioned the matter of training or preparation of faculty for leadership roles in shared governance. At least one school has formalized faculty leadership training programs in place.

2. Themes from Associate Dean Conversations

a. Communication

Effective communication that faculty read and internalize is one of the biggest challenges. Different faculty and faculty groups vary in their preferred means of receiving and supplying information. Those preferences are often not explicitly conveyed. For example, some faculty do not attend to group emails, only read emails from administrators that they believe may pertain to them, or do not complete surveys—either because of concerns about anonymity or a view that mass communications with surveys are disrespectful and/or unlikely to make a difference. There is general consensus that faculty receive too many email communications and, as a result, curate the emails to which they do attend based on difficult to infer decision rules. It should be noted that the Provost routinely holds open forums across campus as part of The Open Dore series to which all faculty are invited.

Among some there is a perception that information is embargoed at certain levels and then is released through mass communications as a *fait accompli*. There needs to be communication earlier in the process.

Faculty are agreeable to being told “No” as long as there is a rationale explaining why the decisions that were made were made.

Town halls would benefit from being structured in a way such that they are clearly cultivating input, not consulting. Perhaps there could be a loop-back with the faculty after the town hall summarizing what the main themes were and what the changes were or were not made in response to town hall feedback.

Sometimes *The Hustler* appears to have Vanderbilt news and responses that were not disseminated through other means.

b. Networking

Those faculty who are engaged in significant service, either through an administrative function or significant committee responsibility, benefit from informal and formal faculty networks. Some groups of administrators (e.g., deans, associate deans) meet with their counterparts across the university regularly. Other faculty have developed informal networks of individuals to whom they turn for advice and guidance. These networks aid the dissemination of ideas and best practices to handle university matters.

c. Coordination

The schools view coordination across schools as generally good. For the undergraduate schools and colleges (Arts & Science, Blair, Engineering, and Peabody) coordination falls with the associate deans and the Vice Provost for Learning and Residential Affairs. This process has improved over time and allowed the schools to better coordinate in broadly addressing and facilitating undergraduate needs. Sometimes this group of individuals meets and they determine that the desired outcome simply needs clarification in the undergraduate catalog. For more complex or sensitive topics, for example topics that might touch on stated or unstated school boundaries, a more involved process of engaging faculty in each school and bringing the matter up to the full faculty within each school for discussion and vote is necessary.

d. Committees

The primary means of accomplishing school-level work is through committees. Committees vary in construction. Some schools accept faculty volunteers for some committees (especially for topics, such as accreditation, where, because the work can sometimes be tedious, a faculty member's interest is helpful in getting the work done); some schools have faculty nominate other faculty for service on committees; some schools appoint faculty. Desired attributes of committees were named: a cohesive group that will work well together to get things done, a group of faculty with diverse perspectives (for example, racially/ethnically, gender, discipline, rank, tenure track vs. non-tenure track, ableness, and expertise). More successful committees tend to be smaller, tend to have mutual respect for the viewpoints of the constituents of the committees, understand where boundaries are or can candidly elucidate them if it is unclear.

Committee efficiency could be improved by moving from outlining the problem to identifying the solution.

Course release for committee service could be problematic when there are smaller areas/departments that need to cover courses. Maybe a research fund should be offered that could be applied to research or used toward buying out.

Among some there is a perception that some areas get more because they have good advocates or because of favoritism or nepotism. With regard to advocacy there is a sense that individuals who are successful influencers could generate more resources just because of their skills in that domain—almost independent of the area/department for which they are advocating. So, there are two different sources of successful resource harvesting: nepotism/favoritism by those who control the resources and then successful advocacy on the part of those who request the resources.

There are differences across schools in the culture of whether committee generation is a top-down or a bottom-up process. In a top-down setting the dean's office or department chair may identify issues for committee consideration. In a bottom-up setting the ideas for new committees come more directly from the faculty themselves. The majority of schools seem to have a top-down approach, but at least one school had more of a bottom-up approach.

e. Planning

Planning is important, which requires transparent communication and cooperation from various groups. Often deans make decisions that are not well-communicated to the individuals entrusted with executing those decisions.

f. Corporatization

Some articulated perceptions of increased corporatization of the university with more vice provosts and assistant and associate provosts. The question was then asked: what is everyone doing? There is a sense that we need more transparency about their roles and responsibilities.

g. COACHE survey

The wording on the COACHE Survey was problematic. It appeared to be geared more for faculty in a traditional college or school with department chairs. For example, schools where there are no department chairs, such as Owen and Law, found the survey confusing. Also, the survey was confusing in terms of who it meant by leadership. Was it the dean of the school? Was it the Provost? Was it the Chancellor?

A number of associate deans from a diverse set of schools commented that the general wording and framework of the COACHE survey did not seem directly translatable to their schools. Their concerns related to the extent to whether there was cohesion among faculty in how they interpreted the questions and responded to them (see above regarding "leadership").

h. Time

There is a sense that some faculty, for example those not yet tenured or those who are funded by grants, do not really have the interest or time for governance. In a sense, governance is a first-world-problem to faculty who are simply trying to make progress on the tenure track or are working to maintain their grant funding or acquire new grant funding. In a sense, "leave us alone so we can get our work done."

i. Mentoring

Few associate deans spontaneously mentioned the topic of faculty mentoring. Some schools seem to be more intentional about this matter than others.

3. Themes from Senior Administrative Leader Conversations

Shared governance signifies stakeholder engagement with the university, which is built from the collective of these individuals. The primary objective of shared governance is improved decision making, not necessarily consensus building, in setting the university's direction. This objective best occurs in an environment that genuinely conveys, explicitly and implicitly, inclusion of all stakeholders by actively seeking, and openly receiving, a broad, diverse set of lived experiences, information, and feedback. By its nature of

encouraging debate and engagement, shared governance can be time consuming. Nonetheless, shared governance promotes legitimacy for stakeholders and increases the likelihood that initiatives are successfully pursued or abandoned. These outcomes ensure the durability of the institution by fostering adoption and support of policies, practices, ideals, and behavior from all constituents.

Shared governance is endemic to university life and is essential to fulfilling Vanderbilt's mission, which is "scholarly research, informed and creative teaching, and service to the community and society at large." (<https://www.vanderbilt.edu/about/mission/>) Shared governance is evolutionary and integrative with the whole. It balances resources, priorities, and constraints with stakeholder recommendations. It recalibrates with environmental, institutional, and regulatory dynamics. It recognizes that significant decision points in an institution's life cycle are unique and, furthermore, that sub-units within the institution are similarly distinct. These organizational units, which may be explicitly or implicitly recognized, may require customized and evolving governance practices.

Communication, foundational to shared governance, is challenging to establish, maintain, and advance. Institutional memory emanates, at least in part, from transparent and complete communication at a particular point in the university's life. Communication is a duty and is best promoted when the pathways of institutional information flow are known and porous. Communication highlights the extent of stakeholder involvement. Moreover, a communication culture encouraging, describing, and preserving the rationale for recommendations implemented, not implemented, and modified is central to fostering trust and value in shared governance. These outcomes highlight the efficacy of shared governance, which is critical to motivating stakeholder participation. Participation in governance is a responsibility of university life.

Primary fulfillment of the institution's mission occurs at the school and university level through faculty responsibility for, and oversight of, the curriculum, scholarship, and faculty hiring and promotion decisions. Beyond these responsibilities, faculty preferences vary regarding areas in which they desire significant and meaningful input. Some faculty view governance as all-encompassing; other faculty ascribe governance with more focused goals. Clarity about the scope of governance requires a partnership among stakeholders. Furthermore, the benefits of governance arise with responsibility for active work, constructive engagement, and collaboration by all parties involved.

II. BENCHMARK REPORT ON SHARED GOVERNANCE AT PEER INSTITUTIONS

This section begins as follows. *First*, we provide brief background on the comparator school identification process and summarize the two models Vanderbilt peer schools use as their primary means of faculty governance. *Second*, we compare Vanderbilt's Faculty Senate with Senates at peer schools. For ease of exposition we refer to all such bodies as "Senates" or "Faculty Senates," although all school peers do not use that terminology. *Third*, we conclude with a summary and considerations for future discussion.

A. Background

We compared Vanderbilt's primary body of faculty governance, the Faculty Senate, with that of the 2018 top 15 national universities according to *US News & World Report* (USN&WR). We refer to these schools as "peers." See Appendix V for details. Per Chapter II, Section D of "Code of By-Laws of The Vanderbilt University," the Faculty Senate is, "...the representative, deliberative, legislative body of the Faculties. It is composed of the Deans of the

colleges and schools, elected members, and ex officio members, including the Chancellor.”²³ Faculty governance is similarly constructed at, most, but not all of, Vanderbilt’s peers. We observed two models of faculty governance, which we call the A&S Model and the University Model.

1. A&S Model

The primary means of faculty governance emanates from a body that is often housed, sometimes exclusively, within the College of Arts and Sciences, but may include a subset of other university schools and their faculty.²⁴ Nonetheless, these bodies appear to exclude faculty in some schools, but also seem to retain purview over policies that may apply to other schools on campus. For example, responding to Harvard’s lack of a school-wide Faculty Senate, Harvard President Drew G. Faust stated in a 2015 interview (emphasis added), “I’ve not heard a drumbeat over the years for [a Faculty Senate] here at Harvard. I think... the [Faculty of Arts and Sciences or FAS] meeting [which the Harvard President chairs] is *regarded by many in FAS as kind of sacrosanct and the place where these interactions happen.*” In describing its model of faculty governance, the Dartmouth website indicates, “Historically, the Arts and Sciences (A&S) faculty, the Board of Trustees, and the President have shared responsibility for identifying a common vision for Dartmouth and for establishing institutional priorities.”²⁵ Yale’s 2015 adoption of a Senate-model of faculty governance appears to be comprised of A&S faculty and primarily focused on the A&S relationship with the “administration,” although it does have an “institutional policies” committee that perhaps addresses issues broader than A&S (see Appendix V). The Yale Senate website states (emphasis added), “The 22 member elected Senate represents faculty from all ranks and divisions within the Faculty of Arts and Science [*sic*] at Yale. 2015-2016 marked the Senate’s inaugural year as the chief representative and voice for the Yale FAS. While many universities have maintained faculty senates for many decades, the FAS Senate is a new contribution to faculty governance at Yale. The Senate was created in order to provide a more organized voice for the FAS faculty, to highlight and investigate issues of FAS concern, and to *foster greater communication between the members of the FAS and the Yale administration.*”²⁶ The Johns Hopkins Academic Council, which from private correspondence with a Johns Hopkins faculty member, The Committee understands to be representative of the broader university, defines its mission as (emphasis added), “The mission of the Academic Council is to preserve and enhance the academic excellence of the *Krieger School of Arts and Sciences and the Whiting School of Engineering.*”²⁷

2. University Model

The primary means of faculty governance derives from a body constituted of the schools and colleges with faculty lines comprising the university. School representation in the Senate body is often determined by an explicit methodology. For example, the University of Chicago and Stanford University use the Hare System of Proportional Representation.

We summarize the peers associated with each category in Table 6. Numbers in parentheses in Table 6 are the USN&WR rank. As discussed in Appendix V, tied schools share ranks.

23 Source: <https://www.vanderbilt.edu/boardoftrust/bylaws/Vanderbilt-BOT-Bylaws04302016.pdf> (accessed October 15, 2017).

24 “Science” is not plural in the College of Arts and Science at Vanderbilt; it is plural in the College of Arts and Sciences at many peers (e.g., Cornell, Dartmouth, Duke, Harvard, Northwestern, Pennsylvania, Yale).

25 Source: <https://faculty.dartmouth.edu/dean/governance-service/faculty-governance-dartmouth> (accessed October 15, 2017).

26 Source: <http://fassenate.yale.edu/about-senate> (accessed October 16, 2017).

27 Source: <http://academiccouncil.jhu.edu/> (accessed October 16, 2017).

Because the A&S Model is different from the University Model, and from the Committee's perspective inferior to it, we exclude the schools using the A&S Model in the discussion and tabular summaries contained in the body of this report. Governance details for all peer schools, regardless of governance model used, are available in Appendix V.

B. Comparisons

In Table 7 we provide a summary for the 12 peer schools using the University Model of faculty governance. We offer the following observations regarding Senate membership requirements in those other universities:

- Four of the twelve schools (one-third) of the Senate bodies are chaired by the President of the university. The remaining schools have a faculty-member serve as presiding officer of the primary faculty governing body.
- All the schools embrace voting models in which tenure track and non-tenure track faculty have voting rights. Some schools allow additional constituencies to vote with Princeton and Columbia having the broadest categories of voting membership.
- Most Senate bodies have the senior administrators serve in an ex-officio non-voting capacity, although senior administrators do vote at Brown, Columbia, Cornell, and Princeton. At the University of Chicago, the President votes to break ties.
- Princeton and Columbia include alumni and student categories as voting members in their Senates. Brown and Cornell allow some emeritus faculty to be voting members.

In Table 8 we provide information on standing committees at peers that are not also standing committees on the Vanderbilt Faculty Senate. The rationale is to highlight areas of Senate oversight represented in other schools on their Senate bodies. We make the following observations for committees represented by three or more of the twelve peer schools.

- Three schools have standing Senate committees tasked directly with issues related to “governance:” Princeton, Pennsylvania, and Northwestern.
- Five schools have standing Senate committees with at least visibility into university budgetary matters: Princeton, Columbia, Northwestern, Brown, and Cornell.
- Four schools have standing Senate committees tasked with faculty salary matters: Pennsylvania, Duke, Northwestern, and Cornell.
- Four schools have standing Senate committees tasked with conduct or deportment-related issues of employees and/or students. These committees, based on their charges, focus on revisions to rules of conduct or deportment and means of enforcing those rules. These committees appear to lack enforcement power. Rather, their work products are recommendations for rule changes, or punishments associated with rule violations, that are made to committees that have the authority and enforcement power with respect to those rules: Princeton, Columbia, MIT, and Pennsylvania.
- Three schools have standing Senate committees involved with the library system: Columbia, MIT, and Cornell.
- Examples of standing committees that only one peer school had included: the Music Committee (Cornell), ROTC Relationships Committee (Cornell), the Promotion and Tenure Review Committee at Rice having its membership nominated and voted upon by the Senate, Social Responsibility (Northwestern), Research Officers (Columbia), and an Advisory Board to advise the President of the university (Stanford).

In Table 9 we provide information on the decision-making authority of the Senate bodies. We offer the following observations.

- Duties and powers for most Senate bodies at peers appear to be largely advisory. The opportunity to effect change appears to be mostly predicated on the body's ability to exercise influence with, and bring matters to the attention of, senior administrators. This feature is similar to the Vanderbilt Faculty Senate model.
- Several Senate-level bodies have the ability to resolve jurisdictional issues in cases in which the governing body is ambiguous.
- Many Senate-level bodies contain provisions that, in the case of disagreement between the President of the university and the Senate, involve the Board of Trust to resolve disputes. This feature is present at Vanderbilt and serves the important function of elevating any such disputes to a university's highest governing body.
- Similar to the Vanderbilt Faculty Senate, many Senate-level bodies also oversee the faculty grievance process and academic freedom of expression.

Appendix IV. COACHE Shared Governance Survey Questions

COACHE shared governance survey questions considered in the Committee’s report:

I. OVERALL (1 QUESTION)

Q187B. On the whole, rate the effectiveness or ineffectiveness of the shared governance system at your institution.

- Very effective 5
- Somewhat effective 4
- Neither effective nor ineffective 3
- Somewhat ineffective 2
- Very ineffective 1
- I don’t know 97
- Decline to answer..... 98
- Not applicable 99

II. DIRECT (5 QUESTIONS)

Q188. Please rate your level of agreement or disagreement with the following:

A. The existing faculty governance structures offer sufficient opportunities for me to provide input on institution-wide policies

- Strongly agree..... 5
- Somewhat agree 4
- Neither agree nor disagree..... 3
- Somewhat disagree 2
- Strongly disagree..... 1
- Decline to answer..... 98
- Not applicable 99

Q188. Please rate your level of agreement or disagreement with the following:

B. I understand the process by which I can express my opinions about institutional policies

- Strongly agree..... 5
- Somewhat agree 4
- Neither agree nor disagree..... 3
- Somewhat disagree 2
- Strongly disagree..... 1
- Decline to answer..... 98
- Not applicable 99

Q189A. How often do you experience the following?

A. The governance committees on which I currently serve make observable progress toward goals.

Frequently.....	5
Regularly.....	4
Occasionally	3
Seldom.....	2
Never.....	1
I don't know	97
Decline to answer.....	98

Q189A. How often do you experience the following?

E. Senior administrators ensure that there is sufficient time for faculty to provide input on important decisions.

Frequently.....	5
Regularly.....	4
Occasionally	3
Seldom.....	2
Never.....	1
I don't know	97
Decline to answer.....	98

Q189A. How often do you experience the following?

F. Once an important decision is made, senior administrators communicate their rationale (e.g., data used for decision, weight of faculty input, etc.).

Frequently.....	5
Regularly.....	4
Occasionally	3
Seldom.....	2
Never.....	1
I don't know	97
Decline to answer.....	98

III. REPRESENTATIVE (8 QUESTIONS)

Q189B. How often do faculty leaders and senior administrators...

A. Have equal say in governance matters.

- Frequently..... 5
- Regularly..... 4
- Occasionally 3
- Seldom..... 2
- Never..... 1
- I don't know 97
- Decline to answer..... 98

Q189B. How often do faculty leaders and senior administrators...

B. Engage each other in defining decision criteria used to evaluate options.

- Frequently..... 5
- Regularly..... 4
- Occasionally 3
- Seldom..... 2
- Never..... 1
- I don't know 97
- Decline to answer..... 98

Q189B. How often do faculty leaders and senior administrators...

C. Respectfully consider one another's views before making important decisions.

- Frequently..... 5
- Regularly..... 4
- Occasionally 3
- Seldom..... 2
- Never..... 1
- I don't know 97
- Decline to answer..... 98

Q189B. How often do faculty leaders and senior administrators...

D. Follow agreed-upon rules of engagement when there are disagreements.

Frequently.....	5
Regularly.....	4
Occasionally	3
Seldom.....	2
Never.....	1
I don't know	97
Decline to answer.....	98

Q189B. How often do faculty leaders and senior administrators...

E. Have an open system of communication for making decisions.

Frequently.....	5
Regularly.....	4
Occasionally	3
Seldom.....	2
Never.....	1
I don't know	97
Decline to answer.....	98

Q189B. How often do faculty leaders and senior administrators...

F. Share a sense of responsibility for the welfare of the institution.

Frequently.....	5
Regularly.....	4
Occasionally	3
Seldom.....	2
Never.....	1
I don't know	97
Decline to answer.....	98

Q189B. How often do faculty leaders and senior administrators...

G. Discuss difficult issues in good faith.

Frequently.....	5
Regularly.....	4
Occasionally	3
Seldom.....	2
Never.....	1
I don't know	97
Decline to answer.....	98

Q189A. How often do you experience the following?

D. Important institutional decisions are not made until consensus among faculty leaders and senior administrators is achieved.

Frequently.....	5
Regularly.....	4
Occasionally	3
Seldom.....	2
Never.....	1
I don't know	97
Decline to answer.....	98

IV. UNUSUAL SITUATIONS (1 QUESTION)

Q188. Please rate your level of agreement or disagreement with the following:

D. My institution's shared governance model holds up under unusual situations

Strongly agree.....	5
Somewhat agree	4
Neither agree nor disagree.....	3
Somewhat disagree	2
Strongly disagree.....	1
Decline to answer.....	98
Not applicable	99

Appendix V: Peer Comparisons²⁸

PEER SCHOOL SELECTION PROCESS:

We use the 2018 *U.S. News & World Report* (USN&WR) top 15 national universities as the peer comparison group. USN&WR defines national universities as those that offer a significant range of undergraduate, master's, and PhD degrees. This list was released on Tuesday, September 19, 2017. Because of tied rankings the “top 15” includes 17 schools ranked 14 or higher.

We excluded 10th-ranked California Institute of Technology (“Cal Tech”) from the comparison list because its focus is primarily STEM, although it has a small liberal arts school. Also, the Staff: Faculty and Student: Staff ratios for Cal Tech, ~10.5 to 1 and ~0.6 to 1 are quite different from Vanderbilt (~3.0 to 1 in both cases) and the other comparison schools. Also, Cal Tech’s financial drivers, with over two-thirds of its revenue derived from a government contract with its Jet Propulsion Lab, is quite different from Vanderbilt’s financial drivers and the other peers.

We kept the comparison set to the “top 15” universities, rather than the top 20, 25, or 30 to ease the labor-intensive data collection process. Moreover, Vanderbilt generally compares itself to private universities. Once the list is expanded beyond the top 20 there are public schools in the comparison set. The University of California-Berkeley and the University of California-Los Angeles are tied at 21. Expanding the list to the top 30 admits the following public universities: University of Virginia (ranked 25), University of Michigan (ranked 28) and University of North Carolina-Chapel Hill (ranked 30). Thus, for purposes of our benchmark comparisons, the “top 15” schools, including Vanderbilt, are the 16 universities below.

Peer School Governance Comparison Set

USN&WR Rank	National University
1	Princeton University
2	Harvard University
3	University of Chicago
3	Yale University
5	Columbia University
5	Massachusetts Institute of Technology
5	Stanford University
8	University of Pennsylvania
9 ²⁹	Duke University
11	Dartmouth University
11	Johns Hopkins University
11	Northwestern University
14	Brown University
14	Cornell University
14	Rice University
14 ³⁰	Vanderbilt University

²⁸ All URLs referenced in this appendix were active as of April 27, 2018.

²⁹ 10th ranked California Institute of Technology excluded.

³⁰ Due to tied universities 18th ranked University of Notre Dame follows Vanderbilt.

Information collection:

We searched each comparison school’s website for references to “faculty senate,” “senate,” “academic council,” “faculty council,” “governance,” and “shared governance.” We also searched *The Chronicle of Higher Education* for articles on comparison school that were governance-related.

The text was collected and curated from publicly available university websites and publicly accessible university governing documents such as faculty handbooks, faculty manuals, committee constitutions, and committee bylaws. All sources are noted in the text and accompanied by universal resource locators (URLs).

Information presentation:

We provide an overview of each comparison school’s primary faculty governance mechanisms. We list Vanderbilt first and then discuss the other peer schools in the order of their rank in the 2018 *U.S. News & World Report*. Each summary follows a standard format. We provide a brief summary of the primary governance body attributes. We define “primary governance body” as that group that appears to be the chief mechanism for faculty engagement with university-level feedback and decision-making. We then provide background and a summary of duties and responsibilities for the primary governance body followed by a description of its standing committees.

Two important caveats are in order. *First*, we intentionally define a school’s primary governance body as “*appearing* to be the chief mechanism for faculty involvement in university-level governance.” There is judgment involved in deciphering school websites, manuals, handbooks, bylaws, and constitutions. *Second*, in some cases of local complexity (for example, who constitute “voting faculty” at Brown) we have strived to capture the spirit of the categorization, rather than being consumed by details that, while important locally for a university, are not on point for the Committee’s purposes of benchmarking. Again, all source documents are referenced in the text.

VANDERBILT UNIVERSITY (USN&WR RANK 14)

Primary Governance Body: Faculty Senate³¹

Represents University at Large: Yes.

Members Elected: Yes.

Member Terms: 3 years with staggered terms.

Member Categories: Tenured and tenure-track faculty (voting), Non-tenure track faculty (voting), Senior Administrators and Guests (non-voting).

Decision Rights: Advisory.

Presiding Officer: Chair, who is a tenured or non-tenured faculty member.

Standing Committees: Executive Committee, Academic Policies and Services, Diversity, Equity, and Inclusion, Faculty Life, Faculty Manual, Grievances, Senate Affairs, Strategic Planning and Academic Freedom, Student Life.

Website: <https://www.vanderbilt.edu/facultysenate/>

³¹ Sources used in addition to the website noted in the school summary text: “Faculty Senate Constitution” (<https://www.vanderbilt.edu/facultysenate/constitution-documents/geninfo-constitution.php>), “The Faculty Assembly and Faculty Senate” in the “Code of By-Laws of The Vanderbilt University” (<http://www.vanderbilt.edu/boardoftrust/bylaws/Vanderbilt-BOT-Bylaws04302016.pdf#page=10>).

Background:

The Senate consists of 60 elected faculty Senators from the 9 schools and colleges. The Senate may establish such committees and subcommittees as it chooses to aid in the performance of its duties, and may invite persons not members of the Senate to serve on these committees and subcommittees. Non-voting ex officio members of the Senate include: the Chancellor, the Provost, the Vice Chancellors, and other administrative officers that the Senate may invite. The Senate is advisory.

Duties and Responsibilities:

1. The Senate is the representative, deliberative, legislative body of the Faculties.
2. The Senate may discuss and express its views about any matter affecting the university.
3. The Senate shall have the power to review and evaluate the educational policies and practices of the university and may make recommendations concerning them to any individual, Faculty, or other group within the university. It may provide for appropriate Faculty discussion of any educational policy or practice. It may advise and consult with the chief administrative officers and inform them of Faculty opinions about such matters. It shall facilitate and encourage communication within the university, among the several Schools, and reciprocally among Faculty, students, and administration. It is each Faculty's responsibility to devise internal procedures for facilitating communication between that Faculty and its representatives in the Senate.
4. The Senate shall act in a consultative capacity when the establishment of new schools or colleges is considered or when new degrees are proposed. Its approval is necessary for the granting of honorary degrees.
5. The Senate is responsible for defining policies and procedures to be applied in cases involving conscience or academic freedom.
6. Senate actions which require affirmative implementation by the Chancellor shall be either accepted or rejected. In case of rejection, the Chancellor shall then promptly submit to the Senate, in writing, a statement of the action and the reasons therefore, and the Chancellor shall report the action to the Board at its next regular meeting together with any pertinent statement submitted by the Senate.

Standing Committees:

- The Executive Committee. Consists of the Chair, the Vice Chair, the Chair-elect and the Vice Chair-elect, and, from the time of their election until July first following, the persons elected to become the next Chair-elect and Vice Chair-elect. The immediate past chair and vice chair will serve as ex officio members of the committee for one year following their term. Has liaison member to each of the standing committees.
- Academic Policies and Services. To be concerned with new schools, new programs and new degrees. To consider policies regarding academic honors, leaves, grants, promotions, departmental and divisional chairmanships, programs abroad, the academic calendar, career planning and placement, Vanderbilt University Library, Information Services, the bookstore, and the University Press.
- Diversity, Equity, and Inclusion. New committee to 2017-18 academic year. Charge is under development (per Senate website as of October 7, 2017).

- Faculty Life. To be concerned with policies relating to wages and salaries, fringe benefits, management of investments, employment of non-academic personnel, faculty intellectual property including copyrights and patents, buildings and grounds, space, campus communications, traffic, parking, food services, and campus security.
- Faculty Manual. To be concerned with all changes and proposed changes to the Faculty Manual and changes in other university policies that have a direct bearing on the Faculty Manual. To be concerned with compliance and regulatory changes from federal/state agencies and other regulatory bodies that require revisions to the Manual. To be concerned with policy issues arising within the Colleges and Schools at Vanderbilt that require clarification of the Manual, especially where congruence between the Schools and university is concerned. To ensure that any changes to the Manual are clearly identified, communicated, and archived annually.
- Grievances. To be concerned with grievances arising under Part IV, Chapter 2, Section B of the Faculty Manual (those that arise from issues other than reappointment, tenure, and promotion).
- Senate Affairs. To be concerned with all matters pertaining to the functioning of the Senate. Responsible for a continuing review of the Rules of the Faculty Senate, recommending new rules when appropriate, and assisting in the interpretation of existing rules. Considers proposed revisions of the Constitution of the Faculty Assembly and Faculty Senate when this duty is assigned by the Senate.
- Strategic Planning and Academic Freedom. To be concerned with long-term strategic planning and governance issues of the university. To be concerned with policy regarding professional ethics, conscience, and academic freedom under Article II, Section 3e of the Senate Constitution.
- Student Life. To be concerned with policies relating to student matters including residential colleges, rules and discipline, future composition of the student body, fraternities and sororities, intercollegiate athletics and club sports, intramurals, the Honor System, faculty-student relations, religious affairs, and the student health service.

PRINCETON UNIVERSITY (USN&WR RANK 1)

Primary Body: Council of the Princeton University Community (CPUC)³²

Represents University at Large: Yes.

Members Elected: Yes. Twice as many nominees as needed are presented by the Committee on Appointments and Advancements of the Faculty; nominations accepted from floor; Faculty votes on final slate of nominees.

Member Terms: 3 years with staggered terms.

Member Categories: All categories are voting: Faculty, Graduate Students, Undergraduate Students, Administration/Staff, Alumni.

Decision Rights: Advisory.

Presiding Officer: President of Princeton University.

Standing Committees: The Executive Committee, The Committee on Rights and Rules, The Committee on Governance, The Committee on Priorities, The Committee on Resources, and The Judicial Committee.

Website: <https://www.princeton.edu/vpsec/cpuc/>

³² Source used in addition to the website noted in the school summary text: "Charter of the Council of the Princeton University Community" (<https://www.princeton.edu/vpsec/cpuc/CHARTER-5-13.pdf>).

Background:

In May 1969, a Special Committee on the Structure of the university proposed the establishment of a Council of the Princeton University Community as “a permanent conference of the representatives of all major groups of the university” where “they could each raise problems that concern them and ... be exposed to each other’s views.” Meetings occur usually 6 times a year. According to the CPUC charter (updated May 2013), “The membership of the Council of the Princeton University Community shall consist of: the President of the University, the Provost, and four of the following officers, as appointed to the Council each year by the President: the Financial Vice President, the Treasurer, the Secretary of the University, the General Counsel, the Dean of the Faculty, the Dean of the Graduate School, the Dean of the College, and the Dean of Student Life; fifteen members of the Faculty, among whom each division must be represented by at least two members and the nontenured Faculty by at least four members; twelve undergraduate students, among whom shall be the President and the Vice President of the Undergraduate Student Government; seven graduate students, among whom each division must be represented by at least one member; four alumni of the university; one member each from among the Professional Library Staff, the Administrative Staff, the Professional Research Staff, the Professional Technical Staff, and the Office Staff; and two members from the staff of the university who hold none of the offices and are members of none of the groups so far indicated.”

Duties and Responsibilities:

1. Consider and investigate any question of university policy, any aspect of the governing of the university, and any general issue related to the welfare of the university;
2. Make recommendations regarding any such matters to the appropriate decision-making bodies of the university or to the appropriate officers of the university;
3. Make rules regarding the conduct of resident members of the university community, which rules shall be binding on them; but the Council may delegate authority to make rules, and, with respect to matters mainly of concern to a particular group within the university community, the authority to make rules shall normally be delegated to a body representing that group or shall be exercised in a manner otherwise acceptable to the members of that group;
4. Oversee the making and the applying of rules regarding the conduct of resident members of the university community, whether such rules shall have been made by other bodies within the resident university community, or by the Council itself, or by officers of the university; such oversight shall be exercised for the purpose of ensuring that such rules protect the rights of individuals and the legitimate interests of the university, and that they are clear in meaning, fair, enforceable, and in conformity with the law;
5. Adopt such bylaws and rules of procedure as are necessary or convenient for the exercise of its authority.

Standing Committees:

- The Executive Committee of the Council. Consists of fourteen members, who shall include the President of the university; six members of the Faculty; the President of the Undergraduate Student Government and two other undergraduate students; two graduate students; one staff representative; and one alumni representative. The Provost shall normally meet with the Executive Committee, and, when representing the President of the university, shall have the vote.
- The Committee on Rights and Rules. Consider and investigates the adequacy of all rules regarding the conduct of resident members of the university community, and the adequacy of the procedures for making and

applying such rules. At least once annually and more often if so requested by the Council or by its Executive Committee, the Committee shall report its findings with respect to these matters to the Council, together with any proposals it may have for changes in such rules or in the procedures for making or applying them.

- The Committee on Governance. Considers and investigates questions relating to the governing of the university, and, at least once annually and more often if so requested by the Council or by its Executive Committee, it shall report its activities, submitting to the Council any proposals it may have with respect to the governing of the university. The Committee on Governance membership consists of the President of the university, three members of the Faculty, two undergraduate students, one graduate student, and one member from one of the other groups represented on the Council.
- The Committee on Priorities. Reviews the current budget as early in the academic year as may be practicable. It shall also consider issues that have arisen in the course of the preparation of the budget and shall review plans for the development of the university in advance of any final decisions with respect to such plans. The Committee on Priorities may advise the President with respect to all these matters and shall from time to time report to the Council on the issues before it.
- The Committee on Resources. Considers, on behalf of the Council, questions of general policy concerning the procurement and management of the university's financial resources, and, at least once annually and more often if so requested by the Council or by its Executive Committee, shall report its activities to the Council, submitting any proposals it may have for changes in the general policies of the university with respect to the procurement and management of financial resources.
- The Judicial Committee. Hears and decides, in the first instance or on referral by another judicial body of the university, cases that involve alleged violations of those established rules and regulations of conduct that apply, in at least substantially the same form, to all resident members of the university community and whose violation constitutes a serious infringement of the recognized rights of members of the university community, a serious offense against the university's mission, a threat to the ability of the university to carry on its essential operations, or a substantial impairment of the common and legitimate interests of the university community. The Judicial Committee may also decide to hear appeals from persons found guilty of violating established rules and regulations, when it has been alleged by such persons that the proceedings against them have not been fair and reasonable.

HARVARD UNIVERSITY (USN&WR RANK 2)

Primary Body: No Senate, there is the Faculty of Arts & Sciences (FAS)³³

Represents University at Large: No. Faculty of Arts & Sciences, which is Harvard's largest division. FAS comprises Harvard College and the Graduate School of Arts and Sciences, the School of Engineering and Applied Sciences, and the Division of Continuing Education, as well as campus resources, such as the libraries, museums, and athletics.

Members Elected: No. Dean recommends membership of governing committees and faculty votes.

Member Terms: 1 year.

Member Categories: Faculty, Administrators. Categories presumably vote, but unclear based on the documents the committee reviewed.

Decision Rights: Advisory Committees in FAS.

³³ Source used in addition to the website noted in the school summary text: "Charter of the Council of the Princeton University Community" (<https://www.princeton.edu/vpsec/cpuc/CHARTER-5-13.pdf>) and <https://wiki.harvard.edu/confluence/display/secfas/Standing+Committees>.

Presiding Officer of FAS: President of Harvard University.

Standing Committees: Academic Planning Group and Dean's Faculty Resources Committee.

Website: <https://www.fas.harvard.edu/pages/about>

Background:

Harvard President Drew G. Faust stated in a 2015 interview, "I don't personally think that it's [a Faculty Senate] particularly well-suited for Harvard because so many decisions are made at the school level and our structures have always organized themselves around that," Faust said. "I've not heard a drumbeat over the years for such a move here at Harvard. I think... the [Faculty of Arts and Sciences] meeting is regarded by many in FAS as kind of sacrosanct and the place where these interactions happen." Faust was responding directly to an op-ed published the week before her interview in the *Chronicle of Higher Education* by Law School professors Charles Fried and Robert H. Mnookin, who argued that Harvard's central administration and "bureaucracy" had grown extensively. "And the results have not always been good," it read. The authors also suggested that observers should not assume that the FAS, whose monthly meetings are chaired by Faust, speaks for the whole university.³⁴

Standing Committees:

- Academic Planning Group is the senior academic and administrative advisory team. Consists of approximately 10 members, all of whom appear to be deans.
- Dean's Faculty Resources Committee Advises the FAS Dean on emerging academic and fundraising priorities and on proposed financial policies. Largely comprised of faculty without dean titles.

UNIVERSITY OF CHICAGO (USN&WR RANK 3)

Primary Body: The Council of the University Senate³⁵

Represents University at Large: Yes.

Members Elected: Yes.

Member Terms: 3 years with staggered terms.

Member Categories: Tenured and tenure-track faculty (voting members), President and Provost are non-voting, but President votes to break ties.

Decision Rights: All legislative powers except those reserved for President, Board of Trust, or other Ruling Bodies.

Presiding Officer: President of the University of Chicago.

Standing Committee: The Committee of the Council.

Website: <https://sof.uchicago.edu/page/council-university-senate>

³⁴ "Faust Defends Harvard's Governance Structure," by Theodore R. Delwiche and Mariel A. Klein in *The Harvard Crimson*, March 31, 2015. Source used in addition to the website noted in the school summary text is "Standing Committees" located at: <https://www.fas.harvard.edu/advisory-committees>.

³⁵ Source used in addition to the website noted in the school summary text: "Restated Articles of Incorporation of The University of Chicago" <http://trustees.uchicago.edu/sites/trustees.uchicago.edu/files/uploads/docs/UniversityOfChicagoGoverningDocuments.pdf>

Background:

The University Senate consists of Professors, Associate Professors, Assistant Professors who have completed one year's full-time service on academic appointment at whatever rank, the President, the Provost, and the Vice Presidents. The Council of the University Senate consists of a total of 51 elected members chosen by the University Senate [essentially, the tenure-track faculty] from the membership of the University Senate [essentially all tenure-track faculty], according to the Hare System of Proportional Representation. Terms of service are three years, with 17 new Council members elected each spring. The President and Provost serve as ex officio members of the Council, without a vote. The President is the presiding officer of the Council.

Duties and Responsibilities:

1. The Council shall be the supreme academic body of the university, having all legislative powers except concerning those matters reserved to the Board of Trustees, the Office of the President, or the other Ruling Bodies. In particular, it shall have such jurisdiction over (1) matters affecting more than one Ruling Body, and (2) any action of any Ruling Body which substantially affects the general interest of the university. Questions of jurisdiction between the President and the Council shall be decided by the Board of Trustees. Questions of jurisdiction between the Council and other Ruling Bodies shall be decided by the President. The competence of the Council shall extend to the Institutes, the Laboratory Schools, and other educational and research organizations of the university not defined as Ruling Bodies and not subordinate to a Ruling Body in the same way that competence applies to the Ruling Bodies.
2. Actions of Ruling Bodies within the jurisdiction of the Council shall be referred to the Council, through the Committee of the Council, at the first Council meeting following the action, and shall not be effective until that meeting of the Council. At such meeting the Council may approve or disapprove such action, or direct that such action be stayed until further order of the Council.
3. The Council shall act by vote of the majority (but not less than twenty) of the members in attendance.
4. The President, the Provost, or any member of the Council may initiate legislation in the Council. Any Ruling Body may lay before the Council action of any other Ruling Body which it desires the Council to consider.
5. Consistent with the powers reserved to the Board of Trustees, the Office of the President, and other Ruling Bodies, the Council of the University Senate shall formulate those rules that relate to student conduct prohibited by §21. The Council of the University Senate shall formulate the procedures that will enforce those regulations and shall provide for hearings where there are charges of violations of those regulations. The Council of the University Senate may also establish mechanisms for the formulation and administration of additional rules and regulations for student conduct prohibited by §21.
6. The President shall not give effect to proposals on matters within the jurisdiction of the Council without the approval of the Council, but the President may submit the action of the Council to the Board of Trustees. Any action so referred to the Board of Trustees shall be accompanied by such report or reports as the interested parties may prepare and transmit to the Board of Trustees through the President. The interested parties may, at their request, meet with the appropriate committee of the Board of Trustees. The decision of the Board of Trustees shall be final.
7. Either the President, the Provost, or the Council may make recommendations to any Ruling Body concerning matters within the jurisdiction of the latter.

8. The President may within a reasonable time before the next regular meeting of the Council disapprove any action of the Council (including action disapproving the action of a Ruling Body), and upon such disapproval the action shall be reconsidered by the Council before becoming effective. Approval by the Council of such action upon reconsideration shall constitute reference of the action to the Board of Trustees. The decision of the Board of Trustees shall be final. Any action so referred to the Board of Trustees shall be accompanied by such report or reports as the interested parties may prepare and transmit to the Board of Trustees through the President. The interested parties may, at their request, meet with the appropriate committee of the Board of Trustees.
9. The President or the Council may invite any person not a member of the Council to attend a meeting of the Council, with the right to speak, but not to vote.

Standing Committee:

- The Committee of the Council. Consists of seven members of the Council chosen annually by the Council by the Hare System of Proportional Representation. Deans shall not be eligible for election to the Committee. Members of the Committee shall be eligible for re-election provided they are members of the Council. The President and the Provost of the university shall be members of the Committee, without vote, and shall be Chairman and Vice-Chairman, respectively. Vacancies in the elected membership shall be filled as provided by the Council. The Committee shall elect a spokesperson who shall be the channel of communication between the Committee and the Council. The Committee may concern itself with all matters of educational policy within the jurisdiction of the Council. All matters to be presented to the Council for action shall first be laid before the Committee, which shall report its opinion upon them to the Council through its spokesperson. At the Committee's request it may meet with the appropriate committee of the Board of Trustees. The Committee shall meet every two weeks during the Autumn, Winter, and Spring Quarters, or oftener at the call of the President or of such proportion of its membership as it shall determine. The President shall keep the Committee informed as far as practicable on all matters of general university interest. Subcommittees of the Committee of the Council shall be appointed by the President in consultation with the spokesperson.

YALE UNIVERSITY (USN&WR RANK 3)

Primary Body: FAS Senate³⁶

Represents University at Large: No, the Senate represents the Faculty of Arts & Sciences (FAS).

Members Elected: Yes.

Member Terms: 2 years, terms appear to be staggered as elections are held each spring.

Member Categories: All tenured and tenure-track faculty (voting), full-time adjuncts of all ranks (voting), full-time senior lecturers and senior lecturers (voting), full-time lecturers and lecturers with appointments of more than one, full-time FAS research scientists and senior research scientists who hold multi-year teaching appointments as lecturer or senior lecturer (voting). The President, Provost, Deans of the FAS, Yale College, The Graduate School of Arts and Sciences, and the School of Engineering and Applied Science may attend as ex-officio, non-voting members.

Decision Rights: Advisory.

Presiding Officer: Chair of Executive Council, a (generally, tenured) faculty member.³⁷

³⁶ Source used in addition to the website noted in the school summary text: "By-laws Senate of the Faculty of Arts and Sciences Yale University" <http://fas-senate.yale.edu/sites/default/files/files/Founding%20Docs/FASS-bylaws-Fall16-Final%5B1%5D%20copy.pdf>.

³⁷ Because 6 of the 7 members of the Executive Council must be tenured it is likely its Chair will be tenured.

Standing Committees: Executive Council, Committee on Yale Committees, Elections Committee, Nominations Committee, Faculty Advancement Committee, Peer Advisory Committee.

Website: <http://fassenate.yale.edu/>

Background:

The 22 member elected Senate represents faculty from all ranks and divisions within the Faculty of Arts and Science at Yale. 2015-2016 marked the Senate's inaugural year as the chief representative and voice for the Yale FAS. The president, provost, and deans of the FAS, Yale College, the Graduate School of Arts and Sciences and the School of Engineering and Applied Science may attend as ex officio non-voting members of the FAS Senate.

At each monthly meeting, the Senate reserves up to five speaking slots for members of the Faculty of Arts and Sciences. Faculty members who wish to address the Senate may speak on any issue, whether or not that issue is on the Senate agenda. Speaking slots are two minutes each. Faculty speakers may submit longer written remarks to be appended to the Senate minutes and included on the Senate web site for public review. Speaking slots are available on a first-requested, first-served basis. Ideally faculty members will email the Senate with a request at least one week in advance of Senate meetings.

Duties and Responsibilities:

The Senate was created in order to provide a more organized voice for the FAS faculty, to highlight and investigate issues of FAS concern, and to foster greater communication between the members of the FAS and the Yale administration. The FAS senate speaks only for the FAS, not for Yale's other schools, though the FAS Senate may consider university policies to the extent that they affect FAS members.

Standing Committees:

- Executive Council. The executive council calls meetings, determines the agenda of the FAS Senate, appoints committees to assist with the FASS's work, and organizes elections in consultation with the elections and nominations committee. The executive council serves as liaison to the administration, and has the power to act on behalf of the Senate in matters arising between meetings. It also acts as the Senate's by-laws committee, examining and reviewing Senate rules, procedures, and by-laws at least once per year, and recommending changes to the full Senate. The executive council meets approximately once per month, roughly two weeks in advance of Senate meetings, though may meet more often or at other times as necessary. The executive council includes seven members of the FASS, six of whom are tenured faculty members (two from each of the three divisions) and one of whom is an untenured or non-ladder faculty member. Terms are for one year and an EC member is eligible to serve up to four terms consecutively.
- Committee on Yale Committees. This committee will consult with the administration to help identify potential FAS faculty to serve on committees with the aim of ensuring that FAS members appointed to FAS-relevant committees by the provost and deans are broadly representative of the FAS faculty, for example in the case of newly arrived faculty who may not yet be widely known on campus. This committee will also consult with the administration to help select the FAS faculty representatives to the Faculty Resource Committee, the Committee on the Economic Status of the Faculty, and other key FAS committees.
- Governance and Institutional Policy Committee. The Committee on Governance and Institutional Policy has two primary tasks. The first is to evaluate the recent changes in the governance of the FAS and the university in

order to inform the FAS Senate about alternative organizational structures and budget processes. The second is to review the status of faculty rights and responsibilities as shall come to the attention of the Executive Council of the FASS where those issues do not fit into the purview of other FASS committees.

- Budget Committee. This committee will analyze the trends and structure of the FAS budget as well as its context in the larger university operating and capital budgets and finances. Among topics that the committee may examine are the structure of the new FAS budgeting system, the economic status of the faculty, the disposition of endowment spending, trends in spending in the FAS and other units in the university, and the sources and uses of capital spending. It is expected that the committee will meet with and base its work on exchanges with the offices of the FAS Dean, the Provost, the Vice President for Finance and Budget, and the Corporation Committee on Budget and Finance. The committee will also meet with the Committee on the Economic Status of the Faculty to learn of that committee's current and recent activities and findings as well as the disposition of those findings.
- Nominations and University Committees Committee. This committee will oversee the annual elections of the senate and the internal election of its leadership, as well as periodically make recommendations to the FASS that it approve changes to the divisional representation and size of the body AND election procedures, if required. After the initial term of the FASS, the expectation is that members of this committee be in their final term, to avoid any possible conflict of interest." The committee also keeps track of senators' attendance, leave schedules, and other electoral concerns. This committee, when appropriate, can form an external committee that can oversee the counting of ballots. This committee combines the functions of two separate committees ("elections" and "nominations") outlined in the Senate implementation report.
- Faculty Advancement Committee. The goal of this committee is to produce a report analyzing the current state of FAS support and development, and provide recommendations for ensuring the continued excellence and productivity of the Yale FAS. This fall, the committee will invite FAS faculty participation in a survey designed to assess the current state of FAS support and development. The results will help inform the committee's report and recommendations.
- Peer Advisory Committee. The Peer Advisory Committee will be an impartial, independent service committee designed to uphold fair practices in FAS, promote transparency, and contribute to the welfare of the faculty. The Advisory Committee's role will be twofold: 1) to meet with faculty who have questions or suggestions about FAS processes or have concerns about institutional matters relating to FAS, or who would like to propose new initiatives. In such cases, the Advisory Committee will help faculty gain access to relevant information about university policies and/or to bring matters before the Senate; 2) to provide neutral and confidential advice to faculty who have specific or personal concerns about any aspect of their work in FAS and who would prefer to speak to a neutral member of faculty outside their department, or outside the administration. Additionally, faculty might have recourse to the Peer Advisory Committee if they have exhausted other channels and feel that their concerns have not been addressed satisfactorily. The scope and nature of the committee's response to specific issues will be determined by deliberations among its members, who will bring significant matters of policy before the full Senate where appropriate. It should be emphasized that the advisory committee operates independently of all FAS departments and the administration. Moreover, it has no official mandate and can only offer discreet and impartial advice and support. It is not intended to duplicate or replace existing mechanisms for resolving grievances at Yale. Instead it is intended to be an additional source of peer support for FAS faculty. Members of the Advisory Committee will observe strict confidentiality and will not disclose information without the express permission of the faculty member concerned.

- Diversity Committee. At the November 19th and December 17th meetings of the Faculty Senate in 2015, senators expressed broad support for Senate involvement in tackling challenges to diversity and inclusion in FAS. Senators noted that successive initiatives to diversify the faculty and academic culture at Yale have gained ground and then floundered, and advocated an informed and deliberate response to these challenges so as to avoid duplicating part efforts. This ad hoc committee will consult widely to produce a report on the state of inclusion and diversity in FAS, as well as a set of detailed recommendations for improvement. The committee will aim to complete its work by the end of Spring 2016 and to present a final report to the Senate in May (with a draft report and recommendations to be presented in April).

COLUMBIA UNIVERSITY (USN&WR RANK 5)

Primary Body: University Senate³⁸

Represents University at Large: Yes.

Members Elected: Yes.

Member Terms: 2 years with staggered terms.

Member Categories: The Senate has 108 voting seats, with 63 reserved for tenure-track and non-tenured faculty, 24 for students, 6 for officers of research, 2 each for administrative staff, librarians, and alumni, and 9 for senior administrators including the president.

Decision Rights: Unless Trustee concurrence required, Senate acts are final upon passage. Scope of actual authority, however, is unclear.

Presiding Officer: President of Columbia University.

Standing Committees: Executive Committee, Alumni Relations, Budget Review, Campus Planning and Physical Development of the University, Education, External Relations and Research Policy, Faculty Affairs, Academic Freedom, and Tenure, Honors and Prizes, Housing Policy, Information and Communications Technology, Libraries and Digital Resources, Research Officers, Rules of University Conduct, Senate Structure and Operations, Student Affairs Committee, Commission on the Status of Women, Commission on Elections, Commission on Diversity.

Website: <http://senate.columbia.edu/>

Background:

The University Senate was established by the Trustees after a university-wide referendum in 1969. It succeeded to the powers of the University Council, which was created in 1890 as a body of faculty, deans, and other administrators to regulate inter-Faculty affairs and consider issues of university-wide concern. The University Senate has 107 members drawn from all constituencies of the university, including the President of the University, the Provost, the Deans of Columbia College and the Graduate School of Arts and Sciences, all who serve ex officio, and five additional representatives, appointed by the President, from the university's administration. Subject to the reserve power of the Trustees, the University Senate shall be a policy-making body which may consider all matters of university-wide concern, all matters affecting more than one faculty or school, and all matters pertaining to the implementation and execution of agreements with the other educational institutions that are or may become affiliated with Columbia University.

³⁸ Sources used in addition to the website noted in the school summary text: "The By-Laws, Statutes, and Rules of the Columbia University Senate" (http://senate.columbia.edu/topbar_pages/defining_docs/senate_bylaws_20100402.pdf) and "An Introduction to the University Senate" (http://senate.columbia.edu/topbar_pages/defining_docs/bylawsetc.html).

Duties and Responsibilities:

1. To report to the Trustees its opinion as to any exercise of power proposed by a faculty pursuant to appropriate governing documents.
2. To submit such proposals to the Trustees or to the president or to the several faculties as in its judgment may serve to increase the efficiency of university work;
3. To consider any question that may arise as to the conduct or efficiency of any officer of administration or instruction, and to report thereon to the Trustees through the president.
4. Develop and review plans and policies to strengthen the educational system of the university;
5. Work on the long-range master plan for the physical development of the university; recommend ways in which it can be improved; and keep the same under continuing review;
6. Work for the advancement of academic freedom and the protection of faculty interests;
7. Work for the promotion of student welfare and the enhancement of student life;
8. Initiate and review policies to govern the university's relations with outside agencies for research, instruction, and related purposes;
9. Foster policies for cooperative and mutually beneficial relations with the neighboring community;
10. Review by broad categories the annual budget of the university after its adoption and advise the Trustees as to its general conformity with the goals of the university;
11. Consider and recommend policies relating to the awarding of university prizes and honors, and assist the Trustees in the selection of recipients of such prizes and honors;
12. Promulgate a code of conduct for faculty, students, and staff and provide for its enforcement;
13. To prescribe the conditions upon which degrees and certificates shall be conferred and to recommend candidates for such degrees;
14. To fix annually the Academic Calendar and dates for entrance and final examinations, the date of Commencement, and the order of Commencement exercises;
15. Initiate proposed changes to its Statutes which have been passed by a vote of at least three-fifths of all incumbent members of the University Senate.

Standing Committees:

- The Executive Committee consists of 13 members apportioned as follows: 6 tenured faculty, 2 non-tenured faculty, 2 administrators, and 3 students. All shall be members of the Senate. The two administration representatives shall be the President and another officer of administration of his or her choice. The Executive Committee shall be the Senate's agenda committee and its committee on committees. It may authorize standing committees without regular and recurring duties. The Executive Committee shall have the power to call the Senate into extraordinary session, and shall have such powers, functions and duties as the Senate may delegate to it during periods when the Senate is not in session. The Executive Committee shall serve as a continuing liaison between the University Senate and the central administration. The Executive Committee may create subcommittees and may delegate any of its powers, functions, and duties. The Executive Committee shall participate pursuant to the Statutes of the University and the By-Laws of the Trustees, in the

selection of University Professors, the President of the University, the Provost or Provosts, and six Trustees. To the extent possible, officers of instruction may be allowed a reduction in their teaching loads and students may be granted appropriate credit for serving as members of the Executive Committee.

- **Alumni Relations.** Consists of seven members apportioned as follows: 1 tenured faculty, 1 non-tenured faculty, 1 student, 1 administrator, 1 officer of research, and 2 alumni. The Committee shall encourage more effective communication with alumni. The Committee shall stimulate alumni loyalty and support for the university and shall serve as liaison between the University Senate and various alumni groups. The Committee shall work with the administration in the furtherance of these purposes.
- **Budget Review.** Consists of 12 members, all of whom shall be members of the Senate. The membership of the Committee shall consist of 5 tenured faculty representatives, 2 non-tenured faculty, 2 student representatives, 1 alumnus, 1 officer of research, and the Chairperson of the Executive Committee or his or her designee serving ex officio. The Budget Review Committee shall review the annual budget of the university after its adoption to assure its general conformity with short-range and long-range priorities of the university and expressions of policy by the Senate. The Chairperson of the Budget Review Committee or his or her designee may sit with the appropriate committee of the administration when it formulates its budget policy guidelines for the coming year and when categories of the budget are discussed or adopted.
The Budget Review Committee shall report its activities to the Senate and shall bring to its attention any instance of non-compliance of the budget with the existing priorities or policies and any other allocations which, in the Committee's opinion, are not in the best interests of the university.
- **Campus Planning and Physical Development of the University.** Reviews and comments upon the processes for planning, reviewing, assigning priorities and implementing the university's physical development to assess how they impact the academic mission of the university. This shall include plans and projects to change space available for specific schools and departments as well as space for the well-being of the university community. The Committee will report to the Senate, President, and Trustees whether major projects have been properly reviewed and serve the best interests of the university. In addition, the Committee will work with the administration and appropriate committees of the Trustees in reviewing, with respect to the university's academic goals, the long-term physical development plans of the university, for the campus and for off-campus properties, and the effects of those plans on the community. The Committee shall meet periodically with the appropriate vice president and his or her designates to discuss the status of planned and ongoing major capital improvements for the university. In addition, the Committee shall regularly receive reports from pertinent departments and committees charged with academically relevant aspects of physical development. The Committee may also advise the administration and the Trustees on faculty, student and staff concerns, priorities and particular projects related to campus planning and physical development. The Committee shall work closely with the Committees on Education, Budget Review, and Libraries and Digital Resources so that developmental plans may bear close relationship to the fulfillment of educational policies and purposes. The Committee shall also work closely with the Committee on External Relations and Research Policy to minimize areas of conflict and maximize areas of cooperation with the community. On behalf of the Senate, the Committee shall also serve as a forum for reviewing reports of exceptional difficulties experienced with the academic physical plant, buildings, grounds and maintenance.
- **Education.** Consists of 19 members apportioned as follows: 8 tenured faculty, 3 non-tenured faculty, 4 students at least one of whom will be a graduate student, 2 administrators, 1 alumnus and 1 library staff. The Committee on Education shall review, and may from time to time recommend, plans and policies relating to the educational system of the university. The Committee shall receive ideas, recommendations, and plans

for educational innovations from members of the faculty and others. The Committee shall inform itself of conditions in the several schools, faculties and departments, and propose measures needed to make the most effective use of the resources of the university for educational purposes. The Committee shall examine new online/distance learning and multimedia learning applications to understand their broad academic implications and to recommend policy, procedures, and monitoring in consultation with the committees on Libraries and Digital Resources and on Information and Communications Technology. It will evaluate the extent to which these enterprises enhance the core mission of the university.

- External Relations and Research Policy. Consists of 18 members apportioned as follows: 7 tenured faculty, 2 non-tenured faculty, 3 students, 2 administrators, 1 library staff, 1 alumnus, 2 officers of research. The Committee shall review and recommend policies for the university's external relations involving instruction, research, and public affairs, including community relations. The Committee's purview will include the university's research strategies and its relations with private and public sponsoring agencies, as well as the university's strategies for enhancing its local, national, and international reputation through its connections with other academic institutions, governmental agencies, the media, and the surrounding community. The Committee shall meet periodically with the Vice President for Public Affairs and his or her designates.
- Faculty Affairs, Academic Freedom, and Tenure. Consists of 17 members, of whom 13 shall be tenured faculty and 4 non-tenured faculty. One of its members shall also be a member of the Committee on Rules of University Conduct. It shall have jurisdiction of all matters relating to terms and conditions of academic employment including, but not limited to, tenure and academic freedom, academic advancement, sabbatical and other leaves, faculty conduct and discipline, retirement, faculty housing and other faculty perquisites. The Committee shall also review and, when appropriate, recommend revision of policies governing the appointment of persons to named chairs. The Committee on Faculty Affairs, Academic Freedom and Tenure, or one of its subcommittees shall also sit as board of appeal on faculty grievances. When acting in such judicial capacity the Committee, or its subcommittee, shall function in a confidential manner and shall not be required to report its deliberations to the Senate as a whole. With the consent, or at the request of the petitioner, however, the Committee or its subcommittee may make public its recommendations and reasons therefor.
- Honors and Prizes. Consists of 15 members apportioned as follows: 6 tenured faculty, 2 non-tenured faculty, 2 students, 2 administrators, 1 library staff, 1 officer of research and 1 alumnus. The Committee on Honors and Prizes shall recommend policies relating to the award of university prizes and honors to persons who are not members of the university. The Committee shall consider and report to the Senate standards and policies (not inconsistent with such limitations as may legally bind the university under specific endowments or grants) for the award of honorary degrees, the University Medal for Excellence, the various categories of the Pulitzer Prize and other similar evidences of academic recognition. The Committee shall work with the President and the Trustees in the selection of recipients for honorary degrees and prizes. In deliberating on nominations for prizes and honors, the Committee may act in executive session and in confidential manner, and shall not be required to report its deliberations or actions to the Senate as a whole.
- Housing Policy. Consists of 11 members apportioned as follows: 4 tenured faculty, 2 non-tenured faculty, 2 students, 2 administrators, and 1 research officer. The student members shall be from among those housed by the Columbia corporation. The Committee on Housing Policy shall review and recommend policies relating to housing provided to university students, faculty and other employees, including those pertaining to rent or occupancy charges, the assignment of housing, and the condition and renovation of Institutional Real Estate and residence buildings and units.

- Information and Communications Technology. Consists of 13 members including 5 faculty; 2 students, at least one of whom shall be a graduate student; 1 alumnus/a; 1 officer of the libraries; 1 research officer; 1 administrative staff member whose work involves technology management; and 2 administration members at least one of whom works in technology management. One of the faculty members shall be familiar with the university's computing facilities, and one student member shall be a graduate student and frequent user of the university's computer facilities. The Committee shall review and recommend university policies relating to the university's technology systems and services and network infrastructure. The Committee shall attend to all aspects of the university's administrative computing, telecommunications services, computing facilities, and hardware and software systems that support the work of the university, in consultation with other Senate committees (e.g., the Education Committee and the Libraries and Digital Resources Committee).
- Libraries and Digital Resources. The Committee on Libraries and Digital Resources shall consist of 17 members apportioned as follows: 6 tenured faculty, 2 non-tenured faculty, 3 students at least one of whom will be a graduate student, 2 administrators, 2 officers of the libraries, 1 officer of research, and 1 alumnus. The Committee shall review and recommend university policies relating to the university's libraries, information resources, and academic computing programs. The Committee shall attend to all aspects of the university's storage, accessing and retrieval of information whether in analog or in digital form, and to all aspects of information services that support the academic work of the university, in consultation with other Senate committees (e.g., the Education Committee and the Committee on Information and Communications Technology).
- Research Officers. Consists of 9 members, including all 6 elected senators representing Officers of Research, and 3 other Officers of Research, who shall be nominated by the 6 research senators with a view to achieving balance among the different ranks of officers in the constituency and among the campuses represented, and who shall be approved by the Executive Committee. The Research Officers Committee shall have jurisdiction to consider all matters relating to the terms and conditions of research officers' academic employment, including, but not limited to, promotion, leaves of absence, retirement, academic freedom, academic advancement, benefits, housing, the conduct and discipline of research officers, and other perquisites of research officers.
- Rules of University Conduct. Consists of 16 members apportioned as follows: 4 tenured faculty, 2 non-tenured faculty, 5 students, 2 administrators, 1 library staff, 1 officer of research, and 1 administrative staff. One of its members shall also be a member of the Committee on Faculty Affairs, Academic Freedom and Tenure, and one shall also be a member of the Student Affairs Committee. It shall have jurisdiction to review and recommend revision of rules of university conduct, as well as the means of enforcing those rules. In matters pertaining to rules of conduct and tribunals for faculty, the Rules Committee shall consult with the Faculty Affairs Committee, and in matters pertaining to such rules and tribunals for students, it shall consult with the Student Affairs Committee. In matters pertaining to rules of conduct and tribunals for research officers, the Rules Committee shall consult with the Research Officers Committee. The Committee shall, to the extent appropriate, incorporate its proposals in the form of amendments to the University Statutes and shall submit the same to the University Senate as a whole, to become effective upon adoption by the Senate with the concurrence of the Trustees. The Rules of University Conduct (Chapter XLIV of the Statutes of the University) provide special disciplinary rules applicable to demonstrations, rallies, picketing, and the circulation of petitions. These rules are designed to protect the rights of free expression through peaceful demonstration while at the same time ensuring the proper functioning of the university and the protection of the rights of those who may be affected by such demonstrations.

- Senate Structure and Operations. Consists of 13 members apportioned as follows: 6 tenured faculty, 1 non-tenured faculty, 2 students, 2 administrators, 1 officer of research, and 1 administrative staff. The Committee shall observe and review the operations and effectiveness of the University Senate and make recommendations for the improvement of the structure and operations of the Senate, through statutory amendment and otherwise. The Committee shall be the University Senate's committee on the Senate's rules and procedures.
- Students Affairs. Consists of all 24 student Senators and all student non-Senator observers from affiliated institutions, including two from Teachers College and one from Union Theological Seminary. One of its members shall also be a member of the Committee on Rules of University Conduct. Its jurisdiction shall cover matters of student life including, but not limited to, student organizations, student housing, extracurricular activities and student concerns in the community. The Committee's jurisdiction, however, is restricted to matters of university-wide student concerns, and to concerns of students in more than one faculty or school. Where student interests are closely related to the interests of other groups in the university, the Committee shall cooperate with other appropriate committees of the Senate.
- Commission on the Status of Women. The Commission on the Status of Women shall be charged by the Executive Committee of the University Senate to inquire into the status, equity, and opportunities available at this university to women who are officers of instruction, of research, of the libraries, of administration, students, and supporting staff. It shall work independently of the Executive Committee and shall report and make recommendations periodically to the parent committee and to the University Senate on the status of women. The results of the Commission's studies and recommendations for rectification of any inequities found will be presented to the Executive Committee and the Senate for discussion and implementation.
- Commission on Elections. Most of its functions are performed by the staff of the Senate office or, in the case of disputes, are very rare. In an active year the commission meets once to receive a report on the status of elections, certify the elections, and address any issues, otherwise it meets as required.
- Commissions on Diversity. Established in 2015 to bring together students, faculty, and administrators from across the university to consider diversity in its broadest current senses, encompassing race, ethnicity, religion, class, society, gender, and sexual orientation, and its role in the life of the university. Consists of 11 voting members (five students, four faculty, and two administrators), and one student observer. A student senator and a faculty senator serve as co-chairs. The Student Affairs Committee appoints the student members of the Commission, the Faculty Affairs Committee appoints the faculty members, and the Executive Committee appoints the administration members.

MASSACHUSETTS INSTITUTE OF TECHNOLOGY (USN&WR RANK 5)

Primary Body: Faculty Policy Committee (FPC)³⁹

Represents University at Large: Yes.

Members Elected: Yes.

Member Terms: 3-year terms that are staggered for faculty; student terms are for 1-year.

Member Categories: Faculty members (voting), Graduate students (voting), Undergraduate students (voting).
Unclear from the documents reviewed if non-tenure track faculty are included.

Decision Rights: Yes.

³⁹ Sources used in addition to the website noted in the school summary text: "Rules and Regulations of the Faculty" (<https://facultygovernance.mit.edu/sites/default/files/Rules%20%26%20Regulations%2020170517.pdf>), "MIT Policies and Procedures" (<http://policies-procedures.mit.edu/>).

Presiding Officer: Chair of the Faculty, who is the Chair of the FPC and is elected.

Other Standing Committees (in addition to FPC): Graduate Programs, Undergraduate Program, Curricula, Undergraduate Admissions and Aid, Academic Performance, Student Life, Discipline, Library System, Nominations, and Campus Planning. Each of these Standing Committees shall, in addition to the specific duties listed, be responsible for (1) formulating and reviewing educational policies and other policies which relate to its work, (2) requesting any needed clarification of such policies from the Faculty Policy Committee, (3) recommending to the Faculty Policy Committee any changes of such policies which it deems to be advisable, and (4) performing such other duties as may be delegated to it by the Faculty Policy Committee or by the Chair of the Faculty.

Website: <https://facultygovernance.mit.edu/>

Background:

In addition to the Chair of the Faculty, the Faculty Council consists of the Chair of the Corporation, the President, Vice Presidents, Provost, Associate Provosts, Associate Chair of the Faculty, Deans of the Schools of Architecture and Planning, Engineering, Humanities, Arts, and Social Sciences, and Science, and the Sloan School of Management, Dean for Undergraduate Education, Dean for Graduate Education, Director of Libraries, Secretary of the Faculty, Heads of Departments and Professional Courses, and such other Administrative Officers as the President shall include. Meetings of the Faculty Council shall be held at such times as the President shall appoint. It shall discuss questions of academic policy and other business of importance to the Council membership.

The hub of MIT governance is 11 standing faculty committees and several award committees. About 10% of MIT faculty participate in any year on these committees. Students and administrators also serve on these committees. There is no Faculty Senate. The Faculty Policy Committee coordinates the work of the other standing ten committees. The Faculty Policy Committee consists of the Chair of the Faculty who shall be Chair of the Committee. The Chair of the Faculty serves for one year as the Chair-elect and two years as Chair of the Faculty.

The remaining FPC members are the Associate Chair of the Faculty who shall be Deputy Chair of the Committee; the Secretary of the Faculty; the Chair-elect or the immediately preceding Associate Chair (in alternate years); seven elected Faculty members; one undergraduate and one graduate student; and two members designated by the Provost, and one member designated by the President. The members designated by the Provost and President are non-voting.

Duties and Responsibilities:

1. Formulate policy on matters of concern to the Faculty, for approval by the Faculty; interpret and implement policy as approved by the Faculty.
2. Coordinate the work of the other Committees of the Faculty, establishing liaison with them, providing guidance and direction, and referring issues to particular Committees or establishing Ad Hoc Committees as appropriate.
3. Maintain a broad overview of the Institute's academic programs, coordinating and reviewing proposals from the Standing and Ad Hoc Committees for presentation to Faculty meeting.
4. Maintain a broad overview of the activities of the Office of Corporate Relations and other similar efforts as they relate to the activities of the members of the Faculty.
5. Keep informed of new problems of potential conflicts of interest and recommend appropriate modifications of policies and procedures to the Faculty.

6. Communicate with the Faculty as a whole on important matters of policy, reporting regularly at Faculty meetings.
7. Meet periodically with the President, Academic Deans, and others to enhance the interchange between the Faculty and the Administration on matters of concern to the Faculty.
8. Consider issues involving relationships between Administration and both Faculty and other academic staff with teaching responsibilities
9. Establish the manner in which the academic program is presented in official Institute publications, delegating to other Standing Committees such parts of the responsibility as deemed desirable.

Standing Committees:

- Graduate Programs. Evaluates proposals for the adoption of new graduate degree programs and making recommendations to the Faculty concerning these programs. Evaluates proposals for the termination of existing programs with the aim of ensuring that (1) students currently enrolled in the program are able to complete their degree requirements; and that (2) departments whose curricula are affected have been given reasonable notice of termination; and reporting to the Faculty on the steps that are being taken in the process of termination. Considers proposals that would change or modify general policies related to graduate programs and graduate students and making recommendations to the Faculty. Encourages best practices for graduate educational programs, including collecting and disseminating such practices.
- Undergraduate Program. Considers proposals that would change or modify undergraduate educational policies, and making suitable recommendations to the Faculty. Oversees undergraduate education, including the freshman year, undergraduate advising, the General Institute Requirements, and other interdepartmental programs, giving attention to both short-term and long-term trends and directions. Encourages experimental innovation in undergraduate education, including the approval and supervision of limited educational experiments and granting of exceptions to allow any experiment to depart from specific Faculty Regulations and MIT administrative procedures. Descriptions of experiments and reports on their progress and outcome shall be circulated to the Faculty. Experiments that show enduring value should be incorporated in the usual ways into the Faculty Regulations and administrative practices. Interacts with other Faculty Committees and with the Schools, departments, and programs on important issues in undergraduate education and communicating with the MIT community as a whole about such issues. Acts with power, through the permanent CUP Subcommittee on the Communication Requirement, to support, encourage, and monitor the development of new, innovative subjects and changes to the Communication Requirement and to ensure review of subjects to ascertain that the educational goals of the Communication Requirement are met consistent with MIT's high educational standards. Acts with power, through the permanent CUP Subcommittee on the Humanities, Arts, and Social Sciences Requirement, to support, encourage, and monitor the development of new, innovative subjects and changes to the HASS Requirement and to ensure review of subjects to ascertain that the educational goals of the HASS Requirement are met consistent with MIT's high educational standards.
- Curricula. The Committee shall interpret and implement undergraduate educational policy as approved by the Faculty. The Committee shall act with power on proposals for subjects which may be used to satisfy the Restricted Electives in Science and Technology Requirement and Laboratory Requirement within the General Institute Requirements and shall report such actions to the Faculty. Only subjects with prerequisites such that the subjects can be taken by freshmen or sophomores are eligible for this purpose; except that the Committee

is authorized to specify other subjects which may be used to satisfy the Laboratory Requirement. Approved Laboratory subjects shall emphasize as much as possible work of project type or laboratory technique which follows approaches used by professionals in the field. The Committee shall act with power for the Faculty on requests from individual students for exceptions to the General Institute Requirements. The Committee shall act with power on proposals for changes in undergraduate subjects of instruction and shall report all approved changes to the Faculty. The Committee shall act with power on proposals for new curricula, changes in existing curricula, and discontinuation of existing curricula, when such proposals do not involve substantial changes in policies relating to undergraduate educational matters. All approvals shall be reported to the Faculty. Each department shall indicate whether the proposed curriculum shall lead to the degree Bachelor of Science in a specified field or to the degree Bachelor of Science without designation of field. In the latter case the graduate's record and transcript shall indicate the department recommending the degree. Upon request of a department, the Committee may approve in the case of an individual student a program leading to the degree Bachelor of Science without designation of field. In considering proposals to terminate existing curricula, the Committee shall determine that adequate provisions are made to: (1) enable students currently enrolled in the curriculum to complete their academic requirements; (2) give reasonable notice to all departments whose curricula may be affected by the termination; and (3) advise other relevant Faculty committees of changes affecting Institute Requirements. The Committee shall serve as the standing Faculty advisory body to the Registrar.

- Undergraduate Admissions and Financial Aid. responsible for formulating and reviewing policies on admission of all undergraduate students, including college transfers, and on financial aid to students, including undergraduate scholarships, loans, and student employment. The Committee shall also exercise prior review of MIT publications and formal releases directed toward the prospective undergraduate student.
- Academic Performance. Concerned with the academic performance of undergraduates. It shall make recommendations to the Faculty on such matters as minimum scholastic standards, calendar changes, examinations, and grading, in consultation with the Committee on Graduate Programs on those matters which also relate to graduate students. The Committee shall act with power on petitions from individual undergraduate students relating to exceptions to established academic standards, and on requests to return at the undergraduate level after a personal, medical, or required academic leave, or a leave of absence. At the conclusion of each regular examination period, the Committee shall hold meetings with representatives of the Office of the Dean for Undergraduate Education and of the second-year, third-year, and fourth-year Faculty Advisors, in order to review the academic records of undergraduate students and to take appropriate action in the name of the Faculty. The Committee shall present to the Faculty its recommendations on candidates to be awarded Bachelor's degrees, and also a summary of its other actions.
- Student Life. Exercises general attention for the range, availability, and effectiveness of Institute-wide support services to students, and with the formal and informal relationship among the students, the Institute, and the Faculty. Considers proposals that would change or modify policies pertinent to student life and making recommendations to the Faculty and the Dean for Student Life. Encourages innovation in programs regarding student life, particularly involving faculty, including the coordination and review of initiatives. Descriptions of initiatives and reports on their progress and outcome shall be circulated to the Faculty. Initiatives that show enduring value should be incorporated in the usual ways into the Faculty Regulations and administrative practices. Interacts with other Faculty Committees and student governing organizations and with the Schools, departments, programs, and representatives of support services to students on important issues concerning student life and community and communicating with the MIT community as a whole about such issues. Serves as the standing Faculty advisory body to the Dean for Student Life.

- **Discipline.** The Committee shall consider such cases of alleged misconduct by students as shall be brought to its attention. In cases where suspension, expulsion, or revocation of a degree are possible outcomes, an accused student shall be given an opportunity to appear in person at a meeting of the Committee. The Committee shall consider such cases of alleged misconduct by student organizations as shall be brought to its attention. In cases where revocation of recognition or loss of a student organization residence are possible outcomes due to violation of Institute policy, a duly appointed officer of an accused student organization shall be given an opportunity to appear in person at a meeting of the Committee or the hearing body to which the case is delegated. The Committee shall act with power in all circumstances, including suspension and expulsion of a student from the Institute, revocation of a degree, revocation of recognition for a student group, and loss of a student organization residence. A Committee on Discipline (COD) decision to suspend or expel a student, revoke a degree, revoke recognition of a student group, or terminate a student organization residence may be appealed to the Chancellor on grounds described by the COD Rules & Regulations. The Committee may assign cases of alleged misconduct to other hearing bodies or hearing officers it designates, except for cases involving suspension or expulsion of a student from the Institute or revocation of a degree, which must be resolved by the Committee.
- **Library System.** Shall formulate policy for the administration of the Libraries consistent with the objectives of the Institute. The Committee shall serve as liaison between the Libraries and their users. The Committee shall review budget allocations as prepared annually by the Director of Libraries. The Committee shall monitor and uphold the MIT Faculty Open-Access Policy, which details the process for disseminating scholarly research.
- **Nominations.** The Committee shall nominate the following in the appropriate years: a Chair-elect, an Associate Chair, and a Secretary of the Faculty; and shall also nominate candidates for the elected membership of the Standing Committees. The Committee shall circulate the list of nominees to all members of the Faculty not later than the April meeting of the Faculty. The Committee shall have power to fill any vacancies that may occur during the year in the offices of Chair, Chair-elect, Associate Chair, and Secretary, and in the elected membership of the Standing Committees.
- **Campus Planning.** The Committee shall serve as the standing Faculty advisory body to the MIT administration on campus planning. It shall provide Faculty perspectives and counsel on campus planning issues, including, but not limited to, future academic and research needs of the community. The Committee will undertake to understand the needs of the Faculty for the campus environment and ensure communication with the Faculty on important matters related to the MIT campus and surroundings. The Chair of the Committee shall be called upon to serve ex officio on the MIT Building Committee. The Chair of the Faculty shall designate up to three of the elected members to serve ex officio on standing committees of the MIT administration concerned with planning. Members of the Committee may be called upon to serve on task forces and/or other ad hoc committees concerned with campus planning. The Committee shall present an annual report of its activities to the Faculty Policy Committee.

STANFORD UNIVERSITY (USN&WR RANK 5)

Primary Body: Senate⁴⁰

Represents University at Large: Yes.

Members Elected: Yes.

⁴⁰ Source used in addition to the website noted in the school summary text: "Senate and Committee Handbook" (August 2016) <https://stanford.app.box.com/s/0xn024wc4gwjs4kydr98uma4ne9clrty>.

Member Terms: 2 years.

Member Categories: Tenure-track faculty (voting), Non-tenure track faculty (voting).

Decision Rights: Yes, with regard to academic and research policy.

Presiding Officer: Chair of the Senate.

Standing Committees: Steering Committee, Committee on Committees, and the Planning and Policy Board.

Website: <https://facultysenate.stanford.edu/>

Background:

According to the Articles of Organization of the Faculty, originally adopted by the Board of Trustees in 1904 and revised in 1977, the powers and authority of the faculty are vested in the Academic Council, which consists of the President of the university, tenure-line faculty (Assistant, Associate, and Full Professor), non-tenure-line faculty (Associate and Full Professor followed by the parenthetical notation (Teaching), (Performance), (Applied Research), or (Clinical)), non-tenure-line research faculty (Assistant Professor (Research), Associate Professor (Research), Professor (Research)), Senior Fellows in specified policy centers and institutes, and certain specified officers of academic administration.

The perceived shortcomings of the Academic Council as a deliberative and legislative body led to a movement in the faculty to establish a representative Senate of the Academic Council in which, with provisions for review of Senate decisions, the power of the Academic Council was to be vested. In the Spring of 1968, the Academic Council approved the charter for a Senate to be composed of 55 representatives elected by the Hare System of Proportional Representation and, as ex officio nonvoting members, deans of the academic schools and certain major officers of academic administration. The elected Senate is the primary means of faculty governance and the main instrument for faculty participation in setting policy and making decisions on academic affairs. The Academic Council shall hold one regularly scheduled meeting annually, at which time the Council shall receive a report from the President of the university and a report of Senate discussions and decisions. Special meetings of the Council may be held at the call of the President or by action of the Council.

Duties and responsibilities:

1. Responsible for academic and research policy.
2. Authority to grant degrees.
3. Reviews, via its committees, several types of curriculum matters: proposals or reviews of degree granting programs, and, periodically, broad curriculum reforms resulting from ad hoc university level review committees which examine university wide curriculum issues such as general education requirements, writing requirements and other similar programs for all undergraduates.
4. Reviews interdisciplinary degree granting programs (IDPs) as well as proposals for new degree granting programs, including honors and joint degree programs (JDPs) and name changes of departments and programs.

Standing Committees:

- Steering Committee. 5 elected members of the Senate; the President or Provost serve as non-voting ex officio members. Sets Senate agenda, appoints Committee on Committees. Senate agenda items may also come before the Senate as the result of a student referendum or a petition signed by 500 or more Stanford students.

- **Committee on Committees.** The Committee on Committees consists of seven members of the Senate appointed by the Steering Committee for one-year terms. To recommend to the Senate the creation and dissolution of standing and ad hoc committees of the Academic Council; and To recommend to the Senate the charge to each of these committees; and To appoint members from the Academic Council to each committee, and to designate the Chair of each; and To nominate candidates in the election of the Chair and Steering Committee; and To appoint members from among the entire Academic Council to the Planning and Policy Board of the Senate; and To recommend to the President and the Provost members from the Academic Council to serve on university Committees and on other ad hoc committees and bodies.
- **Planning and Policy Board.** The Planning and Policy Board comprises nine voting members. Seven members from among the entire Academic Council membership; are appointed by the Committee on Committees of the Senate to serve three-year terms. The current and most recent chair of the Senate also serve as members, rotating after two years. Duties are to examine long-term trends and their implications for the university, and formulate academic policy issues for consideration by the faculty; Refer such issues to the Senate, to an appropriate standing committee (Academic Council, University, or School) if one exists, or to the President or Provost; Establish as needed, and appoint members to ,ad hoc subcommittees or task forces to address specific issues of academic policy; Consult widely with the faculty and with university administrators and/or student organizations, as it deems appropriate.
- **The Advisory Board.** Elected by the Academic Council; seven members; limited to tenured, full-time, full professors; term is three years; two consecutive terms permitted; no member may also serve on another committee of the Academic Council, such as the Senate. Purpose is to advise the President of the university on any matters the President chooses. The Advisory Board may, by vote of five of its members, appeal to the Board of Trustees any differences between the President and itself.

UNIVERSITY OF PENNSYLVANIA (USN&WR RANK 8)

Primary Body: Faculty Senate⁴¹

Represents University at Large: Yes.

Members Elected: Yes.

Member Terms: Most terms appear to be for two years and are staggered. Executive committee members serve for 37 months.

Member Categories: Tenure-track faculty (voting), Non-tenure track faculty (voting), Emeritus faculty (non-voting).

Decision Rights: Advisory.

Presiding Officer: Senate Chair, a full professor.

Standing Committees: Senate Executive Committee, which oversees the other standing committees: SEC maintains oversight over its standing committees: Senate Committee on Academic Freedom and Responsibility (SCAFR), Senate Committee on Committees, Senate Committee on Economic Status of the Faculty (SCESF), Senate Committee on Faculty and the Academic Mission (SCOF), Senate Committee on Faculty and the Administration (SCOA), Senate Committee on Faculty Development, Diversity, and Equity (SCFDDE), Senate Committee on Publication Policy for Almanac, Senate Committee on Students and Educational Policy (SCSEP), Senate Nominating Committee.

Website: http://www.upenn.edu/faculty_senate/

41 Other Source used in addition to the website noted in the school summary text: "University of Pennsylvania Handbook for Faculty and Academic Administrators" (July 2017) (https://provost.upenn.edu/uploads/media_items/faculty-handbook.original.pdf).

Background:

The Faculty Senate was established in 1952 as the representative voice for full-time teaching faculty at the University of Pennsylvania. The University of Pennsylvania embraces a vision of shared governance in which the faculty is regularly consulted on academic issues and faculty decisions heavily influence policies that are under the purview of faculty responsibility. The Faculty Senate is composed of members of the Standing Faculty and the Standing Faculty-Clinician-Educator holding the rank of Professor, Associate Professor, or Assistant Professor. The Senate shall provide opportunity for its members to discuss and express their views upon any matter that they deem to be of general interest to the faculty, and to make recommendations and pass resolutions with respect thereto. It shall have power to make recommendations directly to the President, the Provost, and the Trustees, and to request reports from the university administration.

Much of the work of the Faculty Senate is done through an elected Senate Executive Committee (SEC) and a set of standing committees. On behalf of the faculty, members of SEC and the various committees engage in substantive investigation and consideration of matters of import with the university administration. In addition to the work of these committees, the Tri-Chairs (Chair, Chair-Elect, and Past-Chair) meet regularly with the President and the Provost. These meetings provide opportunities for the administration to learn about and respond to issues raised by SEC and/or its committees, as well as the many faculty constituencies across the university.

Standing Committees:

- The University Council is a deliberative and broadly representative forum that exists to consider the activities of the university in all of its phases, with particular attention to the educational objectives of the university and those matters that affect the common interests of faculty, staff and students. It may recommend general policies and otherwise advise the President, the Provost, and other officers of the university. It is authorized to initiate policy proposals as well as to express its judgment on those submitted to it by the administrative officers of the university and its various academic divisions. It is also empowered to request information through appropriate channels from any member of the university administration. The University Council is composed of administrative officers and elected representatives of the faculty, students, and staff. The President is the presiding officer of the University Council.
- Senate Executive Committee. Three major functions: (i) Consultation with senior administrators, with an eye toward understanding their areas of responsibility and staying informed about their plans in an effort to better engage with them, ensuring that faculty perspectives and concerns are brought to bear on relevant issues; (ii) Review and approval of changes in formal policy that fall under Senate responsibility; and (iii) Initiating consideration and exploration of issues that are of concern to the SEC membership, or that are referred to SEC for discussion and response by its committees. These issues often became the topics of further consultation with the administration. The Senate Executive Committee consists of the officers of the Senate (Chair, Past-Chair, Chair-Elect, Secretary, and Secretary-Elect), thirty-six faculty members elected by separate faculty constituencies, twelve at-large faculty members, three Assistant Professors elected by the faculty as a whole, and one nonvoting representative from the Penn Association of Senior and Emeritus Faculty (PASEF). The Executive Committee meets once each month during the academic year and may act for the Senate on substantive policy issues.

- Senate Committee on Academic Freedom and Responsibility. Consists of ten members, consisting of the Faculty Senate Chair-Elect and nine members of the Faculty Senate, three of whom are selected each year in accordance with the Rules of the Senate. This committee shall advise and consult with each faculty's Committee on Academic Freedom and Responsibility, and with administrative officers, on the establishment of appropriate procedures to be followed in the event of a claim of violation of academic freedom or responsibility. At the beginning of each year, the Senate Committee on Academic Freedom and Responsibility shall distribute the "Procedural Principles for Handling Complaints Concerning Academic Freedom and Responsibility" to the members of each faculty's Committee on Academic Freedom and Responsibility. The Committee shall have power to make investigations, reports, and recommendations on any matter relating to academic freedom and responsibility within the university. The Committee shall be governed in its responsibilities and procedures by rules established by the Faculty Senate.
- Senate Committee on Committees. Consists of the Chair, the Chair-Elect and seven members of the Senate Executive Committee. This committee nominates candidates for all committees to which the Senate Executive Committee makes appointments, except the Nominating Committee and the Committee on Committees. The Chair and Chair-Elect of the Faculty Senate serve ex officio on this committee, without voting rights.
- Senate Committee on the Economic Status of the Faculty. Consists of six members, in addition to the Chair, the Chair-elect, and the Past Chair of the Senate. The Senate Committee on the Economic Status of the Faculty gathers and organizes data on salaries and benefits and represents the faculty in the determination of university policy on salary issues. The committee issues an annual report on the economic status of the faculty.
- Senate Committee on Faculty and the Academic Mission. Consists of at least six members. The Faculty Senate Chair and Chair-Elect serve ex officio. The Penn Association for Senior and Emeritus Faculty (PASEF) also appoints a non-voting member. Oversees and advises the Senate Executive Committee on matters relating to the university's policies and procedures concerning the academic mission, including the structure of the academic staff, the tenure system, faculty appointments and promotions, faculty research, and faculty governance.
- Senate Committee on Faculty and the Administration. Consists of at least six members. The Chair and the Chair-elect serve ex officio. The Penn Association for Senior and Emeritus Faculty (PASEF) also appoints a non-voting member. Oversees and advises the Senate Executive Committee on matters relating to the faculty's interface with the university's administration, including policies and procedures relating to the university's structure, the conditions of faculty employment (such as personnel benefits), and information.
- Senate Committee on Faculty Development, Diversity, and Equity. Consists of at least six members. The Faculty Senate Chair and Chair-Elect serve ex officio. The Penn Association for Senior and Emeritus Faculty (PASEF) also appoints a non-voting member. Duties include: (i) identifies and promotes best practices for faculty developments, mentoring, and work environment to facilitate faculty success at all career levels; (ii) evaluates and advocates processes for faculty recruitment, promotion, and retention that promote diversity, equity, and work/life balance for the faculty; (iii) monitors the status of faculty development, mentoring, diversity, and equity; and (iv) issues periodic reports on the activities and findings of the committee and make recommendations for implementation.
- Senate Committee on Publication Policy for Almanac. Consists of at least six members. The Faculty Senate Chair-Elect also serves ex-officio. Maintains oversight over Almanac's guidelines and publication policies and the relationships between Almanac and other university news and information sources. It advises the Editor of Almanac on publication issues when necessary or requested. In particular, the Editor will consult it, or, when appropriate, the Almanac Advisory Board, of which it forms the faculty representation, when considering refusal of a contribution on any grounds other than legal liability.

- Senate Committee on Students and Educational Policy. Consists of at least six members. The Faculty Senate Chair and Chair-Elect serve ex officio. The Penn Association for Senior and Emeritus Faculty (PASEF) also appoints a non-voting member. Oversees and advises the Senate Executive Committee on matters relating to the university's policies and procedures on the admission and instruction of students, including academic integrity, admissions policies and administration, evaluation of teaching, examinations and grading, academic experiences, educational opportunities (such as study abroad), student records, disciplinary systems, and the campus environment.
- Senate Nominating Committee. Consists of nine members whose function it is to nominate candidates for elections to the offices of the Senate, the Senate Executive Committee, the Senate Committee on the Economic Status of the Faculty, and the Senate Committee on Academic Freedom and Responsibility. The committee performs its work in the spring semester.

DUKE UNIVERSITY (USN&WR RANK 9)

Primary Body: Academic Council⁴²

Represents University at Large: Yes.

Members Elected: Yes.

Member Terms: Two years; some standing committees have three year terms as described below.

Member Categories: Tenured and Tenure-track faculty (voting), Non-tenure track faculty (voting).

Decision Rights: Advisory.

Presiding Officer: Chair of the Academic Council.

Committee: Executive Committee of the Academic Council, Faculty Hearing Committee, Faculty Compensation Committee, Faculty Scholars Committee, Faculty Committee on Elections.

Website: <https://academiccouncil.duke.edu/>

Background:

The Academic Council and the Executive Committee which it elects are the chief instruments of faculty governance at Duke University with each containing representatives from across the university and the School of Medicine. The Bylaws of the university invite the Faculty in general to organize themselves for discussion of matters of interest and to provide for representation of faculty opinion to the Administration and to the Trustees. Academic Council consists of the president, the provost of the university, and the chair of the Academic Council as members ex officio, and of elected members of the three divisions of the Faculty of Arts and Sciences (humanities, social sciences, and natural sciences and mathematics), of the two divisions of the School of Medicine (clinical and basic sciences), and of the other professional schools. One member of the council shall be elected for each eight members of the faculty and for any remaining fraction of four or more members of the faculty of any such division or school. However, each division or school is entitled to at least one member but to no more than ten members. The term of office of elected members shall be two years. No member shall be eligible for election for more than three successive full terms.

42 Other sources in addition to the Academic Council website: Academic Council Bylaws (<https://academiccouncil.duke.edu/academic-council-bylaws>), Handbook of the Academic Council (https://academiccouncil.duke.edu/sites/default/files/u19/Academic%20Council%20Handbook%20UPDATED%20Feb%202017_3.pdf), Duke Faculty Handbook (<https://provost.duke.edu/faculty-resources/faculty-handbook/>).

Standing Committees:

- Executive Committee of the Academic Council (ECAC). Elected by the Academic Council from its membership, meets weekly during the academic year and as necessary during the summer months. The Executive Committee of the Academic Council (ECAC) meets once a week during the academic year with university administrators and various University and Academic Council committee chairs, plans the Academic Council agendas and nominates members to the various university committees. The Executive Committee meets with the President, Vice President, Provost and the chairs of the University Priorities Committee (UPC), the Academic Programs Committee (APC), Global Priorities Committee (GPC) and the Athletic Council at least once during the academic year. 2) The members of the Executive Committee attend all Academic Council meetings. 3) ECAC serves as the committee on committees. University Committees are appointed by the President, Provost and other senior officers with faculty nominations provided by ECAC. The Board of Trustees Committees are elected by the Board with faculty nominations provided by ECAC to the university Secretary/Vice President who then submits them to the Trustees for approval. Academic Council committees are appointed by ECAC. Faculty members not nominated by ECAC are assumed to represent themselves rather than the faculty as a whole. Approximately 55 committees have faculty memberships that are appointed by ECAC. 4) ECAC consults with the President (and/or Provost and/or Chancellor of Health Affairs) to provide names for search committees of university Administrators on schedules as described in Appendix C of the Faculty Handbook. 5) ECAC consults with the President (and/or Provost and/or Chancellor of Health Affairs) to provide names for committees to review Deans and university Administrators on schedules described in Appendix C of the Faculty Handbook. 6) ECAC may attend a dinner meeting with the BOT and/or its Executive Committee twice per year. 7) Members of the ECAC shall be appointed to serve on standing committees of the BOT and to the following university committees: APC, GPC and UPC.
- Faculty Hearing Committee. Has jurisdiction to consider complaints from faculty and instructional staff concerning one or more of the following matters. 1. The university's policy concerning academic freedom and academic tenure as set forth in Appendix C of the Faculty Handbook; 2. The university's policy of equal treatment in employment, without regard to race, color, religion, national origin, disability, veteran status, sexual orientation, gender identity, gender expression, sex, genetic information, or age; 3. Dismissal for misconduct or neglect of duty; 4. Termination of appointment prior to its expiration date; 5. Disputed claims by a faculty member to the existence of tenure; 6. Allegations of violation of academic freedom; 7. Allegations of violation of academic due process with respect to an adverse employment or disciplinary action, including allegations of biased or prejudiced conduct by a decision-maker of a substantial nature that likely had a material impact on the outcome of the proceedings; 8. Allegations of adverse employment action involving discrimination on the basis of race, color, religion, national origin, disability, veteran status, sexual orientation, gender identity, gender expression, sex, genetic information, or age. Adverse employment actions include actions with respect to the member's rank, salary, fringe benefits, sabbatical and other leaves with or without compensation, workload or work assignment, promotion, tenure, and extension or termination of employment. 9. Allegations of damaging instances of harassment directed against faculty or instructional staff by other members of the university community after failure of a university officer or agency to resolve the matter. 10. Appeals from the findings by a harassment grievance hearing panel or the decision by a responsible official based on such findings.
- Faculty Compensation Committee. Monitors faculty compensation; studies issues relating to faculty salaries and benefits and advises the Administration in this area. Term: three years.
- Faculty Scholars Committee. Selects undergraduate candidates for the faculty-endowed award. Term: three years
- Faculty Committee on Elections. Supervises the election of members of the Academic Council. Term: two years.

DARTMOUTH UNIVERSITY (USN&WR RANK 11)

Primary Body: Arts and Sciences (A&S) Faculty⁴³

Represents University at Large: Yes, but not through its membership.

Members Elected: Yes.

Member Terms: Three year terms.

Member Categories: Tenured and Tenure-track faculty (voting), Non-tenure track faculty (voting).

Decision Rights: Advisory.

Presiding Officer: Chair of the Steering Committee who is the President of Dartmouth.

Committee: The Steering Committee.

Website: <https://faculty.dartmouth.edu/dean/governance-service/faculty-governance-dartmouth>

Background:

Historically, the Arts and Sciences (A&S) faculty, the Board of Trustees, and the President have shared responsibility for identifying a common vision for Dartmouth and for establishing institutional priorities. By the authority of the Trustees, the Faculty of the A&S formulates educational policies and programs, supervises teaching resources and procedures, and advises on matters of appointment and promotion of Faculty members. The A&S Faculty also administers the curriculum, exercises general supervision over various aspects of student life, and takes other actions as appropriate to further the educational objectives of Dartmouth College.

Standing Committees:

The Steering Committee shall consist of the President; the Provost; the Dean of the Faculty of Arts and Sciences; the Dean and one elected representative of each of the Faculties of medicine, engineering, and business administration; and six members of the Faculty of Arts and Sciences, two from each Division. Three of these six members shall be appointed for three year terms by the Committee on Organization and Policy, and three shall be selected by the Committee on Organization and Policy from its own membership. The President of the College shall be the Chair of the Steering Committee; in the absence of the President, the Provost shall serve as Chair. Newly elected and appointed members assume office on the first day of the summer term; those members chosen in a regular election or appointed for full three-year terms shall be ineligible to succeed themselves.

The Steering Committee has the following duties and responsibilities:

- To call meetings of the General Faculty upon its own initiative, or upon petition by members of the General Faculty.
- To set the agenda for all meetings of the General Faculty.
- To transmit all communications on behalf of the General Faculty.
- To establish and eliminate ad hoc Committees of the General Faculty, and to appoint members thereto.

⁴³ Other sources in addition to the A&S website: Handbook of the Faculty of Arts and Sciences https://faculty.dartmouth.edu/dean/sites/faculty_dean.prod/files/dean_faculty/dartmouth_fac_handbook.pdf, Organization of the Faculty of Dartmouth College (https://faculty.dartmouth.edu/dean/sites/faculty_dean.prod/files/dean_faculty/ofdc.pdf).

- To study and/or make recommendations on any matter of common concern to the faculties of the institution. Reports and recommendations from such ad hoc committees are received by the Steering Committee, which may then submit them for deliberation and/or action to the General Faculty, a Council of the General Faculty, or the separate Faculties.
- To prepare and to distribute the minutes of the meetings of the General Faculty.
- To provide a continuous assessment of the organization, membership, functions, and purposes of the General Faculty and to propose such modifications as may be in accord with the responsibilities of the General Faculty of the institution. Any amendments of the charter of the General Faculty will become effective upon ratification by the separate faculties of arts and sciences, medicine, engineering, and business administration.

As defined by the Board of Trustees, the General Faculty of Dartmouth College shall consist of the President, the Provost, the Faculty of Arts and Sciences, the Faculty of the Dartmouth Medical School, the Faculty of the Thayer School of Engineering, and the Faculty of the Amos Tuck School of Business Administration. The Councils of the General Faculty provide a forum for deliberation on matters of policy affecting the entire institution. They serve in a continuing advisory capacity to the President, the Provost and Board of Trustees, and report annually to the General Faculty. The President will appoint chairs of Councils normally from among the members who are not ex officio. All faculty members of the Councils shall be elected or appointed for a period of three years. The following Councils are established:

- Council on Graduate Studies. Functions: (1) To recommend to the faculties and the Trustees principles and policies governing all aspects of graduate education. (2) To review proposals for graduate degree programs and to forward them, with recommendation, to the appropriate faculty or faculties of the College. Council jurisdiction does not extend to those degree programs which are the exclusive responsibility of the faculties of the Professional Schools. (3) To certify to the appropriate faculties that candidates have met all requirements for the granting of graduate degrees. (4) To submit a report to the General Faculty at the end of each academic year.
- Council on the Libraries. Functions: (1) To represent the faculty in maintaining the excellence of the Library with respect both to its holdings and to its usefulness to the educational community. (2) To advise the Librarian of the College on formulation and implementation of policies for the acquisition, housing, and preservation of library resources, on development of library services for the benefit of the libraries' users, and on other matters of general library policy. (3) To assist in the apportionment of the acquisitions funds of the libraries, in keeping the Librarian of the College informed concerning library needs for programs of instruction and research, and in providing liaison between the Librarian of the College and the faculties of the College. (4) To submit a report to the General Faculty at the end of each academic year.
- Council on Honorary Degrees. Functions: (1) To represent the four faculties of the College in conference with the President and Trustees on the award of honorary degrees. (2) To cooperate with the Committee on Commencement in determining faculty participation at Commencement and on similar occasions.
- Council on Sponsored Activities. Functions: (1) To propose and endorse internal policies regulating the activities sponsored by agencies outside the College. (2) To propose and endorse institutional positions in response to policies of external sponsoring agencies as they affect the College. (3) To review periodically the scope and impact of sponsored activities in relation to institutional purposes. (4) To propose and endorse institutional policies with regard to patents, copyrights, technology transfer, and the like. (5) To submit a report to the General Faculty at the end of each academic year.

- Council on Computing. Functions: (1) To provide guidance to the Director of Computing on matters related to institution-wide use of the Computation Center. (2) To advise the General Faculty, the officers of administration, and the Board of Trustees on questions of policy concerning the planning, allocation, and use of all computer resources. (3) To be a forum for the exchange of ideas for improving the effectiveness of the computing facilities. (4) To submit a report to the General Faculty at the end of each academic year.
- Council on Benefits. Functions: (1) To review with the President policies and decision-making processes which bear on the benefits program at Dartmouth College. (2) To review and evaluate the College's employee benefits program and to make recommendations to the President with regard to the modification of existing employee benefit plans and the design of any new benefit programs (3) To receive from the Office of Human Resources on at least an annual basis a report, complete with appropriate data and comparative information, regarding a) responsiveness of the benefit plan to the needs of faculty and staff, b) competitiveness with the plans of other institutions, and c) cost effectiveness of Dartmouth's benefit plan. (4) To advise its constituent groups whenever appropriate on changes being contemplated before the deadline for finalizing them. (5) To submit a report to the General Faculty and other interested parties at the end of the academic year.
- Council on Undergraduate Research. Dartmouth is a member of the Council on Undergraduate Research, through which students who are conducting faculty-mentored research can access resources (http://www.cur.org/resources/for_students/).
- Council on Academic Freedom and Responsibility. Functions: (1) To foster and protect academic freedom for members of the faculty. (2) To uphold standards and responsibility and to possibly be involved in disciplinary action should there be sufficient cause for such action.

JOHNS HOPKINS UNIVERSITY (USN&WR RANK 11)

Primary Body: Homewood Academic Council⁴⁴

Represents University at Large: No.

Members Elected: No, nominated by voting faculty and appointed by the President.

Member Terms: 4 year terms, which are staggered.

Member Categories: Tenured and Tenure-track faculty (voting); unclear if Non-tenured track faculty are included as members.

Decision Rights: Advisory.

Presiding Officer: Chair of the Academic Council, who is the President.

Standing Committees: School of Arts and Sciences Curriculum Committee, Whiting School of Engineering Curriculum Committee, Homewood Graduate Board, Whiting School Graduate Committee, Board of Review, Arts and Sciences Advanced Academic Programs Academic Committee.

Website: <http://academiccouncil.jhu.edu/>

⁴⁴ Sources used in addition to the Homewood Academic Council website: Procedures of the Academic Council (http://academiccouncil.jhu.edu/files/2013/09/Procedures_of_the_Academic_Council_Bylaws_Revised_March_9_2016.pdf), Presidential Charge to the Homewood Academic Council (<http://academiccouncil.jhu.edu/presidential-charge/>). The Johns Hopkins School of Medicine has a separate Faculty Senate, which is not discussed (http://www.hopkinsmedicine.org/faculty_senate/index.html).

Background:

The mission of the Academic Council is to preserve and enhance the academic excellence of the Krieger School of Arts and Sciences and the Whiting School of Engineering. The Academic Council is charged to pursue this mission, whether directly or through its duly appointed subcommittees and designees, in ways including but not limited to the following:

1. The Academic Council will review all candidates for faculty appointments and promotions, and will recommend for appointment or promotion those candidates it approves.
2. The Academic Council will review all proposals for new degrees and new majors and minors in the Krieger and Whiting Schools, and will consider all matters of curricular and instructional policy that, in the Council's judgment, have a significant bearing on the quality of the Schools' academic programs.
3. The Academic Council will conduct periodic reviews of all departments in the Krieger and Whiting Schools; at the Council's discretion, it will also review centers, institutes, and administrative units that in its judgment, have a significant influence on the quality of the Schools' academic programs.
4. The Academic Council will advise the Deans, the Provost and the President on academically important questions of institutional policy and strategy.
5. The Academic Council will review all candidates for the degree of Doctor of Philosophy in all academic units of the Johns Hopkins University, and will recommend the awarding of this degree to those candidates it approves.
6. In accordance with the relevant policies and procedures, the Academic Council will consider cases of alleged academic misconduct, faculty discipline, and appeals from negative promotion decisions, and will take action as necessary.
7. The Academic Council will advise the administration regarding academic grievances that are brought before the Council by the Deans, the Provost, or the President; or that are brought to the Council's attention by its subcommittees or, in what it deems to be extraordinary cases, by members of the faculty.

The Dean of Arts and Sciences or the Dean of Engineering (on alternate semesters) are responsible for the agenda. Items of policy for discussion at Academic Council meetings are to be incorporated into the agenda a week in advance of the meeting, and circulated confidentially to the members of the Academic Council. Any full-time faculty member, or group of such members, may petition the Academic Council to discuss a matter of concern by submitting a request in writing to either the designated Council Secretary, the Dean of Arts and Sciences or to the Dean of Engineering. Such requests must ordinarily be received by the Secretary or Deans at least ten days prior to the Council meeting at which discussion is sought. The Secretary or Deans of the Homewood Schools will transmit the request to the full Council for information and will, if appropriate, place the request on the agenda of the earliest possible regular meeting.

Academic Council Standing Committees:

- Curriculum Committees. Responsible for fostering the enhancement of the undergraduate curriculum, giving special consideration to interdepartmental programs and general distribution requirements. - Reviewing existing undergraduate programs where appropriate. - Reviewing proposed undergraduate programs.
- Homewood Graduate Board. Responsible for administration of approved policies and procedures for Master's and PhD degrees and other such tasks as associated with graduate education.

- Whiting School Graduate Committee. Responsible for: (i) Recommendation to the Academic Council of all Whiting School requirements for graduate degrees other than the Ph.D. degrees; (ii) Administration of approved policies and procedures for the award of degrees other than the Ph.D. degrees; (iii) Recommendation to the Academic Council of changes in the existing programs or approval of any new programs for Whiting School degrees and certificates other than the Ph.D.; (iv) Continuous review of the standards and procedures for the admission of graduate students; (v) Policy formulation for selection and award of financial aid to graduate students; and (vi) Assuring that administrative practices include an appropriate information system concerning graduate education in the Whiting School.
- Board of Review Committee. Charged to make recommendations to the Deans and Academic Council of candidates for promotions and appointments at the ranks enumerated as follows: Research Professor, Associate Research Professor, Visiting Research Professor, Visiting Associate Research Professor, Principal Research Scholar/Scientist/Engineer, Research Scholar/Scientist/Engineer, Adjunct Principal Research Scholar/Scientist/Engineer and Adjunct Research Scholar/Scientist/Engineer.
- Arts and Sciences Advanced Academic Programs Academic Committee. Approve all new degrees, certificates and concentrations offered by Arts and Sciences Advanced Academic Programs, after which they must be transmitted to Academic Council for approval. Although the AAP Academic Committee is not a subcommittee of the Academic Council, the Academic Council shall appoint a liaison who will meet with the Committee when it is considering a matter requiring eventual Academic Council approval.

NORTHWESTERN UNIVERSITY (USN&WR RANK 11)

Primary Body: Faculty Senate⁴⁵

Represents University at Large: Yes.

Members Elected: Yes.

Member Terms: Three year terms, which are staggered.

Member Categories: Tenured and tenure-track faculty (voting), Non-tenure track faculty (voting).

Decision Rights: Advisory.

Presiding Officer: President of the Faculty Senate.

Standing Committees: Executive Committee, Budget and Planning, Committee on Cause, Educational Affairs, Faculty Handbook, Faculty Rights and Responsibilities, Governance, Non-Tenure Eligible, Research Affairs, Salary and Benefits, Secure Faculty Survey, Social Responsibility, Student Affairs.

Website: <http://www.northwestern.edu/faculty-senate/>

Background:

The Faculty Senate shall consider, make recommendations, and pass resolutions concerning matters of general university interest including all educational and research endeavors, hiring policy, the tenure and promotion system, and campus life. It is the representative and elected body of the faculty. The Faculty Senate was formed out of the General Faculty Committee, established in 1959. It dissolved in January 2010 when the Northwestern faculty adopted a shared

⁴⁵ Sources used in addition to the Faculty Senate website: Northwestern University Faculty Senate Bylaws (http://www.northwestern.edu/faculty-senate/documents/Faculty_Senate_bylaws.pdf), Northwestern University Shared Governance (http://www.northwestern.edu/faculty-senate/documents/Shared_Governance_01_28_10_Adopted.pdf).

governance structure consisting of an Assembly and a Senate. The Senate includes one representative from every department and one non-tenure track representative from each school. Tenured and tenure-track faculty are eligible for election to the Senate immediately upon their university appointment. Non-tenure track full time faculty are eligible for election after one year.

Duties and responsibilities:

1. The Faculty Senate will strive to protect academic freedom, the faculty appointment and promotion processes, the tenure system, and encourage excellence, equity, and diversity within the faculty, student body and university as a whole.
2. The Faculty Senate will consider and make recommendations concerning retired faculty, faculty salary and benefits policies, and improvement of the intellectual and social environment for faculty and students.
3. The Faculty Senate will consider and make recommendations concerning student life, including athletics, and co-curricular activities.
4. The Faculty Senate will represent the faculty in any revisions to the Faculty Handbook, and have a consultative role in developing criteria for reviewing senior university administrators.
5. The Faculty Senate shall be responsible for selecting a slate of faculty candidates to serve on University Presidential and Provost Search Committees. The Search Committees will include at least one faculty member from this slate.
6. The Faculty Committee on Cause provides an initial evaluation of appeals by faculty members in cases where the administration has imposed a minor sanction or is pursuing suspension or termination for Cause.
7. A university faculty committee appointed by the Provost will nominate candidates for honorary degrees.
8. On its own initiative the Faculty Senate may submit recommendations and resolutions to the Board of Trustees, transmitted through the Provost and university President, on any matter affecting the interests of the university.
9. The Faculty Senate will periodically solicit feedback from faculty on the functions of the university.

Senate Standing Committees

- Executive Committee. Composed of the President, Immediate Past President, the President Elect (who also serves as Vice President), and the chairs of the Standing Committees. The Executive Committee constitutes the leadership of the Faculty Senate. When directed by the Faculty Senate, the Executive Committee may propose meeting with the Board of Trustees or its Executive Committee to discuss matters relevant to the well-being of the university.
- Budget and Planning. Interact with university budget and planning processes to discern whether they are aligned with academic values and Faculty interests. Report to the Senate and to relevant university officers any concerns with respect to advancing the academic mission of the university or the quality and sustainability of the Faculty. Provide suggestions on behalf of the Senate to relevant university officers and planning committees regarding the direction and general welfare of the university and the role of the budget in meeting institutional objectives. Develop and coordinate information and expertise regarding best practices with respect to specific issues and general budgetary and planning processes in order to fulfill the Committee's and the Senate's goals and responsibilities.

- **Committee on Cause.** The Committee on Cause is one of two bodies involved in review of disciplinary matters involving Faculty. (The other is the Faculty Appeals Panel (FAP), which considers both denials of tenure and, as is relevant here, disciplinary matters involving major sanctions that threaten a Faculty member's status with the university.) The work of the Committee on Cause is entirely reactive and it is not expected to generate an agenda for its mission. Like FAP, it may be called upon to act at any time during the calendar year. The role of the Committee on Cause is outlined in the University Disciplinary Procedures section of the Faculty Handbook. "The Faculty Committee on Cause provides an initial evaluation of appeals by faculty members in cases where the administration has imposed a minor sanction or is pursuing suspension or termination for Cause. Each fall, the Faculty Senate's Executive Committee will nominate seven Faculty Senate members to serve on the Committee on Cause. Two of the nominees must be non-tenure eligible faculty members. The President of the Faculty Senate will send the names of the seven nominees to the Faculty Senate's membership. The Faculty Senate will then consider those names and, by majority vote, approve the seven members of the Committee on Cause or propose other candidates to serve on the Committee on Cause."
- **Educational Affairs.** The committee is to develop expertise and collate information regarding best practices with respect to specific educational issues. This acquired knowledge will be provided to the Senate as summaries and a common resource to increase Faculty awareness of educational resources and opportunities within the university should be created. With a goal of maintaining open communication, this committee provides Senate approved recommendations to relevant university officers and planning committees regarding the direction of education and academic objectives. The goal of this charge is to ensure future policy changes align with academic values and Faculty interests.
- **Faculty Handbook.** The Faculty Handbook constitutes the contract between the Faculty and the university. The charge of the Faculty Handbook Committee is to: Solicit ideas for suggested changes to the Faculty Handbook from Faculty Senators and members of the Faculty at large. Encourage Faculty Senators to distribute the Faculty Handbook to Faculty members and to solicit their suggestions for improvements to the Faculty Handbook. Evaluate suggestions for revisions to the Faculty Handbook and draft such revisions as appropriate. Present such draft revisions to the Faculty Handbook to the Executive Committee of the Senate for approval, amendment, and/or rejection with subsequent submission to the Faculty Senate as a whole for same.
- **Faculty Rights and Responsibilities.** An important component of the Senate's commitment to shared governance involves attention to Faculty rights and responsibilities. This committee is both pro-active in its initiatives as well as responsive to the specific concerns voiced by its constituency. Maintaining an awareness of peer institutions and national trends, the committee serves as a conduit for Faculty voices. Recent examples include internet privacy, and the ombudsperson program.
- **Governance.** Establish and revise senate rules and propose changes to bylaws.
- **Non-Tenure Eligible.** Identify issues and best practices related to non-tenure-eligible faculty through discussion with students and NU constituents, as well as with NU administrators, and/or colleagues at other institutions. Address issues and promote best practices related to non-tenure-eligible faculty through internal committee work, collaboration with other Senate committees, as well as with administrators. Report to the Senate and constituents at large on the issues and incorporate feedback/suggestions for resolution.
- **Research Affairs.** Handles issues that impact research-related activities, broadly defined, led by Faculty. These include university support for research-related activities, relationships with the Institutional Review Board, the administration, the student body, other research institutions, and society at large. The committee is interested in identifying obstacles to the optimal pursuit of research-related activities and working, together with Faculty and the university, on ways of reducing or removing them.

- Salary and Benefits. Salaries, health, education and other benefits including childcare.
- Secure Faculty Survey. Develop, implement, evaluate biennially (every two years) faculty survey
- Social Responsibility. The Social Responsibility Committee has a broad mandate for the upholding of fairness, decency, social concerns and responsibilities within our community. This includes but is not exhausted by: adherence to and operating upon the highest standards of environmental concern; fair and good working-conditions for all NU employees, including those working on campus but not employed directly by the university such as food-providers and construction-workers; monitoring and seeking to prevent instances of injustice in the university’s disciplinary procedures.
- Student Affairs. The committee will work collaboratively with Northwestern students on matters of mutual interest.

BROWN UNIVERSITY (USN&WR RANK 14)

Primary Body: Faculty Executive Committee⁴⁶

Represents University at Large: Yes.

Members Elected: Yes.

Member Terms: Two year terms, but the Chair of the Faculty Executive Committee serves a three-year term. Terms are staggered.

Member Categories: Complex model of voting. Appears that Tenured and tenure-track faculty can vote; some non-tenure track faculty can vote. Faculty with lecturer titles can vote. Deans, the President, the Provost can vote. Some emeriti faculty can vote. Other faculty, such as those with “clinical” or “practice” in their title are designated as non-voting.

Decision Rights: Advisory.

Presiding Officer: Chair of the Faculty Executive Committee, a tenured faculty member.

Standing Committees: Faculty Executive Committee, Academic Priorities Committee, University Resources Committee, Committee on Faculty Equity and Diversity, Honorary Degrees Committee, Committee on Nominations, Committee on Faculty Retirement, Several Committees and Councils on the Curriculum.

Website: <http://facgov.brown.edu/rules.html>

Background:

There are ten faculty members of the Faculty Executive Committee: Chair, Vice Chair, and Past Chair; and seven others. The Chair of the Medical Faculty Executive Committee or his/her designee shall be invited to attend, ex-officio, with voting privileges.⁴⁷ The Officers of the Faculty shall be the Chair, Vice Chair, and Past Chair of the FEC, the Secretary of the Faculty; and the Parliamentarian. The Office of Faculty Governance shall assist the FEC and other faculty committees, and shall keep the record of the *Faculty Rules and Regulations* up to date. The FEC serves as a central steering committee for faculty business. While the President of the university is an ex officio member of most committees, the President is not an ex officio member of the FEC or the University Resources Committee.

⁴⁶ Source used: Brown Faculty Rules and Regulations (dated July 1, 2017): <http://facgov.brown.edu/rules/FacultyRules.pdf>

⁴⁷ The Medical Faculty Executive Committee (MFEC) shall serve as a central faculty representative committee for the Brown Medical School Faculty in clinical departments.

Duties and responsibilities:

- To investigate matters of concern to the Faculty not in the purview of other faculty committees, and report and make recommendations concerning them to the Faculty.
- To refer such issues and other matters pertaining to faculty business to the Faculty, to the appropriate faculty committee, or to an ad hoc faculty committee that it may create to investigate and make recommendations regarding the issue.
- To receive and discuss the annual reports of committees which it shall forward as part of the agenda of a faculty meeting to all members of the Faculty.
- To call Special Faculty Meetings and Faculty Forums.
- To set the agenda for faculty meetings after consultation with the President, the Secretary of the Faculty and other interested parties.
- To act for the Faculty in emergencies, provided that it keeps the Faculty informed of such actions and brings them to the Faculty for approval as soon as possible.
- To serve as a conduit between the Faculty and the administration, Corporation, and students concerning faculty issues. Every faculty member shall have access to the FEC for purposes of voicing his or her concerns regarding general matters relating to faculty business.
- To draw up ballots whereby the Faculty shall elect members of the Committee on Nominations. For those ballots, the FEC shall solicit nominations from the voting members of the Faculty, and may add names to the list of nominees. The FEC shall not nominate any of its own members to the Committee on Nominations.
- To report annually to the Faculty on the composition by protected groups of faculty members serving on faculty committees and administrative advisory boards.
- To receive from senior administrators charges to administrative advisory boards for possible faculty approval and inclusion in *Faculty Rules and Regulations*.
- To periodically review faculty governing structures to ascertain their efficiency and efficacy in carrying out faculty objectives and to report its findings and recommendations to the Faculty. Reviews of faculty governance shall be done at least once every ten years.
- It shall be authorized, in consultation with the Secretary of the Faculty, the Parliamentarian, and such administrative officers as are appropriate, to insert and amend descriptions of administrative advisory boards and administratively-appointed committees of major interest to the Faculty in the listing of committees in the *Faculty Rules and Regulations*. These descriptions are to include a statement of the membership and charge in each case, similar to the format of entries of faculty-approved and elected committees. All changes, including additions and deletions, are to be presented to the Faculty by the FEC annually as a printed addendum to the *Faculty Rules and Regulations*, and current versions are to be incorporated when new versions of the *Faculty Rules and Regulations* are distributed to the Faculty.
- The Susan Colver Rosenberger Special Honor Medal is intended to be awarded by the Faculty to one or more individuals for notable achievement in scholarship, public welfare, or any other achievement deemed appropriate by the Faculty. Each year the Committee shall gather nominations for recipients of the award from the Faculty, and recommend one or more possible recipients of this award to the Faculty.

Other Standing Committees:

- **Academic Priorities Committee.** The Academic Priorities Committee is responsible for making recommendations to the President concerning the general direction of academic programs. Duties: To make recommendations on the strategic allocations of academic resources for operational, instructional and research purposes; To review all major academic budgetary proposals prepared for submission to the University Resources Committee; To review proposals to establish and/or renew departments, centers, programs, and institutes and make recommendations thereon for approval by the Faculty; To review proposals for new graduate degree programs and new undergraduate concentrations, in coordination with the Graduate Council and College Curriculum Council, so as to assess their impact on academic resources. The Academic Priorities Committee plays a consultative role, with final approval for graduate degree programs and undergraduate concentrations to be made by the Faculty and the College Curriculum Council, respectively; To supervise external reviews of and changes in the status of academic units and make recommendations thereon; To receive reports on appointments to named chairs and review policies for making such appointments; To review proposals for new university-level joint efforts with other institutions and make recommendations thereon to the President; It may itself also initiate proposals for the development of academic programs; To review policies on student admissions and aid that shape the composition of the university.
- **University Resources Committee.** The Committee shall serve to review, to analyze, and to offer recommendations to the President on all budgetary plans, proposals, and priorities, both current and future, affecting the university. Duties: The Committee shall be responsible for maintaining a level of awareness of budgetary matters throughout the university that will encourage the development of informed opinions and the articulation and discussion of issues; The Committee shall review, analyze and make recommendations regarding the allocation of university resources for the coming fiscal year and for long-range plans developed by the administration or by other duly constituted committees; The Committee will conduct its business in closed session. The Committee will, however, host university-wide forums as necessary and appropriate to allow the Committee to hear the concerns and priorities of the university community; The Committee shall, at appropriate points during the preparation of the university budget, report in written form to the President its analysis and its policy recommendations concerning the allocation of resources within the university.
- **Committee on Faculty Equity and Diversity.** The Committee on Faculty Equity and Diversity (CFED) shall represent the Faculty in personnel issues such as compensation, benefits, leaves, equity, diversity, and advancement. Duties: It shall recommend policy concerning faculty salary, benefits, and leaves, and supervise periodic professional assessment of the competitiveness of faculty salaries, benefits, and leaves. It shall review annually faculty salaries, benefits (including the Faculty Travel Fund), and leaves for equity in accordance with the Corporation Statement on Nondiscrimination⁵ and for competitiveness with peer institutions; It shall assess the diversity of the Faculty by rank and department, conduct periodic reviews of hiring procedures and the role of the departmental Diversity Representative, and shall advise on faculty retention, recruitment, and advancement policies; It shall assess, promote, and review university policies and practices relating to diversity and non-discrimination, as defined in the Corporation Statement on Non-discrimination and in the context of the Diversity and Inclusion Action Plan, in support of which it shall be provided reports on faculty hiring and advancement annually by the Office of Institutional Diversity and Inclusion, the Dean of the Faculty, the Dean of Public Health, and the Dean of Medicine and Biological Sciences; It shall conduct periodic reviews of and submit annual reports on the status of women and minority faculty at Brown, in accordance with the Corporation Statement on Nondiscrimination. It shall make recommendations to improve the status of women and minority faculty where inequities, as defined in the Corporation Statement

on Nondiscrimination, are identified and it shall work with the Vice President for Academic Development, Diversity and Inclusion, the Dean of the Faculty, the Dean of Public Health, and the Dean of Medicine and Biological Sciences to articulate goals for a more diverse faculty and help these officers to achieve these goals in accordance with the Corporation Statement on Nondiscrimination. These reviews will include periodic departmental reports of faculty composition by rank, gender, and ethnicity; It shall review denials of promotion, tenure, and re-appointment for procedural fairness and for adherence to the Corporation Statement on Nondiscrimination and submit findings, in writing, to TPAC, to the Provost, and to the President (as appropriate). Untenured and ex-officio members may not participate in these reviews. Associate Professors shall recuse themselves from reviews of faculty at their rank or higher. Members of the Committee must recuse themselves from reviews of faculty members in an academic unit in which they hold an appointment; It shall report annually to the Faculty and to the Faculty Executive Committee.

- Honorary Degrees Committee. The Committee shall seek nominations for honorary degrees from the Faculty and students. Duties: It shall prepare a list of candidates for honorary degrees during early fall semester each year and submit it to the Board of Fellows for consideration the later part of the same semester; It shall consult with the Board of Fellows on the criteria for selection as well as on the merits of all candidates for honorary degrees.
- Committee on Nominations. The Committee on Nominations shall make nominations at faculty meetings of persons to fill all committee vacancies to which faculty are elected according to the nominations rules of each committee, unless otherwise specified in the *Faculty Rules and Regulations*. Duties: The Committee on Nominations shall not nominate its members to other committees; The Committee on Nominations shall consult with the Provost in the selection of candidates for election by the Faculty to the University Resources Committee, Academic Priorities Committee and the Tenure, Promotions, and Appointments Committee; The Committee on Nominations shall advise senior administrators chairing administrative advisory boards on the appointment by the administrator of faculty members to the board or, in conjunction with the senior administrator, to nominate faculty members to be elected to the board by the Faculty either at a faculty meeting or by electronic ballot; When a committee is created by the Faculty, the Committee on Nominations shall appoint one member of the new committee to convene it.
- Committee on Faculty Retirement. To facilitate the transition of faculty to retirement and help retirees to continue to use their experience and wisdom for the benefit of the university. Duties: Consult with individual retired faculty and with independent organizations of retired faculty at Brown (Society of the Elderbears) and other universities; Act as a resource for faculty considering retirement; Communicate with administrators and other faculty committees who can assist the Committee in fulfilling its charge and work carefully with the Committee on Faculty Equity and Diversity (CFED); Issue reports as appropriate; and Make recommendations for faculty and administrative action.
- Several committees and councils related to the curriculum: undergraduate curriculum, graduate curriculum, academic code, academic standing, commencement.

CORNELL UNIVERSITY (USN&WR RANK 14)

Primary Body: Faculty Senate⁴⁸

Represents University at Large: Yes.

Members Elected: Yes.

⁴⁸ Sources used in addition to the Faculty Senate website: Cornell Faculty Handbook (<http://theuniversityfaculty.cornell.edu/dean/the-rules/faculty-handbook-2/faculty-handbook/>)

Member Terms: Three years, terms are staggered.

Member Categories: Tenured and tenure-track faculty; Non-tenure track faculty. More details from the Bylaws of Cornell University, Article XII, Section 1 follow. The Faculty comprises: (1) as voting members, the President, Professors Emeriti, university professors, professors-at-large in residence, and all professors, associate professors and assistant professors and all courtesy professorial ranks of the several colleges, schools and separate academic departments, divisions and centers at Ithaca and Geneva; (2) as nonvoting members, the professors, associate professors and assistant professors in (a) the Medical College and (b) those bearing the adjunct, visiting or acting title; and (3) such other persons as may have been, or may hereafter be, elected by the Board of Trustees, upon the recommendation of the Faculty, to voting or non-voting membership therein (Bylaws of Cornell University, Article XII, Section 1).

Decision Rights: Advisory.

Presiding Officer: President of the University.

Standing Committees: Academic Freedom and Professional Status of Faculty, Academic Programs and Policies, A.D. White Professor-At-Large Selection Committee, Educational Policies Committee, Faculty Advisory Committee on Athletics and Physical Education, Faculty Advisory Committee on Tenure Appointments, Faculty Committee on Program Review, Financial Policies Committee, Music Committee, University Benefits Committee, University Faculty Library Board, University Lectures Committee, University-ROTC Relationships Committee.

Website: <http://theuniversityfaculty.cornell.edu/faculty-senate/>

Background:

The Faculty Senate is the governing body of the University Faculty. Except for the powers reserved to the University Faculty, and subject to the power of the University Faculty to postpone or nullify any action of the Senate, all the powers and functions of the University Faculty are delegated to the Faculty Senate. The Senate has the following specific powers: (1) to select its officers; (2) to approve or reject nominees presented by the Nominations and Elections Committee for election by the University Faculty; (3) to approve or reject the list of members and chairs presented by the Nominations and Elections Committee for appointed committees; and (4) to adopt, amend, or repeal bylaws or other procedures relating to the conduct of its business and the duties and functions of its officers and committees.

Senate members are elected by the various schools and the academic departments within the colleges in Ithaca and Geneva, and nine members are elected at-large by the University Faculty. The president, dean of the faculty, associate dean and secretary of the faculty, and the two faculty trustees are voting members. There are over 100 faculty senators. Meetings are held on Wednesday evenings. There are five faculty representatives on the University Assembly, in addition to faculty representatives on all University Assembly committees. Through the Assemblies, faculty join students and staff on university committees taking up issues that affect the entire campus.

Faculty Senate Officers include the president of the university, who will serve as ex officio president of the Senate; an elected speaker, who will serve as an impartial moderator; one or more parliamentarians appointed at the speaker's discretion; and such other officers as may be provided for from time to time.

Standing Committees:

[There is no Executive Committee or other oversight committee with Faculty Senate Officers as best we can determine.]

- Academic Freedom and Professional Status of Faculty (AFPS). Concerned with Academic Freedom and Responsibility, Freedom of Teaching and Learning, including but not limited to the special concerns of the

faculty that teaching and learning be carried out freely and without disruption, interference, or intimidation. AFPS also looks at policies and procedures relating to faculty appointments, promotion, retirement, separation, tenure and other related matters.

- Academic Programs and Policies (CAPP). Concerns itself with academic programs and policies which are independent of or extend beyond the single or joint jurisdiction of a school or college faculty. It initially screens formal proposals for new academic programs, degrees, or policies. CAPP also examines policies governing the use of, and plans for, university-wide academic facilities and services, such as libraries, classrooms and computers.
- A.D. White Professor-At-Large Selection Committee. An A.D. White Professor-at-Large must have an outstanding international reputation. Humanists, scientists, social scientists, and members of the learned professions are to be considered as well as non-academic persons drawn from public affairs, literature, and the creative arts. This committee oversees the selection process.
- Educational Policies Committee (EPC). Concerned with general educational policies that relate to instruction and involve more than one college, school or separate academic unit. Issues include : grades and grading policies preliminary and final examination policies, university-wide academic requirements, the academic calendar, class schedule, and hours of instruction.
- Faculty Advisory Committee on Athletics and Physical Education (FACAPE). Concerned with how the programs of the Department of Athletics and Physical Education can best complement and support the overall educational objectives of the university. Issues include academics, admissions, and the student athlete, working with the NCAA, the IVY league, and the ECAC, and the PE requirement.
- Faculty Advisory Committee on Tenure Appointments (FACTA). Established to advise the Provost on proposed promotions to tenure, as well as proposed denials of tenure by a dean after a positive recommendation from the department. Review of tenure recommendations for those who have achieved tenure at another institution will be at the discretion of the Provost.
- Faculty Committee on Program Review (FCPR). Departments and Centers and other units are reviewed every 5-10 years. The Faculty Committee on Program Review (FCPR) oversees the program review process. The Committee will consist of no fewer than nine and no more than eleven faculty members representing the broad disciplinary areas and academic functions of Cornell and a senior member of the administration appointed by the Provost ex-officio. Members of the FCPR will be selected jointly by the Provost and the Senate, and will serve three year staggered terms. The chair of the Committee will be chosen jointly by the Provost and the Senate.
- Financial Policies Committee (FPC). Tracks the financial condition and policies of the university and develops priorities, based on educational considerations, which should be reflected in the budgets of the endowed and statutory units. The FPC assists the administration with the budget-planning process. It considers the financial implications of financial aid, retirement policies, and faculty salary levels.
- Music Committee. The Committee on Music concerns itself with the university musical offerings, arranging schedules and securing performances of musical groups.
- University Benefits Committee (UBC). Acts as the voice of employees on all matters relating to benefits including social security, group life insurance, accidental death and dismemberment insurance, retirement-related benefits, short-and long-term disability, select (health) benefits, workers' compensation, unemployment insurance, holidays, military training leave, jury duty, training programs, extramural

educational programs, employee assistance program (personal, job related problems), group auto insurance, health insurance and services, dental insurance, vacations, Cornell Children's Tuition Plan, Employee tuition aid, employee degree program.

- University Faculty Library Board. The Board assists the University Librarian in maintaining and promoting the welfare of the University Libraries. Helps formulate broad library policy. Keeps the Librarian informed of the needs and concerns of the faculty and students. Represents the interest of the Libraries to the faculty as well as to the university administration.
- University Lectures Committee. The University Lectures Committee administers the several university lecture funds and serves informally as a clearinghouse for other general lectures and scheduling.
- University-ROTC Relationships Committee (URRC). Serves as an educational policy committee and hearing board for the program. The URRC also reviews instructional appointments.

RICE UNIVERSITY (USN&WR RANK 14)

Primary Body: Faculty Senate⁴⁹

Represents University at Large: Yes.

Members Elected: Yes.

Member Terms: Three-year terms, which are staggered.

Member Categories: Tenured and tenure-track faculty (voting); Non-tenure track faculty (voting).

Decision Rights: Does approve graduate and undergraduate majors, certificates, major concentrations, degree name changes; also approves undergraduate minors.

Presiding Officer: Speaker of the Senate, a faculty member.

Standing Committees: Executive Committee, Nominations and Elections Committee.

Website: https://professor.rice.edu/professor/faculty_senate.asp

Background:

The Faculty Senate is a representative body of the university faculty formed to investigate, discuss, and decide on matters concerning the academic affairs of the university. It was approved for creation on February 28, 2005. The powers and duties of the Senate, the membership of the Senate, Senate elections, and required plenary faculty meetings are specified in the Constitution of the Faculty Senate. The Faculty Senate, ratified by the university faculty in plenary session, replaces the previous Faculty Council form of governance. The Faculty Senate will be a representative body of the faculty. It will consist of thirty-four members: thirty elected members, two members appointed by the President and approved by the Senate, and the President and the Provost, who are *ex officio*, non-voting members.

This Constitution is rooted in an understanding that the responsibility and authority for the operation of the university are vested in the Office of the President. The effectiveness of the President's leadership rests upon his or her knowledge of the needs and concerns of the university community, his or her ability to make the wisest decisions within the range of feasible options, and his or her ability to elicit the confidence and support of various elements of

⁴⁹ Sources used in addition to the Faculty Senate website: Constitution of the Rice University Faculty Senate, https://professor.rice.edu/uploadedFiles/Professor/Faculty_Senate/Constitution,%20Revised%20Jan.%2025,%202017,%20Sections%202%20and%205.pdf, Bylaws of the Rice University Faculty Senate, http://professor.rice.edu/uploadedFiles/Professor/Faculty_Senate/Bylaws-REVISED%203-26-2014.pdf,

the university in implementing these decisions. To these ends, this Constitution seeks to establish a pattern of consultation between the President and faculty through a representative structure. This pattern is not exclusive and should not preclude decisions and actions by the President in some situations.

Standing Committees:

- **Executive Committee.** The Executive Committee will consist of the Speaker, the Deputy Speaker and at least six but no more than eight additional members. The chair of the Executive Committee shall be the Speaker. The Executive Committee members shall be elected, as a slate, at the first regular meeting of the Senate each academic year. A slate is a group of nominees (one for each of the available positions) that will be voted on as a group. The Executive Committee will set the agenda for each meeting of the Senate in accordance with the procedures detailed in Section 8 below and in the Meeting Rules of the Faculty Senate. The agenda of the Senate meetings will be posted on the Senate web site at least one week prior to the meeting of the Senate. The Executive Committee may act on behalf of the Senate between May 15 and August 15 on matters of urgency by formally adopting an Action of the Executive Committee. For each Action of the Executive Committee adopted, a motion of ratification must be presented to the full Senate at the first meeting of the academic year. Such motions may not be amended and, if approved, the associated Action of the Executive Committee will become a Resolution of the Senate.
- **Nominations and Elections Committee.** The Nominations and Elections Committee will conduct elections, work to improve the quality of nominations and participation in elections, recommend to the Executive Committee University Standing Committee membership for submission to the President, monitor the staggering of terms and propose remedies as necessary, nominate slates of candidates for the Executive Committee of the subsequent Senate, and work on any other matters germane to elections and nominations delegated to it by the Speaker.
- **Working groups** will be formed and dissolved by the Speaker as required for the efficient conduct of Senate business. All working groups and the names and contact information of their Chairpersons will be posted on the Senate website for the duration of their existence.
- **The Promotion and Tenure (P&T) Committee** is a University Committee. The Chair of the P&T Committee shall be the Provost. The Faculty Senate shall administer the nomination and election of P&T members each Spring semester to fill positions becoming vacant. Eligible voters in each election are tenure-track and tenured faculty with primary appointments in the relevant School or Schools. Candidates for election must be tenured full professors with primary appointments in the School or Schools they will represent, and be nominated by a petition with at least ten signatures of eligible voters in their constituency. In the event that a position on the P&T Committee is unfilled or an elected member is unable or unwilling to serve, the Speaker of the Senate, in consultation with the Provost and the Dean or Deans of the relevant School or Schools, will appoint a tenured full professor with a primary appointment in the relevant School or Schools as a one-year replacement.

TABLES AND FIGURES

Table 1: Vanderbilt COACHE Shared Governance Responses

School	Statistic	Shared Governance			
		Overall	Direct	Representative	Unusual Situations
Vanderbilt University	Mean	2.744	2.951	2.934	2.809
	N	566	569	452	606
Arts & Science	Mean	2.621	2.866	2.877	2.708
	N	232	228	179	243
	SCHOOL DIFF	-0.271	-0.186	-0.166	-0.227
Blair	Mean	3.048	3.059	3.137	3.000
	N	21	24	20	27
	SCHOOL DIFF	0.209	0.031	0.126	0.102
Divinity	Mean	2.308	2.781	2.683	2.615
	N	13	12	10	13
	SCHOOL DIFF	-0.623	-0.282	-0.385	-0.332
Engineering	Mean	2.677	3.022	2.915	3.014
	N	65	66	53	70
	SCHOOL DIFF	-0.208	-0.011	-0.124	0.117
Law	Mean	3.000	3.219	3.342	3.261
	N	21	23	18	23
	SCHOOL DIFF	0.155	0.211	0.357	0.395
Medicine-Basic Sciences	Mean	2.792	2.753	2.812	2.753
	N	53	58.2	39	67
	SCHOOL DIFF	-0.079	-0.314	-0.240	-0.167
Nursing	Mean	3.571	3.479	3.509	3.377
	N	56	58	50	61
	SCHOOL DIFF	0.798	0.503	0.545	0.526
Owen	Mean	3.538	3.479	3.584	3.208
	N	26	25	22	24
	SCHOOL DIFF	0.761	0.503	0.628	0.336
Peabody	Mean	2.203	2.628	2.367	2.244
	N	79	75	62	78
	SCHOOL DIFF	-0.741	-0.455	-0.741	-0.749

SCHOOL DIFF = between school differences; orange highlights indicate SCHOOL DIFF values (absolute value) > 0.50.

Table 2: Vanderbilt COACHE Shared Governance Responses by Race and Ethnicity

School	Statistic	Shared Governance											
		Overall			Direct			Representative			Unusual Situations		
		White	Asian	URM	White	Asian	URM	White	Asian	URM	White	Asian	URM
Vanderbilt University	Mean	2.712	3.214	2.653	2.948	3.239	2.769	2.905	3.476	2.799	2.802	3.024	2.709
	N	475	42	49	481	38	50	379	32	42	509	42	55
	GROUP DIFF		0.502	-0.059		0.291	-0.179		0.571	-0.106		0.222	-0.093
Arts and Science	Mean	2.568	2.933	2.781	2.858	3.036	2.862	2.843	3.224	2.933	2.691	2.824	2.743
	N	185	15	32	182	14	32	143	10	26	191	17	35
	GROUP DIFF		0.365	0.213		0.178	0.004		0.381	0.091		0.133	0.052
	SCHOOL DIFF	-0.310	-0.234	-	-0.199	-0.021	0.562	-0.191	-0.111	0.233	-0.265	-0.101	0.343
Blair	Mean	2.889	-	-	2.933	-	-	2.994	-	-	2.920	-	-
	N	18	-	-	21.8	-	-	18.375	-	-	25	-	-
	GROUP DIFF		-	-		-	-		-	-		-	-
	SCHOOL DIFF	0.051	-	-	-0.114	-	-	-0.021	-	-	-0.007	-	-
Divinity	Mean	2.455	-	-	2.915	-	-	2.768	-	-	2.727	-	-
	N	11	-	-	10	-	-	9	-	-	11	-	-
	GROUP DIFF		-	-		-	-		-	-		-	-
	SCHOOL DIFF	-0.437	-	-	-0.135	-	-	-0.275	-	-	-0.224	-	-
Engineering	Mean	2.520	3.333	-	2.964	3.234	-	2.746	3.567	-	2.947	3.1	-
	N	50	12	-	52	11	-	41	9	-	57	10	-
	GROUP DIFF		0.813	-		0.270	-		0.821	-		0.153	-
	SCHOOL DIFF	-0.364	0.367	-	-0.079	0.277	-	-0.300	0.403	-	0.023	0.313	-
Law	Mean	3.111	-	-	3.273	-	-	3.409	-	-	3.368	-	-
	N	18	-	-	19	-	-	15	-	-	19	-	-
	GROUP DIFF		-	-		-	-		-	-		-	-
	SCHOOL DIFF	0.301	-	-	0.268	-	-	0.446	-	-	0.497	-	-

Medicine- Basic Sciences	Mean	2.805	3.000	-	2.768	2.879	2.300	2.814	3.104	2.700	2.796	2.75	2.4
	N	41	9	-	47	7	5	29	7	5	54	8	5
	GROUP DIFF		0.195	-		0.111	-0.468		0.289	-0.114		-0.046	-0.396
	SCHOOL DIFF	-0.043	-0.133	-	-0.300	-0.256	-0.562	-0.223	-0.292	-0.233	-0.147	-0.212	-0.343
Nursing	Mean	3.528	-	-	3.433	-	-	3.476	-	-	3.321	-	-
	N	53	-	-	54	-	-	47	-	-	56	-	-
	GROUP DIFF		-	-		-	-		-	-		-	-
	SCHOOL DIFF	0.770	-	-	0.448	-	-	0.522	-	-	0.444	-	-
Owen	Mean	3.478	-	-	3.514	-	-	3.683	-	-	3.286	-	-
	N	23	-	-	22	-	-	19	-	-	21	-	-
	GROUP DIFF		-	-		-	-		-	-		-	-
	SCHOOL DIFF	0.714	-	-	0.539	-	-	0.755	-	-	0.405	-	-
Peabody	Mean	2.237	-	-	2.655	-	-	2.379	-	-	2.280	-	-
	N	76	-	-	72.2	-	-	59	-	-	75	-	-
	GROUP DIFF		-	-		-	-		-	-		-	-
	SCHOOL DIFF	-0.682	-	-	-0.428	-	-	-0.713	-	-	-0.727	-	-
Asian GROUP DIFF = within school difference(Asian minus White); URM GROUP DIFF= within school difference (URM minus White); SCHOOL DIFF= between school differences; yellow highlights indicate GROUP DIFF values (absolute value) > 0.50; orange highlights indicate SCHOOL DIFF values (absolute value) > 0.50; cells with - had too few responses.													

Table 3: Vanderbilt COACHE Shared Governance Responses by Gender

School	Statistic	Shared Governance							
		Overall		Direct		Representative		Unusual Situations	
		Female	Male	Female	Male	Female	Male	Female	Male
Vanderbilt University	Mean	2.844	2.665	3.047	2.877	3.006	2.882	2.845	2.781
	N	250	316	251	318	193	260	264	342
	GROUP DIFF	0.179		0.170		0.124		0.064	
Arts and Science	Mean	2.740	2.537	2.929	2.827	2.939	2.838	2.758	2.674
	N	96	136	93	135	69	110	99	144
	GROUP DIFF	0.203		0.102		0.102		0.084	
	SCHOOL DIFF	-0.105	-0.237	-0.221	-0.087	-0.042	-0.147	-0.201	-0.184
Blair	Mean	3.385	2.500	3.187	2.915	3.264	2.983	3.000	3.000
	N	13	8	12	11.6	11.375	9	13	14
	GROUP DIFF	0.885		0.272		0.281		-	-
	SCHOOL DIFF	0.647	-0.279	0.074	0.012	0.337	0.016	0.075	0.183
Divinity	Mean	-	2.200	-	2.607	-	2.607	-	2.400
	N	-	10	-	9	-	7	-	10
	GROUP DIFF	-	-	-	-	-	-	-	-
	SCHOOL DIFF	-	-0.616	-	-0.334	-	-0.407	-	-0.492
Engineering	Mean	2.700	2.673	3.272	2.981	3.224	2.862	3.273	2.966
	N	10	55	10	56	8	46	11	59
	GROUP DIFF	0.027		0.291		0.363		0.307	
	SCHOOL DIFF	-0.152	-0.089	0.171	0.098	0.290	-0.102	0.387	0.186
Law	Mean	2.300	3.636	2.844	3.524	2.734	3.867	2.667	3.643
	N	10	11	10	13	8	10	9	14
	GROUP DIFF	-1.336		-0.681		-1.133		-0.976	
	SCHOOL DIFF	-0.619	0.999	-0.318	0.698	-0.282	1.011	-0.305	0.907
Medicine-Basic Sciences	Mean	2.800	2.789	2.803	2.729	2.649	2.859	2.650	2.809
	N	15	38	18	40	9	30	20	47
	GROUP DIFF	0.011		0.074		-0.210		-0.159	
	SCHOOL DIFF	-0.035	0.012	-0.365	-0.199	-0.380	-0.123	-0.325	-0.009

Nursing	Mean	3.694	2.714	3.579	2.621	3.610	2.888	3.491	2.625
	N	49	7	52	8	43	7	53	8
	GROUP DIFF	0.980		0.959		0.721		0.866	
	SCHOOL DIFF	1.008	-0.038	0.522	-0.319	0.740	-0.090	0.636	-0.239
Owen	Mean	-	3.458	0.644	3.439	-	3.512	3.400	3.158
	N	-	24	5	21	-	18	5	19
	GROUP DIFF	-	-	0.228		-	-	0.242	
	SCHOOL DIFF	-	0.799	0.622	0.601	-	0.612	0.532	0.361
Peabody	Mean	2.192	2.222	2.699	2.494	2.406	2.301	2.235	2.259
	N	52	27	49	26	39	23	51	27
	GROUP DIFF	-0.030		0.205		0.105		-0.024	
	SCHOOL DIFF	-0.745	-0.303	-0.484	-0.484	-0.664	-0.664	-0.799	-0.650

Gender GROUP DIFF = within school difference (women minus men); Gender SCHOOL DIFF = between school difference; yellow highlights indicate GROUP DIFF values (absolute value) > 0.50; orange highlights indicate SCHOOL DIFF values (absolute value) > 0.50; cells containing - had too few responses.

Table 4: Vanderbilt COACHE Shared Governance Responses by Tenure Stream

School	Statistic	Shared Governance							
		Overall		Direct		Representative		Unusual Situations	
		Tenure Stream	Non-Tenure Stream	Tenure Stream	Non-Tenure Stream	Tenure Stream	Non-Tenure Stream	Tenure Stream	Non-Tenure Stream
Vanderbilt University	Mean	2.696	3.158	2.934	3.130	2.957	3.238	2.811	3.061
	N	382	184	380	189	310	142	392	214
	GROUP DIFF	-0.462		-0.196		-0.281		-0.250	
Arts and Science	Mean	2.554	2.940	2.810	3.018	2.800	3.288	2.691	2.952
	N	182	50	177	51	145	34	181	62
	GROUP DIFF	-0.386		-0.208		-0.488		-0.262	
Blair	SCHOOL DIFF	-0.016	-0.270	-0.244	-0.058	-0.243	0.163	-0.255	-0.115
	Mean	2.250	3.500	2.936	3.031	3.082	3.033	2.750	3.154
	N	8	12	9	13	8	11	12	13
Divinity	GROUP DIFF	-1.250		-0.095		0.049		-0.404	
	SCHOOL DIFF	-0.363	0.402	-0.103	-0.04	0.075	-0.143	-0.188	0.127
	Mean	2.400	-	2.787	-	2.702	-	2.800	-
Engineering	N	10	-	9	-	8	-	10	-
	GROUP DIFF	-	-	-	-	-	-	-	-
	SCHOOL DIFF	-0.192	-	-0.270	-	-0.353	-	-0.132	-
Law	Mean	2.561	3.235	2.961	3.263	2.928	3.350	3.206	3.227
	N	48	17	48	18	40	13	48	22
	GROUP DIFF	-0.675		-0.303		-0.421		-0.022	
Law	SCHOOL DIFF	-0.008	0.084	-0.075	0.236	-0.098	0.238	0.325	0.215
	Mean	2.813	-	3.057	-	3.053	-	3.059	-
	N	16	-	17	-	12	-	17	-
Law	GROUP DIFF	-	-	-	-	-	-	-	-
	SCHOOL DIFF	0.280	-	0.034	-	0.042	-	0.160	-

Medicine- Basic Sciences	Mean	2.633	3.000	2.847	2.619	3.047	2.815	2.841	2.68
	N	30	19	39	19	30	10	42	25
	GROUP DIFF	-0.367		0.228		0.232		0.161	
	SCHOOL DIFF	0.075	-0.198	-0.203	-0.537	0.036	-0.404	-0.086	-0.442
Nursing	Mean	-	3.583	3.933	3.459	3.850	3.560	3.600	3.404
	N	-	48	5	51	5	42	5	52
	GROUP DIFF	-	-	0.475		0.290		0.196	
	SCHOOL DIFF	-	0.501	1.019	0.471	0.939	0.490	0.768	0.427
Owen	Mean	3.278	-	3.510	-	3.824	-	3.334	-
	N	18	-	21	-	19	-	20	-
	GROUP DIFF	-	-	-	-	-	-	-	-
	SCHOOL DIFF	0.812	-	0.544	-	0.909	-	0.469	-
Peabody	Mean	2.054	2.733	2.403	3.007	1.854	2.865	1.974	2.871
	N	49	30	47	29	40	24	47	31
	GROUP DIFF	-0.679		-0.604		-1.011		-0.898	
	SCHOOL DIFF	-0.587	-0.519	-0.702	-0.071	-1.307	-0.344	-1.061	-0.212
Tenure stream GROUP DIFF = within school difference (Tenure Stream minus Non-Tenure Stream); Tenure stream SCHOOL DIFF = between school difference; yellow highlights indicate GROUP DIFF values (absolute value) > 0.50; orange highlights indicate SCHOOL DIFF values (absolute value) > 0.50; cells containing - had too few responses .									

Table 5: Vanderbilt COACHE Shared Governance Responses by Rank

School	Statistic	Shared Governance							
		Overall		Direct		Representative		Unusual Situations	
		Full/ Associate	Assistant/ Instructor	Full/ Associate	Assistant/ Instructor	Full/ Associate	Assistant/ Instructor	Full/ Associate	Assistant/ Instructor
Vanderbilt University	Mean	2.551	3.136	2.899	3.077	2.797	3.289	2.667	3.069
	N	369	193	367	198	309	140	377	225
	GROUP DIFF	-0.585		-0.177		-0.491		-0.402	
Arts and Science	Mean	2.548	2.813	2.879	2.894	2.829	3.082	2.640	2.867
	N	163	68	156	71	134	44	159	83
	GROUP DIFF	-0.265		-0.015		-0.254		-0.227	
Blair	SCHOOL DIFF	-0.154	-0.283	-0.109	-0.159	-0.032	-0.195	-0.186	-0.264
	Mean	2.750	3.000	3.131	2.506	3.195	2.767	3.077	2.8
	N	8	6	11	7	10	5	13	5
Blair	GROUP DIFF	-0.250		0.625		0.428		0.277	
	SCHOOL DIFF	0.073	-0.059	0.175	-0.612	0.380	-0.563	0.307	-0.342
	Mean	2.267	-	2.713	-	2.631	-	2.600	-
Divinity	N	11	-	11	-	10	-	11	-
	GROUP DIFF	-		-		-		-	
	SCHOOL DIFF	-0.471	-	-0.296	-	-0.255	-	-0.230	-
Engineering	Mean	2.670	2.647	3.045	2.935	2.863	3.040	2.896	3.333
	N	48	17	51	15	40	13	52	18
	GROUP DIFF	0.023		0.110		-0.177		-0.437	
Engineering	SCHOOL DIFF	-0.017	-0.482	0.078	-0.111	0.007	-0.245	0.103	0.280
	Mean	2.833	-	3.109	-	3.141	-	3.158	-
	N	18	-	19	-	14	-	19	-
Law	GROUP DIFF	-		-		-		-	
	SCHOOL DIFF	0.167	-	0.150	-	0.320	-	0.398	-

Medicine-Basic Sciences	Mean	2.749	3.000	2.819	2.703	2.725	2.886	2.754	2.7085
	N	32	21	35.4	23	25	12	37	30
	GROUP DIFF	-0.252		0.116		-0.161		0.045	
	SCHOOL DIFF	0.072	-0.059	-0.177	-0.382	-0.148	-0.424	-0.057	-0.448
Nursing	Mean	2.889	3.842	3.111	3.637	2.711	3.775	2.875	3.533
	N	9	43	13	46	14	37	8	49
	GROUP DIFF	-0.953		-0.526		-1.063		-0.658	
	SCHOOL DIFF	0.230	0.951	0.152	0.707	-0.164	0.612	0.079	0.513
Owen	Mean	3.567	-	3.489	3.544	3.489	4.000	3.362	3.4
	N	20	-	20	4	19	5	18	5
	GROUP DIFF	-		-0.056		-0.511		-0.039	
	SCHOOL DIFF	0.992	-	0.577	0.599	0.711	0.875	0.627	0.359
Peabody	Mean	1.892	2.992	2.486	2.996	2.129	3.198	1.881	3.009
	N	51	28	48	29	44	19	50	28
	GROUP DIFF	-1.100		-0.510		-1.069		-1.128	
	SCHOOL DIFF	-0.892	-0.069	-0.551	-0.041	-0.819	-0.060	-1.040	-0.098

Rank GROUP DIFF = within school difference ((Full + Associate) minus (Assistant + Instructor)); Rank SCHOOL DIFF = between school difference ; yellow highlights indicate GROUP DIFF values (absolute value) > 0.50; orange highlights indicate SCHOOL DIFF values (absolute value) > 0.50; cells containing - had too few responses .

**Table 6: Models of University Faculty Governance:
Vanderbilt and Peer Institutions (2018 *US News & World Report* rank in parentheses)**

A&S Model	University Model
Harvard University (#2)	Vanderbilt University (#14)
Yale University (#4)	Princeton University (#1)
Dartmouth University (#11)	University of Chicago (#3)
Johns Hopkins University (#11)	Columbia University (#5)
	Massachusetts Institute of Technology (#5)
	Stanford University (#5)
	University of Pennsylvania (#8)
	Duke University (#9)
	Northwestern University (#11)
	Brown University (#14)
	Cornell University (#14)
	Rice University (#14)

Table 7: Summary of Peer Schools Governance, University Model Peers Only: Presiding and Voting Members

(1)	(2)	(3)	(4)	(5)	(6)
School	Body	Presiding	Faculty?	Voting	Non-Voting
Vanderbilt	Faculty Senate	Chair	Yes	TT, NTT	SA
Princeton	Council of the Princeton University Community (CPUC)	President	No	TT, NTT, SA, GS, UG, A	
Chicago	Council of the University Senate	President	No	TT, NTT, President breaks ties	SA
Columbia	University Senate	President	No	TT, NTT, SA, GS, UG, A	
MIT	Faculty Policy Committee	Chair	Yes	TT, GS, UG. Unclear if NTT voting	SA
Stanford	Senate	Chair	Yes	TT, NTT	SA
Penn	Faculty Senate	Chair	Yes	TT, NTT	SA, E
Duke	Academic Council	Chair	Yes	TT, NTT	SA
NW	Faculty Senate	President	Yes	TT, NTT	SA
Brown	Faculty Executive Committee	Chair	Yes	TT, NTT, SA, E	
Cornell	Faculty Senate	President	No	TT, NTT, SA, E	
Rice	Faculty Senate	Speaker	Yes	TT, NTT	SA

Notes to Table 7: Column (1) is the school name. Column (2) contains the name of the primary faculty body associated with governance. Column (3) reports the presiding officer of that body. Column (4) indicates whether the presiding officer is a full-time faculty member. Column (5) identifies the broad titles or groups of individuals who are members of the governing body who have voting rights. Column (6) reports the information for groups or individuals who are members of the governing body, but without voting rights reports. Abbreviations used in columns (5) and (6): TT (tenure track faculty), NTT (non-tenure track faculty), E (emeritus faculty), SA (senior administrators), GS (graduate students), UG (undergraduate students), A (alumni).

Table 8: Summary of Peer Schools Governance, University Model Peers Only: Senate Standing Committees not Represented on the Vanderbilt Faculty Senate	
(1)	(2)
School	Standing Committees (Charge)
Vanderbilt	Not applicable
Princeton	Committee on Rights and Rules (evaluates adequacy of rules regarding conduct); Committee on Governance (considers matters related to governing University); Committee on Priorities (reviews University budget).
Chicago	Committee of the Council (similar in spirit to the Executive Committee of the Faculty Senate) but structured differently.
Columbia	Alumni Relations (liaison between Senate and alumni); Budget Review (reviews University budget); Campus Planning and Physical Development; Education (considers educational innovations); External Relations (purview includes research strategies, relations with private and public sponsoring agencies, and enhancing local, national, international reputation); Honors and Prizes; Housing Policy; Information and Communications Technology; Libraries and Digital Resources; Research Officers; Rules of University Conduct.
MIT	Graduate Programs; Undergraduate Program; Curricula; Undergraduate Admissions and Financial Aid; Academic Performance; Discipline (related to students and student organizations); Library System; Nominations; Campus Planning.
Stanford	Committee on Committees (create, dissolve Senate committees, appointments to University committees); Planning and Policy Board (study long-term trends and formulate academic policy); Advisory Board (advise President).
Penn	Committee on Committees (hub for all committees for which Senate makes nominations); Economic Status of the Faculty (faculty salary and benefits); Faculty and the Academic Mission (tenure system, faculty research, faculty governance); Faculty and the Administration (interface with administration on its structure, conditions of faculty employment); Publication Policy for Almanac; Students and Educational Policy (student discipline, study abroad, grading, examinations); Nominating Committee (nominate individuals to serve on Senate).
Duke	Faculty Compensation; Faculty Scholars (selects undergraduates for award); Committee on Elections (oversees Academic Council elections)

Table 8: Summary of Peer Schools Governance, University Model Peers Only: Senate Standing Committees not Represented on the Vanderbilt Faculty Senate CONTINUED	
NW	Budget and Planning; Educational Affairs (best practices on education matters); Faculty Rights and Responsibilities (governance, conduit for faculty voice); Governance (bylaws); Non-Tenure Eligible (best practices for NTT faculty); Research Affairs; Salary and Benefits; Secure Faculty Survey; Social Responsibility (fairness, decency, social concerns within community).
Brown	Academic Priorities (reviews academic budget); University Resources (reviews University budget); Honorary Degrees; Nominations (nominate individuals for elected committee service); Faculty Retirement.
Cornell	A.D. White Professor-At-Large Selection Committee; Educational Policies (educational policies that bridge schools: grading, exams, academic calendar); Advisory Committee on Athletics and Physical Education; Tenure Appointments (advise Provost on tenure appointments; tenure grievances); Program Review (accreditation related); Financial Policies (University budget planning, retirement policies, faculty salary); Music Committee (arranges musical offerings); Benefits Committee; Faculty Library Board; Lectures Committee (administers University lecture funds); ROTC Relationships Committee
Rice	Nominations and Elections (Senate related election policies); Promotion and Tenure Committee (nominate and elect PTRC members).
<p>Notes to Table 8: Column (1) is the school name. Column (2) contains the school’s standing committees for standing committees that are not also standing committees for the VU Faculty Senate. A brief description of the committee’s charge follows in parentheses when not self-evident from committee name; task forces are excluded. Detailed charges for all committees are contained in the Appendix.</p>	

Table 9: Summary of Peer Schools Governance, University Model Peers Only: Senate Body Decision Rights	
(1)	(2)
School	Decision Authority
Vanderbilt	<p>“The Senate may discuss and express its views about any matter affecting the University. The Senate shall have the power to review and evaluate the educational policies and practices of the University and may make recommendations concerning them to any individual, Faculty, or other group within the University. It may provide for appropriate Faculty discussion of any educational policy or practice. It may advise and consult with the chief administrative officers and inform them of Faculty opinions about such matters. It shall facilitate and encourage communication within the University, among the several Schools, and reciprocally among Faculty, students, and administration. It is each Faculty’s responsibility to devise internal procedures for facilitating communication between that Faculty and its representatives in the Senate. The Senate shall act in a consultative capacity when the establishment of new schools or colleges is considered or when new degrees are proposed. Its approval is necessary for the granting of honorary degrees. The Senate is responsible for defining policies and procedures to be applied in cases involving conscience or academic freedom.” (Source: “Faculty Senate Constitution.”)</p>
Princeton	<p>“The Council of the Princeton University Community shall have authority to consider and investigate any question of University policy, any aspect of the governing of the University, and any general issue related to the welfare of the University; and to make recommendations regarding any such matters to the appropriate decision-making bodies of the University or to the appropriate officers of the University; make rules regarding the conduct of resident members of the University community, which rules shall be binding on them; but the Council may delegate authority to make rules, and, with respect to matters mainly of concern to a particular group within the University community, the authority to make rules shall normally be delegated to a body representing that group or shall be exercised in a manner otherwise acceptable to the members of that group; oversee the making and the applying of rules regarding the conduct of resident members of the University community, whether such rules shall have been made by other bodies within the resident University community, or by the Council itself, or by officers of the University; such oversight shall be exercised for the purpose of ensuring that such rules protect the rights of individuals and the legitimate interests of the University, and that they are clear in meaning, fair, enforceable, and in conformity with the law; adopt such bylaws and rules of procedure as are necessary or convenient for the exercise of its authority.” (Source: “Charter of the Council of the Princeton University Community.”)</p>

Table 9: Summary of Peer Schools Governance, University Model Peers Only: Senate Body Decision Rights CONTINUED

Chicago	<p>“The Council shall be the supreme academic body of the University, having all legislative powers except concerning those matters reserved to the Board of Trustees, the Office of the President, or the other Ruling Bodies. In particular, it shall have such jurisdiction over (1) matters affecting more than one Ruling Body, and (2) any action of any Ruling Body which substantially affects the general interest of the University. Questions of jurisdiction between the President and the Council shall be decided by the Board of Trustees. Questions of jurisdiction between the Council and other Ruling Bodies shall be decided by the President. (Source: “Restated Articles of Incorporation of The University of Chicago.”)</p>
Columbia	<p>“[T]o adopt regulations, subject to approval by the Trustees, providing for the proper execution, as regards educational matters, of agreements that are now in existence or that may hereafter be made between the University and such other educational institutions as are now or may hereafter become affiliated with the University, and to prescribe what degrees, diplomas, and certificates may be granted by said institutions and the conditions for granting the same; to determine the conditions upon which fellowships and university scholarships shall be awarded, to appoint all fellows and university scholars, and to make rules for their government, subject to such restrictions as may be prescribed by the Statutes or by the terms upon which the several fellowships and university scholarships are established; to fix, annually in advance the Academic Calendar, the dates for entrance and final examinations, the date of Commencement, and the order of Commencement exercises.” (Source: “The By-Laws, Statutes, and Rules of the Columbia University Senate.”)</p>
MIT	<p>“Formulate policy on matters of concern to the Faculty, for approval by the Faculty; interpret and implement policy as approved by the Faculty.” (Source: “Rules and Regulations of the Faculty.”)</p>
Stanford	<p>“Subject to the powers and duties vesting in the Board of Trustees, all general regulations, statutes, and rules as to the matters within the province of the Professoriate shall be initiated in and passed by the Senate of the Academic Council, and shall be in force, subject to the power of disapproval in the Trustees except that no regulation, statute, or rule involving a change in the educational policy of the University in respect to the requirements of admission, the course of study, or the conditions of graduation, shall take effect until the same shall have been submitted to the Trustees. The advisability of considering any proposed legislation may be informally suggested to the Senate of the Academic Council in general terms by the President of the University or by the Board of Trustees.” (Source: “Senate and Committee Handbook.”)</p>

Table 9: Summary of Peer Schools Governance, University Model Peers Only: Senate Body Decision Rights CONTINUED	
Penn	“The Senate shall provide opportunity for its members to discuss and express their views upon any matter that they deem to be of general interest to the faculty, and to make recommendations and pass resolutions with respect thereto. It shall have power to make recommendations directly to the President, the Provost, and the Trustees, and to request reports from the University administration.” (Source: “Handbook for Faculty and Academic Administrators.”)
Duke	“All powers and functions of the university faculty, insofar as their powers or functions are not exercised in the individual departments, schools, colleges, and divisions of the university, are hereby delegated to the Academic Council, to which is also delegated the power the university faculty possesses to resolve jurisdictional disputes among the various component faculties of the university.” (Source: “The Duke University Faculty Handbook.”)
NW	“The Faculty Senate shall consider, make recommendations, and pass resolutions concerning matters of general university interest including all educational and research endeavors, hiring policy, the tenure and promotion system, and campus life. It is the representative and elected body of the faculty.” (Source: Northwestern University Faculty Senate Bylaws.”)
Brown	“To serve as a conduit between the Faculty and the administration, Corporation, and students concerning faculty issues. Every faculty member shall have access to the FEC [Faculty Executive Committee] for purposes of voicing his or her concerns regarding general matters relating to faculty business.” (Source: “Brown Faculty Rules & Regulations.”)
Cornell	“Over the years the Faculty Senate has recommended steps that should be taken in order to maintain a high-quality level of shared governance.” (Source: Faculty Senate website http://theuniversityfaculty.cornell.edu/faculty-senate/shared-governance/)
Rice	“This Constitution is rooted in an understanding that the responsibility and authority for the operation of the University are vested in the Office of the President. The effectiveness of the President’s leadership rests upon his or her knowledge of the needs and concerns of the University community, his or her ability to make the wisest decisions within the range of feasible options, and his or her ability to elicit the confidence and support of various elements of the University in implementing these decisions. To these ends, this Constitution seeks to establish a pattern of consultation between the President and faculty through a representative structure. This pattern is not exclusive and should not preclude decisions and actions by the President in some situations.” (Source: Constitution of the Rice University Faculty Senate.”)
Notes to Table 9: Column (1) is the school name. Column (2) contains a brief quote summarizing the Senate’s decision-making authority and the source of the quote. Universal Resource Locators (URLs) to all sources are contained in the detailed discussion of each school in Appendix V.	

Figure 1. Shared Governance Mean Responses for Vanderbilt and by School

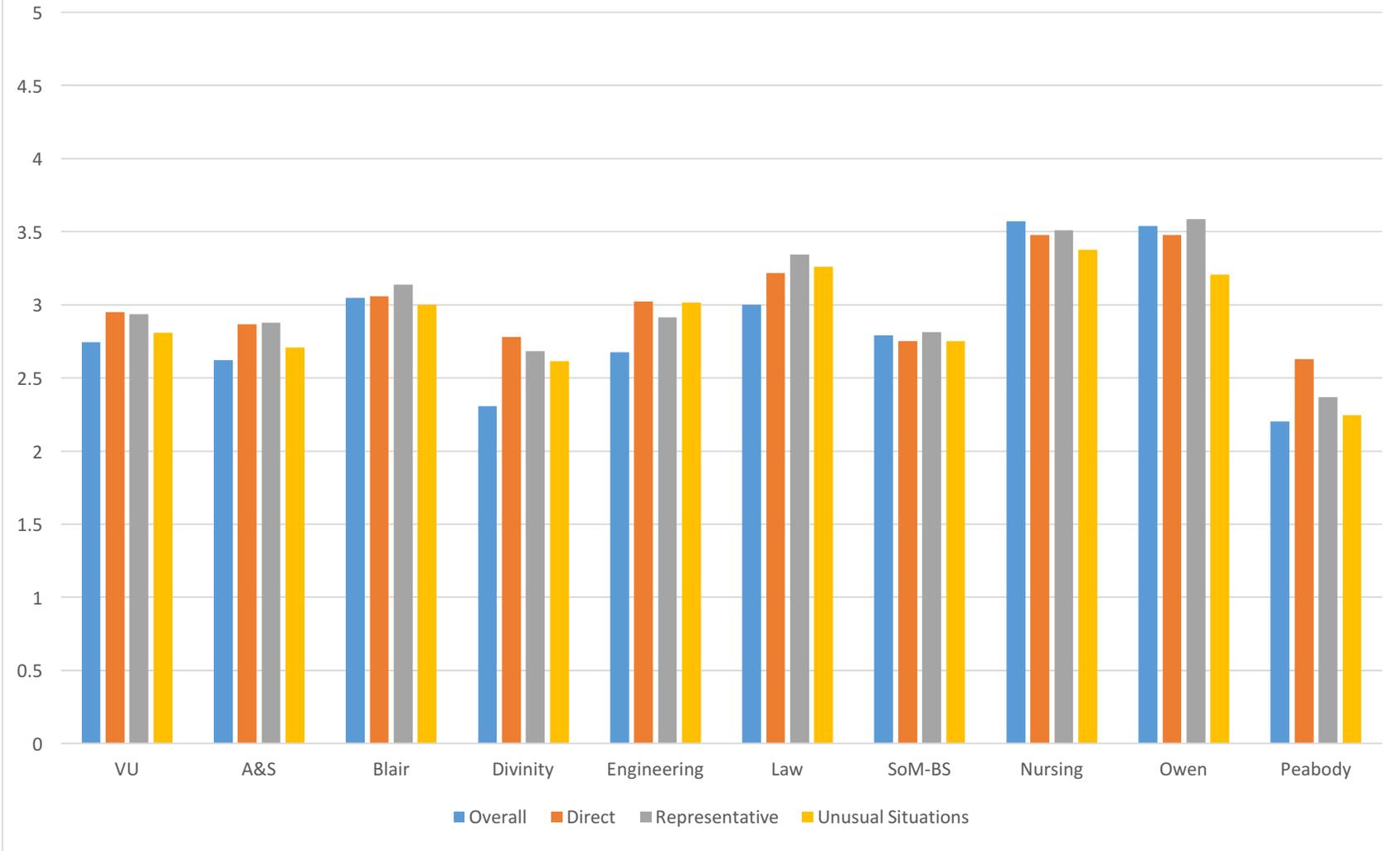


Figure 2. Vanderbilt Shared Governance Mean Responses by Racial and Ethnic Groups.

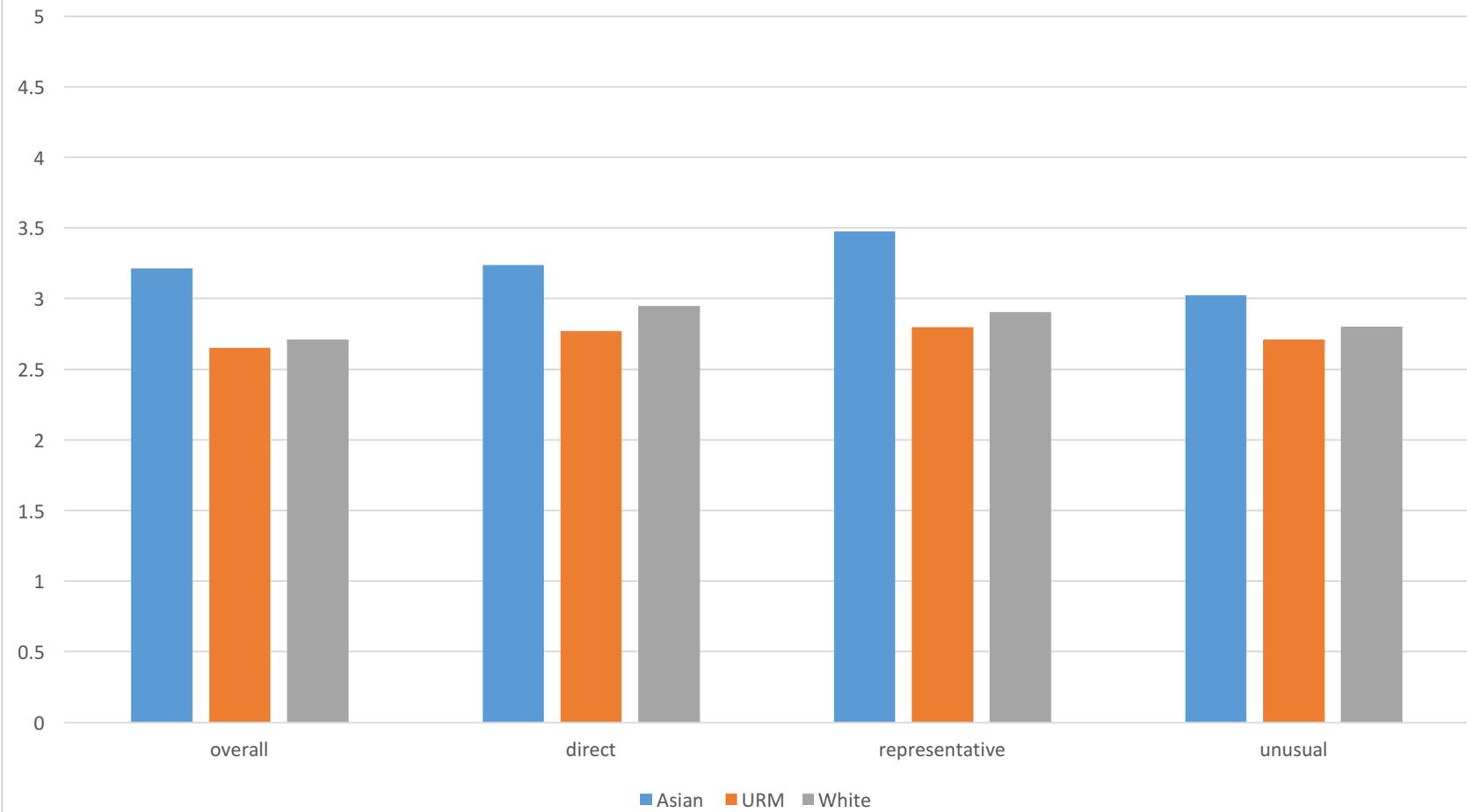


Figure 3. Vanderbilt Shared Governance Mean Responses by Gender

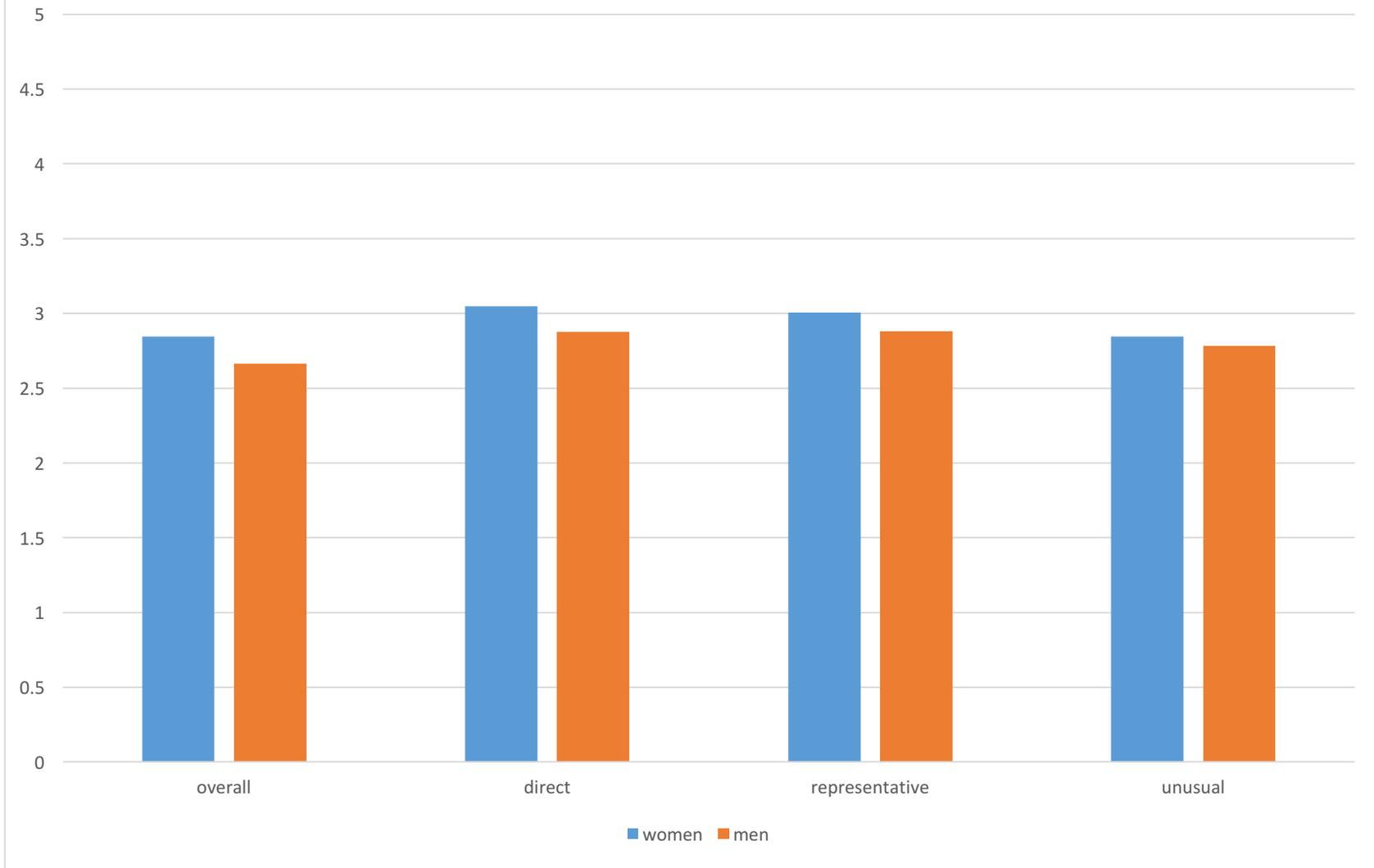


Figure 4. Vanderbilt Shared Governance Mean Responses by Tenure-Stream Status

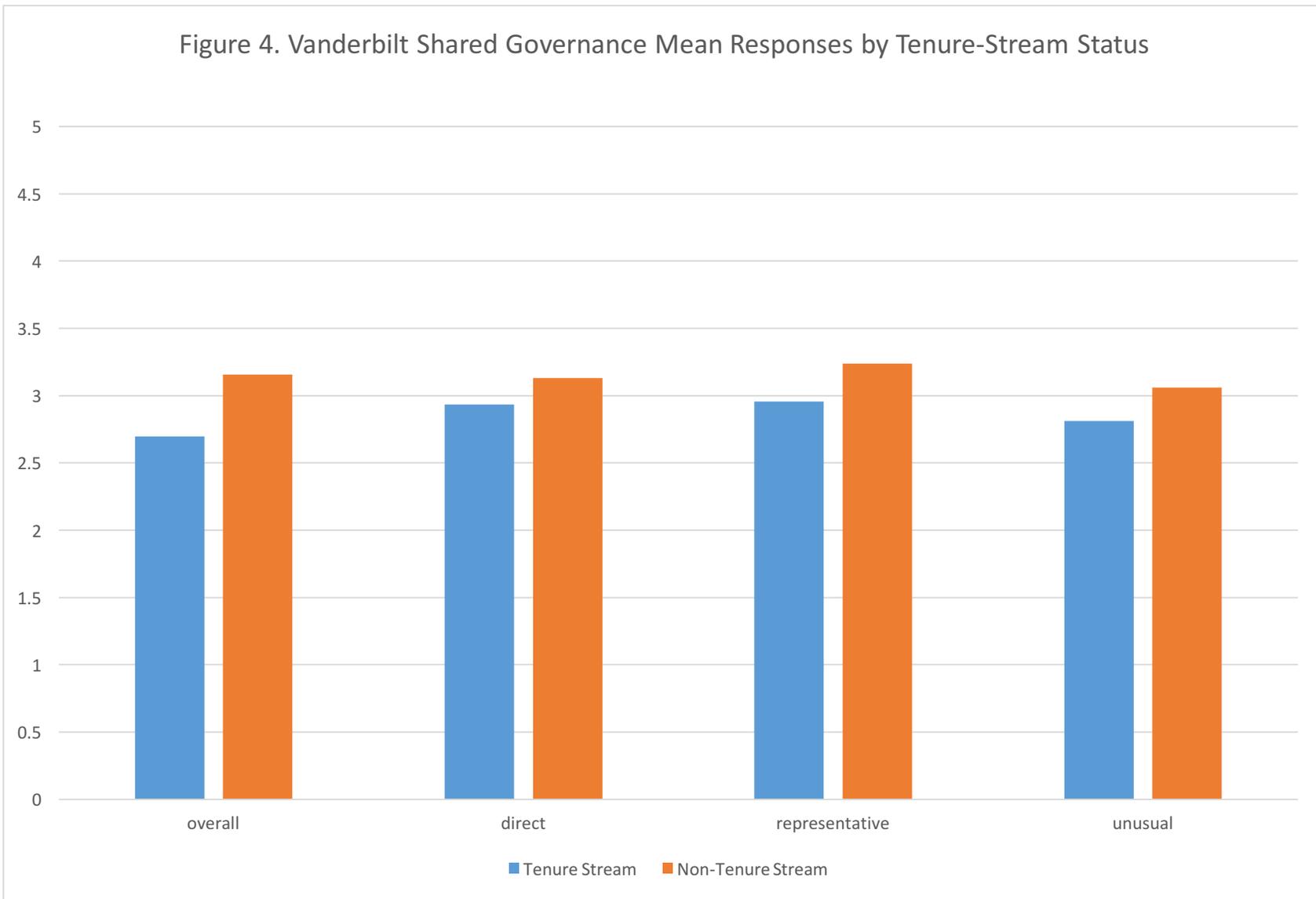


Figure 5. Vanderbilt Shared Governance Mean Responses by Rank

