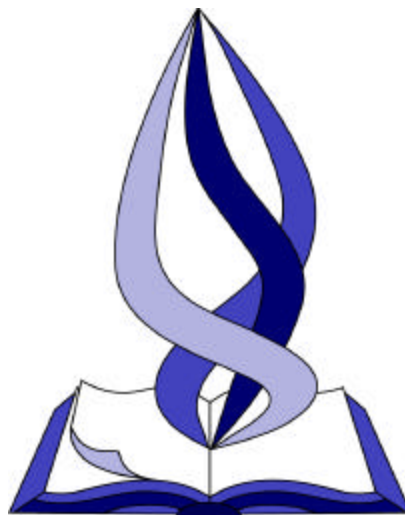


PRELIMINARY RESULTS FROM THE 2001 Survey on Higher Education Governance[©]

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The American Association of University Professors
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A report prepared for Committee T of the AAUP to be delivered at a meeting, February 15-16, 2002 at their offices in Washington, DC. The findings presented here are preliminary and require further analysis and polishing. *Please do not cite without the author's permission.* The author wishes to express his gratitude to Professor Otway Pardee, whose assistance, support, and encouragement made this project possible.

The results presented here are drawn from a survey population of 1303 institutions, sampled during the months of June, July, and August of 2001. A total of 882 institutions submitted at least one reply, with the vast majority of institutions supplying responses from both faculty and administrators. The overall response rate was 67.68%. 350 public institutions are included among these respondents and 532 private institutions.



PART I. SURVEY ON GOVERNANCE IN HIGHER EDUCATION

The chief executive of the campus should complete this section of the survey or should designate someone from the executive office who can most accurately and easily provide the requested information. Most generally this will be a senior member of the provost’s office or the campus director of the office of institutional research.

1. Please indicate the campus president’s highest academic degree (*non-honorary, e.g. Ph.D., M.B.A, J.D., etc...*) and the field in which it was awarded:

Classification	Percent	Number
Liberal Arts Ph.D.	47.14%	355
Education (both Ph.D. & Ed.D.)	25.90%	195
Business (both M.B.A. & D.B.A.)	4.38%	33
Law	5.18%	39
Theology	6.24%	47
Other (includes engineering)	11.16%	84
TOTAL		753

This pattern was consistent across ownership forms. Public universities, private universities and liberal arts colleges had roughly a similar distribution of degree experiences among their chief executives.

2. Before entering the administration, did the current president serve as a tenured, full professor in an academic department, either at this institution or another?

61.38% Yes **38.62%** No

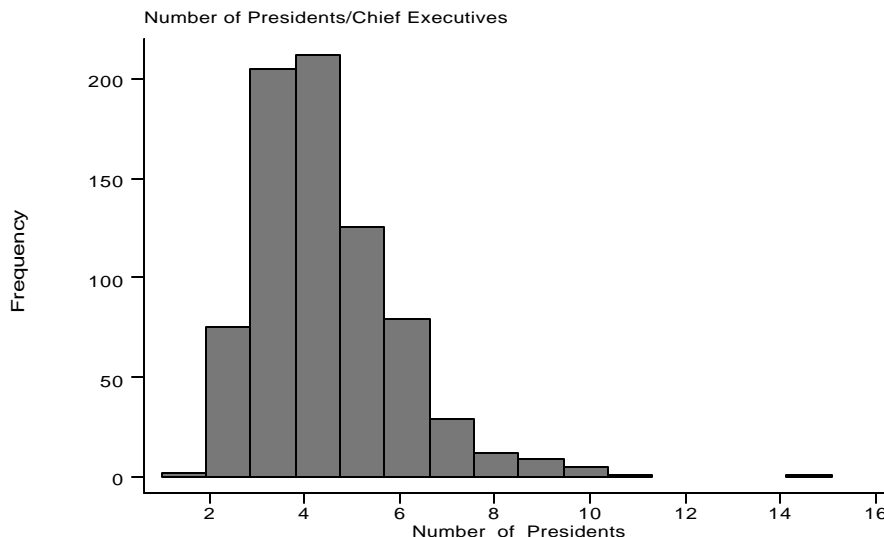
Among public institutions the breakdown was different from private institutions with presidents tending to be drawn from faculty ranks more often.

77.05% Yes **22.95%** No *Public institutions only*

56.42% Yes **43.58%** No *Large private institutions (universities)*

48.21% Yes **51.79%** No *Liberal arts colleges only*

3. How many presidents has this institution had in the last 30 years? An average of 4.199



4. (Answer this question only if this institution is a public institution) The campus president deals most often and most directly on institutional matters with which governing body:

- 55 inst. 18.71%** a) a statewide governing board with authority over all public colleges in the state.
- 135 inst. 45.92%** b) a system-wide board with authority overall public colleges of a particular type.
- 104 inst. 35.37%** c) the institution's own campus based board.

All subsequent questions that refer to the **governing board**, are answered with regard to the board indicated here.

5. (Answer this question {all parts of #5} only if this institution is a public institution)

i) Faculty at this institution are considered to be employees of:

- 140 inst. 48.11%** a) the state or commonwealth
- 151 inst. 51.897%** b) the institution

ii) Tuition levels are set

- 105 inst 35.84%** a) by the institution or by the governing board for the campus
- 98 inst. 33.45%** b) by a system board
- 38 inst. 12.66%** c) by a state board or body responsible for all 4-year institutions of higher education
- 44 inst. 14.29%** d) by the legislature or governor
- 8 inst. 2.60%** e) other

iii) Revenues from tuition paid by students are:

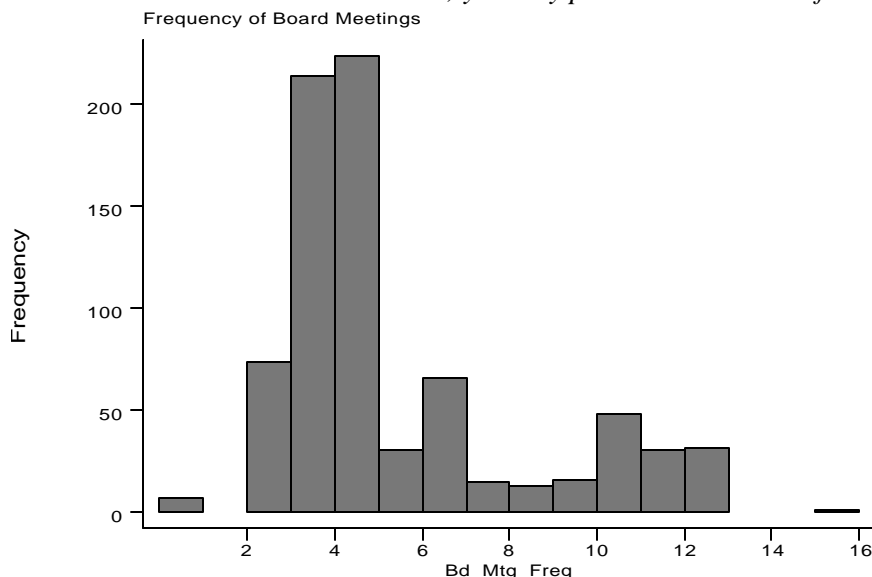
- 214 inst. 73.54%** a) retained by the institution for its use
- 16 inst. 5.50%** b) retained at the state level under the control of a state governing or coordinating board
- 36 inst. 12.37%** c) deposited in separate state tuition accounts from which funds must be appropriated before they can be spent
- 16 inst. 5.50%** d) deposited into the state's general funds, with return to higher education only inferred
- 9 inst. 3.09%** e) other

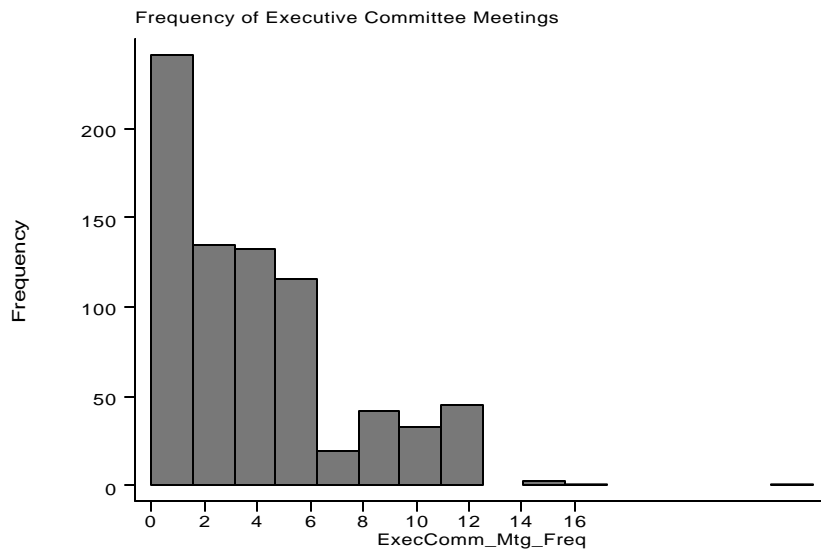
iv) State funding for the institution is distributed to the institution by

- 123 inst. 42.12%** a) the state legislature and governor directly
- 49 inst. 16.78%** b) a state education board or body that passes on funding from the legislature
- 120 inst. 41.10%** c) a system board that passes on money from either the legislature or a state board

6. i) The institution's governing board meets 4.93 times a year.

ii) The executive committee of the governing board meets 3.88 times a year (answer only if your board has an executive committee; you may provide an estimate if exec-comm meetings are irregular).





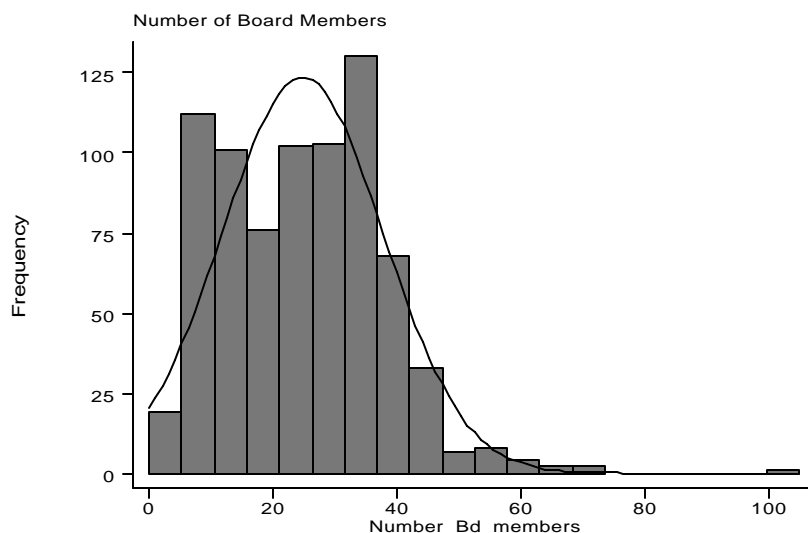
7. Is the campus president a voting member of the governing board?

38.22% Yes 61.78% No

8. How are voting members of the governing board chosen? (*Please select all that apply*)

- 43.7% a) Selected by the current governing board (self perpetuating)
- 27.5% b) Nominated and confirmed by the Governor, other state officials and/or bodies
- 9.4% c) Alumni election - a vote among alumni of the institution
- 4.4% d) Internal election - members of the institutional community (such as faculty, staff and/or students) vote
- 2.7% e) Outside election – a vote among people not directly associated with the institution
- 3.2% f) Selected by the president of the institution
- 8.1% g) Selected by a church body
- 3.4% h) Other

9. i) How many members are currently on the governing board? Average of 24.76.



This number varies a great deal between private and public institutions

Mean number of members on the boards of public institutions. 13.18 members.

Mean number of members on the boards of private institutions. 32.06 members.

ii) Is the total number of board members prescribed in the institutional by-laws or charter?

83.92% Yes 16.08% No

iii) Are there trustees with full voting privileges selected from the faculty, staff and/or student body on the governing board?

28.80% Yes 71.20% No *All institutions*

53.92% Yes 46.08% No *Public institutions only*

13.16% Yes 86.84% No *Private institutions only*

iv) If yes, how many voting board members are students? Avg 1.14 student members of those saying yes

v) If yes, how many voting board members are members of the faculty? ? Avg .51 faculty seats

(Note: Do not count the chief executive even if the president or chancellor is considered a member of the faculty at this institution)

vi) Has the policy regarding faculty or student membership changed in the last 10 years and, if so, in what direction was the change?

1.39% a) A decrease in student and/or faculty representation on the board

86.39% b) No change

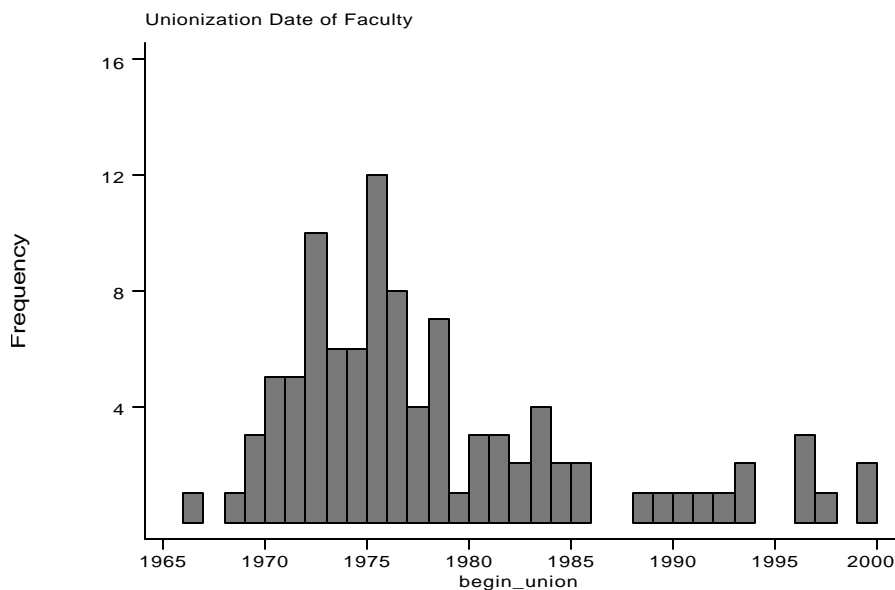
12.22% c) An increase in faculty and/or student representation

10. Do the faculty at this institution organize and bargain collectively with the administration or board over employment contracts (e.g. through a union)?

15.88% Yes 84.12% No

IF YOU ANSWERED YES, PLEASE ANSWER THE FOLLOWING QUESTIONS; IF NOT PROCEED TO QUESTION 11.

i) In what year did collective bargaining at this institution start? 1978 mean union origin date.



ii) With whom does the faculty bargaining agent primarily negotiate on contract matters?

37.19% a) The governing board of the institution

21.49% b) A state or system level body

41.32% c) The campus administration

iii) Are faculty leaders in collective bargaining allowed to serve in leadership positions in internal governance?

92.31% Yes **7.69%** No

11. i) Are salary levels of tenured and tenure-track faculty based on a standard schedule or determined on an individual basis?

23.05% a) standard schedule

42.38% b) individual cases

34.57% c) both standard and individual

ii) Are salary increases of tenured and tenure-track faculty awarded across the board according to a schedule or formula, such as a COLA or cost of living increase, or are they determined on an individual, case by case basis?

26.97% a) standard schedule

27.10% b) individual cases

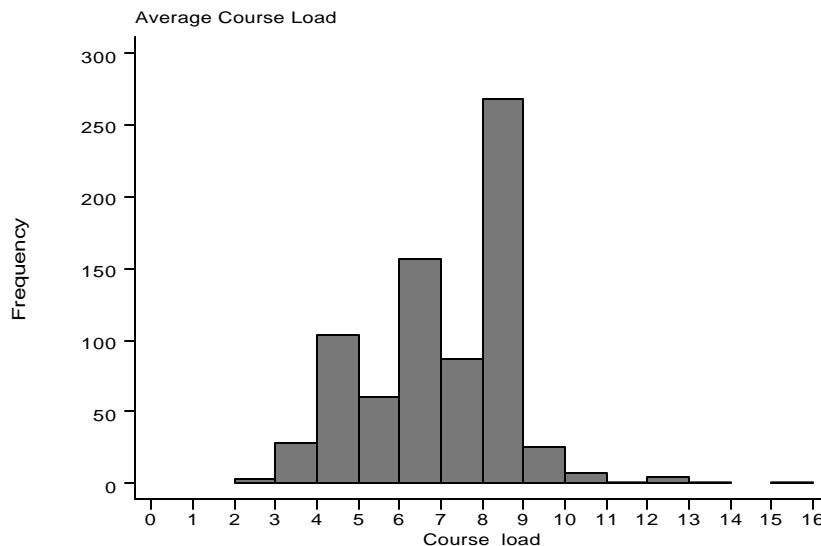
45.93% c) standard and individual (*i.e. both COLA's and case by case merit*)

iii) Does the institution compare the salary levels of its faculty to those of peer institutions?

96.58% Yes **3.42%** No (Generally LA2 and Comp1 Institutions)

12. i) What is the average number of courses that full time, tenured and tenure track Arts & Sciences faculty are expected to teach each year? (*If course loads vary by department and/or discipline or if some faculty teach sections of a course, please provide an estimate of the average number of courses or sections taught*)

6.58



Faculty at public institutions have a slightly lower course load than those in private institutions (6.35 vs 6.73), faculty in the small liberal arts colleges have the highest course load (6.84)

ii) Does this number vary by more than two courses across faculty members or departments or is it quite uniform?

70.95% It varies 29.05% It's uniform *All institutions*

54.76% It varies 45.24% It's uniform *Public institutions*

81.30% It varies 18.70% It's uniform *Private institutions*

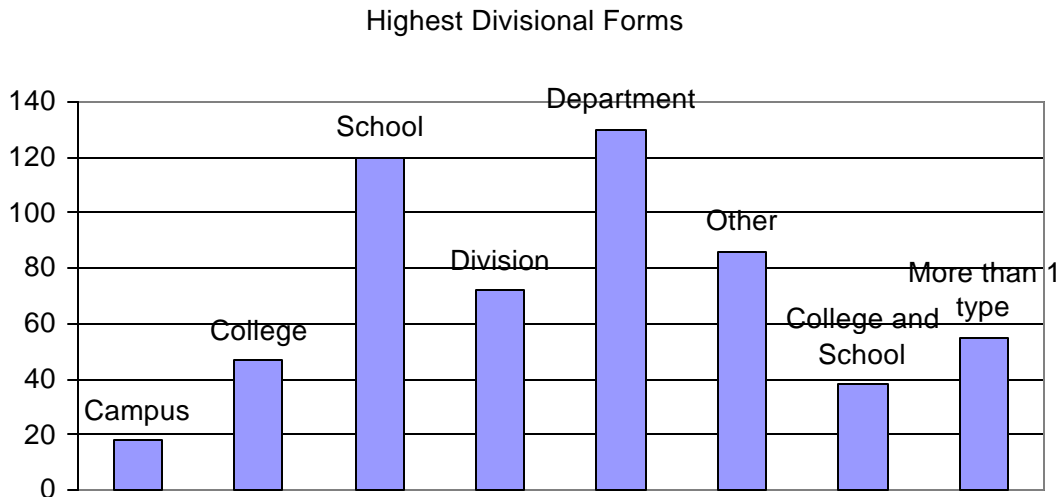
13. i) Did faculty members from the institution serve on the most recent presidential search committee?

93.45% Yes 6.55% No

ii) Did students serve on this committee?

83.25% Yes 16.75% No

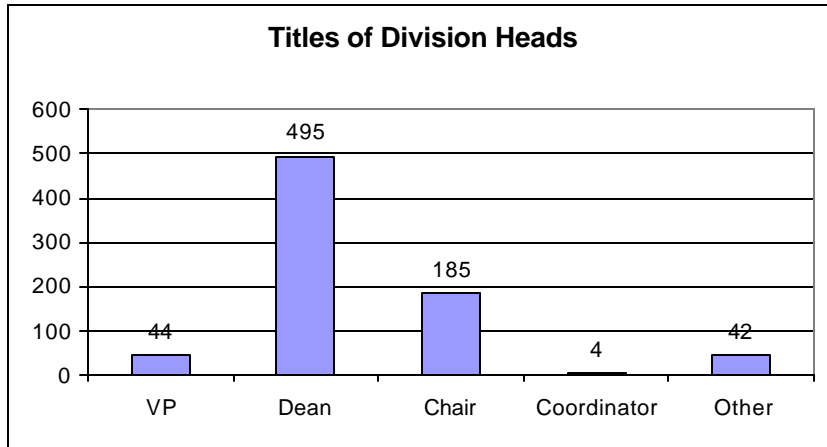
14. i) At your institution, what term describes the highest divisional unit -- in other words, the unit that reports directly to the president or provost (*e.g. college; school; department; or other*)?



ii) How many such divisions (*colleges, schools or departments as described above*) are there at this institution?

	Number	Average
Campus	18	4.00
College	47	6.35
School	120	5.27
Division	72	5.32
Department	130	16.60
Other	86	6.07
College and School	38	7.53
More than 1 type	55	11.22

iii) What term describes the executive head of these units?



iv) What is the average length, in years, that the heads of these academic units/divisions have served in this position at this institution?

8.5

v) Does each unit have its own faculty governance structure, e.g. faculty committees, representative bodies, meetings of the full faculty that participate in decisions or advise administrators on policy-making? *Do not count department level activities unless you indicated the department in your response to question 16. i) above.*

59.10% Yes **40.90%** No

15. Further describe the organization of budgetary and administrative authority among your institution's highest subdivisions (as described above) by selecting the response which best describes the allocation of financial authority:

- 2.96%** a) Each division has independent budgetary authority and responsibility, and relies almost exclusively on revenue streams which it generates (i.e. Responsibility-Centered Management -- RCM, or "tubs on their own bottom").
- 34.01%** b) Each division independently draws up and allocates its budget, but draws most of its general operating revenues from a stream that is controlled by the central administration.
- 63.04%** c) Each division receives its budget from the central administration and relies on it for operating revenues.

16. What percentage of your institution's endowment would you estimate is restricted or, in other words, can be used only for purposes specified by the donor?

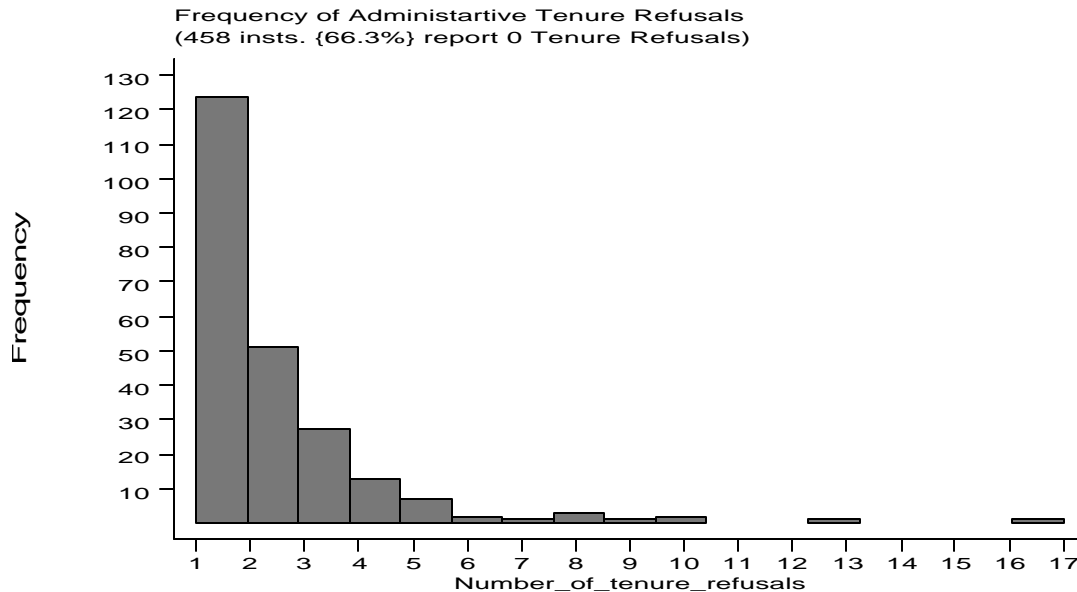
62.72%

17. i) Based on the evidence of the last few years, what percentage of the junior, tenure-track faculty who become employed at your institution are subsequently promoted to tenure? *Note: we are not asking for the percentage of tenured or non-tenured faculty.*

74.53%

ii) How many times within the last 12 months has the president, a dean, or the board not approved the tenure recommendation of a faculty review/promotions committee and/or department?

Average of .718 times



18. Has the president taken part in professional development activities designed for university or college presidents since appointment as the head of this institution? (e.g. leadership institutes, CEO trainings)

86.92% Yes 13.08 No

19. Does the board or administration review the performance of the institution (examine certain benchmarks, compare costs and offerings, consider the management practices) relative to a group of peer institutions?

87.42% Yes 12.58% No

20. i) Has this institution established a system of merit pay for faculty?

56.22% Yes 43.78% No

ii) Does the institution award tenure to some faculty members?

90.20% Yes 9.80% No

iii) Has the institution established a system of post-tenure review?

62.95% Yes 37.05 No

iv) Has the institution's board adopted a statement concerning academic freedom or incorporated a policy about academic freedom in the faculty handbook?

97.31% Yes 2.69% No

21. i) Does your institution have a strategic plan?

92.35% Yes 7.65% No

ii) Does your institution have a mission statement?

99.08 Yes 0.92% No

iii) If so, what are the three main objectives of your most recently completed strategic plan? If your institution does not have a strategic plan, list the three main objectives in your mission statement if you have one. If you do not have either, leave this blank. *The three most popular statements had to do with:*

1) Academic quality

2) Enrollment growth

3) Improved facilities and technology

Categorized Programmatic Goals, Missions, and Plans:

Goal	Code	Number of Instances
OTHER	0	16
Enrollment	1	175
Academic quality	2	363
Faculty and staff numbers and quality	3	71
Financial performance	4	79
Leader among liberal arts colleges, regional and national prominence, reputation	5	59
Diversity/ affirmative action	6	95
Program distinction and strength and development	7	131
Christian and spiritual context	8	72
Globalization	9	39
Improve access for students	10	37
Improved facilities and technology	11	152
Education for young women	12	11
Holistic education, lifelong learning	13	49
Empowerment	14	3
Institutional effectiveness	15	48
Scholarship and financial aid	16	20
Personalized and student focused education	17	44
Quality of students	18	44
Liberal arts education	19	50
Endowment, external revenue, resource development, capital campaigns, philanthropic base	20	99
Student services, student life support structures	21	45
Supportive environment, close faculty student interaction building a strong community	22	55
Values based education	23	43
Community involvement and services, public service	24	111
Improve salaries and professional development	25	38
Research	26	80
Market driven university/college	27	12
Involvement and ownership by campus community, shared governance	28	5
Informational, instructional technology, use of technology in the classroom	29	32
Professional education (had classified leadership development)	30	32
Increase graduation rate/ retention	31	26
Development and maintenance of mission plan	32	20
Collaboration and partnerships with businesses	33	20
Strategic management	34	19



PART II: SURVEY ON HIGHER EDUCATION GOVERNANCE

Administrators: The campus chief executive/president or the person designated by the CEO/president to complete Part I should complete this section of the survey.

Faculty representatives: This section should be completed by the head of the faculty governance body or in some cases the head of the AAUP chapter on campus. Faculty may find that some questions go beyond the scope of their knowledge of the institution or require knowledge about parts of the institution with which they are less familiar. For this reason, we invite and encourage faculty respondents to work collaboratively with other faculty members from various parts of the institution to prepare the responses to this survey.

Respondent Class	Frequency	Percent
Administrator	698	49.72%
Faculty Governance Unit	589	41.95%
AAUP Chapter	117	8.33%
TOTAL	1404	100.00%

This part of the Year 2001 Survey of Governance is divided into two sections. Section A requests information about the institution's implementation of governance concepts. Section B investigates faculty participation in governance.

SECTION A. QUESTIONS REGARDING THE STRUCTURE OF GOVERNANCE

This part of the survey asks respondents to consider how the institution organizes decision-making and resolves governance issues.

1. In the last 20 years, has the institution taken steps to change the formal roles and authorized powers of the following groups involved in governance (*either through a change in the by-laws, charter or handbook*) and if so, in what direction was that change? (*Answer only for cases where changes in authority were clearly specified by an official statement or policy for the institution.*)

Group	More authority	No change	Less authority
Governing board	21.41%	74.26%	4.33%
President	21.30%	74.40%	4.31%
<i>Faculty are more likely to perceive the president as having more power and authority but are also more likely to see the president as having less power.</i>			
Deans and other heads of key divisions	37.90%	56.58%	5.52%
<i>Faculty are more likely to see deans as having less authority.</i>			
Department chairs	23.51%	67.76%	8.73%
<i>Faculty are more likely to see the chair as having less authority.</i>			
Main governance bodies of the faculty	35.46%	56.52%	8.02%
<i>Faculty are more likely to see the faculty governance bodies as having less authority.</i>			
State coordinating board for higher education	30.82%	58.07%	11.11%
<i>Faculty are more likely to see the state board as having more authority</i>			

2. Please use the following section to describe the various ways faculty at your institution participate in governance:

i) Do faculty members participate in governance by holding regular and formal meetings of the full faculty from across the campus?

72.51% Yes 27.49% No (*All institutions*)

89.62% Yes 10.38% No (*Private institutions*)

45.87% Yes 54.13% No (*Public institutions*)

ii) Do faculty members participate in governance by electing representatives to an academic senate or council that represents all faculty (and faculty only) at the institution, or to an institution-wide senate or council comprised of faculty members, students, staff, and/or others?

58.59% Yes, they elect representatives to a faculty senate (*and faculty only*)

16.17% Yes, they elect representatives to an institution-wide senate (*with faculty, staff, and students*)

25.24% No, there is no institution-wide senate on campus

Among private institutions, faculty senates are less likely, even after we exclude the small colleges.

49.64% Yes, they elect representatives to a faculty senate (*and faculty only*)

11.51% Yes, they elect representatives to an institution-wide senate (*with faculty, staff, and students*)

38.85% No, there is no institution-wide senate on campus

Among public institutions, faculty senates are more likely

72.29% Yes, they elect representatives to a faculty senate (*and faculty only*)

23.30% Yes, they elect representatives to an institution-wide senate (*with faculty, staff, and students*)

4.40% No, there is no institution-wide senate on campus

iii) Are there divisional faculty senates, policy councils or regular meetings of the full faculty that serve as the faculty's voice within a particular school, college or division within your institution (such as a senate for a College of Law or a School of Business)?

45.55% Yes 54.45% No

iv) If your campus is part of a larger system, is there:

29.00% a) a system-wide academic senate composed of faculty representatives drawn from each of the campuses in the system?

3.29% b) a system-wide senate composed of students, staff, and faculty from each of the campuses in the system?

67.71% c) there is no system-wide senate

v) Are there councils or committees whose members include faculty representatives in areas such as academic policy, budget matters, promotions, and/or employment policies that are considered part of the campus governance structure?

97.98% Yes 2.02% No

3. The main representative body(ies) of the faculty or the institutional community (*such as the senate(s); or the regular meeting of the full faculty; or a faculty affairs committee*) is(are) (*Choose the response that best describes the situation in general if influence varies depending on the type of decision involved*):

16.15% a) an advisory body to the administration and/or the board that simply conveys faculty opinion as a reference point in decision making

68.06% b) a policy influencing body which recommends and passes on to the administration and/or board policies they may decline or accept

15.79% c) a policy making body which proposes and votes on policies or financial decisions that the administration and board almost always adopt as a matter of course

This finding is consistent across respondent classes (faculty or administrator) and across public and private institutions.

4. Do administrators have a vote in meetings of the main representative bodies of the faculty such as a faculty senate? (*if the institution has a number of divisions and administrators' roles vary across them, please answer according to the most common situation among the institution's divisions*)

40.25% Yes 59.75% No

Administrators are more likely to vote in faculty governance bodies in private institutions. Once the small colleges are excluded, however, the fraction of public and private institutions which allow administrators a vote in faculty governance bodies is quite similar.

5. Does the president or a member of the administration (*e.g. a dean*) serve as the chair of the faculty governance body?

13.51% Yes, the president chairs meetings of the faculty governance body

13.07% Yes, an administrator chairs meetings of the faculty governance body

73.42% No

Among private institutions, administrators are more likely to chair the faculty governance body than among public institutions, even after excluding the liberal arts colleges, but only slightly less likely to have answered no to this question. Including the small liberal arts colleges in these calculations drastically reduces the likelihood that respondents from private institutions answered no, that administrators were not chairing faculty governance body meetings and increases the likelihood that presidents chair these meetings.

6. The primary means by which faculty members participate in governance, express their views to the administration, and/or shape policy is:

12.55% a) At the departmental level through meetings and communication with departmental chairs

10.50% b) At the division level through governance structures operating at the level of the school/college

72.28% c) At the institutional level through institution-wide bodies of governance

3.21% d) Through the faculty bargaining unit

1.46% e) None of the above

These patterns are generally consistent across public and private institutions although private institutions are slightly more likely to provide for faculty influence through governance structures at the divisional unit levels (ans b). Faculty are slightly more likely to see their influence as operating through the departmental or unit level, while administrators feel it operates more at the institutional level through institutional governance structures.

7. How are faculty members who serve as representatives in institutional governance chosen? (*Please answer for the most significant representative body of the faculty. If the answer varies across divisions at the institution, indicate the most common situation among divisions.*)

- 2.30% a) By the central administration
- 49.78% b) By a vote of the full faculty at the institution
- 30.56% c) By college or division faculty vote
- 0.22% d) By the departmental chair
- 9.04% e) By departmental vote
- 8.11% f) Other/selection methods vary too much at our institution to give a general response

Faculty selection methods vary widely by different ownership forms.

Selection methods among private institutions:

- 3.07% a) By the central administration
- 65.37% b) By a vote of the full faculty at the institution
- 19.74% c) By college or division faculty vote
- 0.24% d) By the departmental chair
- 2.60% e) By departmental vote
- 8.98% f) Other/selection methods vary too much at our institution to give a general response

Selection methods among public institutions:

- 1.09% a) By the central administration
- 25.73% b) By a vote of the full faculty at the institution
- 47.26% c) By college or division faculty vote
- 0.18% d) By the departmental chair
- 18.98% e) By departmental vote
- 6.75% f) Other/selection methods vary too much at our institution to give a general response

8. Full voting rights in governance (*either for deciding matters or electing representatives*) are accorded to all faculty:

- 2.90% a) above a certain rank
- 0.65% b) who have tenure
- 16.38% c) who are tenure track or have tenure
- 57.90% d) who are full time
- 2.61% e) who are in the bargaining unit (for institutions with collective bargaining)
- 19.57% f) all instructional faculty have full voting rights in governance

Private institutions are more likely to give voting rights to all full time faculty (67% to 43%) while public institutions are more likely to award voting rights to tenure and tenure track faculty (26% to 10%).

9. i) Would your institution pursue and try to hire an outside faculty member even if it meant that the faculty member would earn significantly more than colleagues in the department?

All institutions

	Freq.	Percent
Yes, we regularly do that	196	14.05
Occasionally, we will do that from time to time	734	52.62
No, we rarely do that	465	33.33
Total	1395	100.00

All private institutions

	Freq.	Percent
Yes, we regularly do that	67	7.89
Occasionally, we will do that from time to time	433	51.00
No, we rarely do that	349	41.11
Total	849	100.00

Public institutions

	Freq.	Percent
Yes, we regularly do that	129	23.63
Occasionally, we will do that from time to time	301	55.13
No, we rarely do that	116	21.25
Total	546	100.00

Private institutions, small liberal arts colleges excluded.

	Freq.	Percent
Yes, we regularly do that	48	14.20
Occasionally, we will do that from time to time	183	54.14
No, we rarely do that	107	31.66
Total	338	100.00

ii) Would there be significant pressure to raise salaries of the other faculty members in the department?

54.48% Yes 45.52% No

Among public institutions:

59.72% Yes 40.28% No

Among private institutions:

50.83% Yes 49.17% No

iii) *If yes*, would the institution respond by raising the salaries of other faculty in the department because of this pressure?

2.63% a) very likely

15.04% b) somewhat likely

32.33 c) hard to say

28.32% d) somewhat unlikely

21.68% e) not likely at all

These figures are similar across institutions.

10. i) In the last 5 years, has your institution closed an academic department or an academic program?
43.19 Yes **56.81%** No (593 respondents indicated their institution had a closure in this period)

*These figures are similar across institutions. However, when we exclude liberal arts colleges from the private institutions, it seems that private institutions are **more** likely to have closed a department or merged academic programs*

51.35% Yes **48.65%** No

ii) In the last 5 years, how many departments or academic programs have been closed or restructured so that they were merged into other departments?

2.19

This number is roughly comparable across public and private institutions when one excludes liberal arts colleges (2.9 for public & 2.45 for private). Among private liberal arts colleges only, the average number of closures or mergers is much smaller (1.54).

IF YOU ANSWERED YES TO QUESTION 10. i) ABOVE, ANSWER THESE TWO ADDITIONAL QUESTIONS, OTHERWISE PROCEED TO QUESTION 11:

iii) Please select the **two** factors that made the closure decision most difficult:

Frequency	Percent	
229	37.29%	a) Institution-wide faculty concerns about the closure
296	47.89%	b) Faculty resistance in that department
203	33.22%	c) Student concerns about the closure
67	11.13%	d) Alumni concerns about the closure
34	5.39%	e) Concerns that closure might violate tenure or academic freedom provisions
161	26.48%	f) Concerns about the public perception of this closure and damage to the institution's reputation

iv) Please select the **two** factors that made the closure decision most necessary:

Frequency	Percent	
450	74.20%	a) Enrollment levels in the years preceding the decision
201	32.21%	b) Direction from the Board or an Administrator that the institution should re-orient itself
21	3.37%	c) Other institutions had closed or scaled back activities in this area
109	18.38%	d) Declining numbers of department faculty members and a deficiency of replacements
178	29.17%	e) Faculty demands for resources in other fields and departments
79	13.32%	f) Student demands for resources in other areas of the institution

NOTE: Numbers do not add up to 100% or 200% because respondents could choose more than one option but occasionally only chose one option.

Percent responses among three types of institutions why closure was most *difficult*.

Public	Private	Private no L.A. college	
37.23	37.29	38.01	a) Institution-wide faculty concerns about the closure
51.24	45.76	49.12	b) Faculty resistance in that department
28.87	36.16	30.41	c) Student concerns about the closure
8.36	12.99	11.70	d) Alumni concerns about the closure
4.18	6.21	7.02	e) Concerns that closure might violate tenure or academic freedom provisions
24.69	27.68	25.73	f) Concerns about the public perception of this closure and damage to the institution's reputation

Percent responses among three types of institutions why closure was *most necessary*.

Public	Private	Private no L.A. college	
71.55	75.99	71.34	a) Enrollment levels in the years preceding the decision
31.38	32.76	29.82	b) Direction from the Board or an Administrator that the institution should re-orient itself
2.51	3.95	4.09	c) Other institutions had closed or scaled back activities in this area
18.82	18.08	19.88	d) Declining numbers of department faculty members and a deficiency of replacements
27.62	30.22	27.49	e) Faculty demands for resources in other fields and departments
17.15	10.73	11.11	f) Student demands for resources in other areas of the institution

11. Most major institutional changes that respond to or aim to meet student needs, demands, or pressures are most frequently undertaken (*please answer for the period since 1985*):

- 24.26% a) in response to decisions of the student representative body
- 3.70% b) in response to protests or organized petitions by activist students or student groups
- 48.67% c) in response to student demands as they are felt through the higher ed. marketplace
- 23.37% d) none of the above

Unsurprisingly perhaps, a greater fraction of respondents from private institutions indicated that their institutions responded to the marketplace while among public institutions, the respondents were likely to feel that student governance bodies mattered more.

Public institutions only:

- 28.89% a) in response to decisions of the student representative body
- 3.56% b) in response to protests or organized petitions by activist students or student groups
- 43.90% c) in response to student demands as they are felt through the higher education marketplace
- 23.64% d) none of the above

Private institutions only

- 21.25% a) in response to decisions of the student representative body
- 3.79% b) in response to protests or organized petitions by activist students or student groups
- 51.77% c) in response to student demands as they are felt through the higher education marketplace
- 23.20% d) none of the above

(These numbers are only slightly different after excluding the liberal arts colleges)

12. In establishing budgets and making allocations across departments, the following parties participate how deeply and actively?

Group	A great deal	Somewhat	Not at all
Governing board	23.99%	37.93%	38.08%
President	67.13%	27.30%	5.58%
Deans and other heads of key divisions	81.02%	18.04%	.94%
Department chairs	28.91%	58.56%	12.53%
Faculty at department level	4.78%	48.38%	46.84%
Faculty at institutional level	8.82%	46.73%	44.45%
Students	1.03%	20.09%	78.88%

13. Please rate the level to which faculty participate in governance opportunities at your institution on a 5 point scale, with 1 indicating that most faculty ignore their opportunities to participate in governance and 5 indicating that many faculty from across the institution take an interest and participate in governance.

ALL INSTITUTIONS	Public	Private	Priv., excluding LA College	Priv., LA colleges only
3.30	2.91	3.55	3.28	3.73

14. Please characterize your impression of the faculty groups most involved in governance at your institution. Choose from the three options below to indicate your sense of the relations with the administration and board and the role played by faculty in governance:

- 52.89%** a) Cooperative – faculty work with the administration and board to resolve the tough choices facing the institution.
- 40.61%** b) Some conflict but collegial – faculty rarely see eye to eye on matters with the administration and board, but together they work towards policies all sides can live with.
- 6.50%** c) Generally suspicious & adversarial—the faculty see their governance function as a veto point over unpopular administrative action

Responses by respondent class and by institutional size and ownership indicate some variation in how this question was interpreted and answered.

	Administrators	Faculty Gov Unit	AAUP Chapter	Public & large Privates	Private liberal arts colleges
a) Cooperative	62.06%	46.90%	28.45%	50.25%	57.87%
b) Conflict but collegial	46.90%	43.79%	57.76%	41.90%	38.58%
c) Adversarial	2.91%	9.31%	13.79%	7.86%	3.54%

SECTION B: QUESTIONS REGARDING FACULTY PARTICIPATION IN GOVERNANCE

Section B replicates questions from a 1970 survey on faculty participation in governance. We are interested in assessing how faculty participation has changed since that time.

The 1970 survey categorized five decision-making styles or approaches to governance in higher education, ranging from **faculty authority and determination** over an issue to **no faculty participation** in governance. It recognized that on some campuses some of the faculty might be in departments characterized by a good deal of faculty participation while in other divisions of the campus faculty would have little say in governance matters. For instance, faculty in a division of arts and science might participate a great deal in selecting department chairs but faculty in a school of business might participate only a little. The survey then asked institutions to estimate the percentage of faculty whose participation in governance could be categorized by these governance forms in each of a number of critical decision areas. The five decision types are briefly described below, however, a glossary defining these forms is included at the end of this survey. (*See glossary note for a clarification on classifying joint committees*)

Below you will find 15 items describing decisions regularly made on a campus. For each of the decisions listed, please indicate in the relevant box the percentage of faculty whose participation in the decision takes the form indicated. For each question, focus on the practice of the last 5 years. **Note** that the sum of the figures in each row should be 100% for questions 1-15.

Example: If in the selection of the department chair, 25% of the institution's faculty are in departments or divisions in which they elect the chair, 60% in departments or divisions with chairs appointed by the administration after consultation with faculty, and 15% in departments or divisions which have chairs appointed unilaterally by the administration, then the responses to this question would appear as follows:

	Determination Faculty authority and determination	Joint Action Between faculty and administration	Consultation Administration consults with the faculty	Discussion Administration explains decisions to faculty	None No faculty participation
10: Selection of department chair	25		60		15

For the purposes of this questionnaire, it is important that all respondents have the same understanding of the terms being used. Generally, department chairs should be counted as members of the administration rather than as faculty, especially for question 12. Even if these definitions do not agree with your own usage, please observe them faithfully. Although the order of the forms of participation listed here and on the questionnaire is in descending degree of faculty participation, it is not meant to imply that determination is considered more desirable than joint action or consultation.

	Faculty Status	Determination Faculty authority and determination	Joint Action Between faculty and administration	Consultation Administration consults with the faculty	Discussion Administration explains policies taken to faculty	None No faculty participation
1	Appointments of full-time faculty	14.09	58.26	24.44	2.37	0.82
2	Tenure promotions for faculty	12.72	57.80	26.43	1.48	1.58
	Academic operation	Determination	Joint Action	Consultation	Discussion	None
3	Decisions about the content of the curriculum	62.79	30.54	5.34	0.88	0.41
4	Setting degree requirements	54.24	36.80	6.85	1.46	.64

	Academic planning and Policy	Determination Faculty authority and determination	Joint Action Between faculty and administration	Consultation Administration consults with the faculty	Discussion Administration explains policies taken to faculty	None No faculty participation
5	Types of degrees offered	22.70	53.63	17.95	4.18	1.51
6	Relative sizes of the faculty of various disciplines	5.89	29.67	40.99	17.79	5.64
7	Construction programs for buildings and other facilities	1.23	7.23	41.20	38.22	12.09
8	Setting of the average teaching loads	6.39	33.26	31.58	22.53	6.30
	Selection of Administrators and Department Chair	Determination	Joint Action	Consultation	Discussion	None
9	Appointing the academic dean	2.82	29.84	53.58	8.89	4.70
10	Appointing department chairs or heads	15.94	37.89	36.23	6.26	3.67
	Financial Planning and Policy	Determination	Joint Action	Consultation	Discussion	None
11	Setting faculty salary scales	1.71	17.79	30.41	34.12	14.87
12	Decisions about individual faculty salaries (<i>refer to dept. chairs in glossary</i>)	2.52	15.64	24.51	30.14	27.25
13	Short range budgetary planning	2.01	15.88	38.68	30.81	12.64
	Organization of faculty agencies	Determination	Joint Action	Consultation	Discussion	None
14	Decisions that establish the authority of faculty in campus governance	12.44	50.92	22.04	11.02	3.62
15	Selecting members for institution-wide committees, senate, and similar agencies	53.14	27.22	12.85	4.02	2.72

Please feel free to elaborate on any responses you have given here or to submit any comments or clarifications you may have. You may attach additional sheets to this survey. Providing additional commentary is entirely optional. (**Note:** *The electronic version of the survey online facilitates this process by launching an email you can send with additional commentary to our survey facilitators*)

Please indicate if you would like to have a copy of a report allowing your institution to compare its practices in these areas to those of a peer group upon the completion of this study.

84.99% Yes, I would like a report 15.00% No thank you

Glossary of Terms Used

For reference purposes only

Determination: Determination means that the faculty of an academic unit or its duly authorized representatives have final legislative or operational authority with respect to the policy or action, and any other technically required approvals or concurrences are only pro forma.

Joint Action: Joint action means that formal agreement by both the faculty and other components of the institution is required for confirmatory action or policy determination. Negative action can be accomplished by a veto by either faculty or administration & the board. The separate components need not act simultaneously but should act within a reasonable time interval. In no case should the interval be longer than an academic year.

Consultation: Consultation means that there is a formal procedure or established practice which provides a means for the faculty (as a whole or through authorized representatives) to present its judgment in the form of a recommendation, vote or other expression sufficiently explicit to record the position or positions taken by the faculty. This explicit expression of faculty judgment must take place prior to the actual making of the decision in question. Initiative for the expression of faculty judgment may come from the faculty, the administration, or the board.

Discussion: Discussion means that there is only an informal expression of opinion from the faculty or from individual faculty members; or that there is formally expressed opinion only from administratively selected committees.

None: None means that there is no faculty participation. In cases where the specific item is lacking, e.g. there is no long-range budgetary planning or where the item is mandated say by the state legislature, e.g. admission requirements for some state schools, then the form of faculty participation is none.

A note on the role of the department chair or head: The department chair or head is not to be considered the faculty's authorized representative of the department, regardless of whether the position is an elected one, except in the instances when the chair acts as a spokesperson at higher levels of administration for decisions or recommendations made by faculty authorized representatives or a full faculty vote of the department (or unit). The chair may be instructed to appoint a committee or other authorized representatives by the faculty or their authorized representatives and such appointees are authorized representatives. The chair may be elected a faculty-authorized representative along with others. If the department chair is elected as the sole representative in the areas covered by the questions on faculty status, faculty salary scales, and individual faculty salaries, this shall not count as faculty participation unless the department has five (5) or less members.

Alternatively the above forms of participation may be accomplished by joint committees.

The forms of faculty participation described in this survey may be accomplished by Joint Committees or by committees comprised of faculty members who play some role in a specified aspect of university administration, such as promotion.

Joint Committees: A joint committee composed of faculty and others such as administrators, students, and trustees may qualify as a form of faculty participation if, and only if, the following conditions are met:

1. The committee's actions are by formal vote; and
2. The faculty members are chosen as authorized faculty representatives by their appropriate units; and
3. The faculty representatives form a significant number of the total; more specifically, the following percentages must be met:
 - a. To qualify for determination the faculty must comprise at least 75% of the voting members, and the chair must be elected.
 - b. To qualify for joint action the faculty must comprise at least 50% of the voting members, and the chairman must be elected.

- c. To qualify for consultation the faculty must comprise at least 40% of the voting members if there are two groups such as administrators and faculty; if there are three or more groups, none shall have a plurality greater than the faculty's but in no case shall the faculty comprise less than 35%.
- d. Other forms of joint committee should be labeled none.

Faculty Committees: On some campuses committees (such as promotion or tenure committees) possess the faculty's authority or express the faculty role in particular areas. Hence, the questions asking you to estimate the percent of faculty who belong to academic units in which faculty participation takes a particular form may seem inappropriate. In such cases, you should consider the powers of such committees rather than focus attention on the percent of faculty who exercise actual authority. Take the case of faculty promotion committees as an example.

1. If all of those and only those faculty recommended by the committee for promotion are promoted, then the form of faculty participation is *determination*.
2. If the committee recommendations for promotion are only affirmed or denied but not added to by the administration, then the form is *joint action*.
3. If the administration makes some promotions contrary to faculty recommendation but only from those individuals considered by the committee, then the form is *consultation*.
4. If an individual is promoted who is not considered by the committee, then the form for the whole college is *discussion* or *none*. It is *discussion* only if, for every such individual, informal opinion from faculty or formal advice from an administratively selected committee has been sought; without such participation, the form would be *none*.

The term **president** refers to the chief executive of the institution. On some campuses this might be the chancellor; on others the term president is used. Occasionally, campuses refer to the chief executive as a Dean or a Director. The use of the word president here refers to any of these positions and is meant to specify the individual charged with direct oversight and responsibility for the institution and the campus at large. If one individual is charged with oversight of a system or an institution with many campuses, while there is another individual charged with oversight of the campus receiving this survey, we refer here to this second person. This definition applies to all uses of the term chief executive or president in the survey, regardless of the terms used at your campus.

The **governing board** or **board** refers to the highest governing board at the institution with ultimate authority at that site. On some campuses this might be termed the board of trustees, on others it might be the board of governors or board of overseers. Some institutions that are part of state systems might find that several boards are involved in the operation of the institution. The term board used here is intended to describe the board with the most direct involvement in campus governance and with the highest authority at that location.

Merit Pay is a method of awarding compensation to faculty on the basis of administrative or peer assessment of their contributions to the institution in that year. Merit pay can be a bonus which is awarded after payment of a base salary and on top of any increases in salary arising from renegotiation of an employment contract, from a cost of living increase, or from an across the board salary increase for all faculty. Merit pay can describe the process by which a pool of salary funds or additional salary funds are distributed to faculty. Merit pay is also understood to be in place if the institution uses an evaluation process to award salary increases for the year.

For the purposes of this survey, **post-tenure review** is distinct from the concept of merit pay. Post-tenure review describes any process of periodic and formal evaluation of tenured faculty members conducted after they have been awarded tenure. The evaluation can be of the faculty member's teaching, research, or service to the institution. It can be used in merit pay systems, but the adoption of a merit pay system does not by itself represent a post-tenure review system. Post-tenure review can be with or without employment sanction and the records of review may or may not be included in the individual's employment file. All that is required is a formalized process of review of a tenured faculty member's work by the institution.