

Report of the Faculty Senate Chair – April 5, 2017

March has been a busy month and this report is divided into thematic areas.

University Budget: Shortly before our last meeting, on February 15, 2017, a new approach to budget management was announced by President Postel to the deans, vice presidents and representatives of the constituency groups (Faculty Senate, Staff Senate and SGA). Since this date, new unit budgets have been created for the current year and the 2017-18 budget, as a bridge year moving toward a new budget paradigm, is under discussion. The planning for the 2018-19 budget will begin immediately in the new fiscal year.

1. Provost's Budget Development Committee had several meetings to discuss the fast-moving budget process and priorities (3/9, 3/17 and 3/28). The BDC includes representation of constituency groups, several deans, and staff members.¹
2. In early March, I created a Faculty Senate Ad-Hoc Budget Committee to ensure the widest possible faculty input into the budget discussions. The ad-hoc committee is consciously designed to represent all units and includes all members of the P&B Committee, several XC members, other Senators to ensure unit representation, and the AAUP.² This group met on 3/8 and on 3/29 with the Executive Committee and Susan Howarth. I have asked Karen Hadley and Roger Bradshaw to co-chair this committee. This will be finalized in the next few days, as well as a future meeting schedule.

This ad-hoc committee was created to provide advice and consultation to me in my capacity as chair, and to establish a Senate body for regular, on-going consultation, along with the Executive Committee, about budget matters with central administration. Please note that XC and P&B historically have held joint, regular meetings regarding budget planning and priorities. The Executive Committee will remain the central site for the communications with the central administration about budget planning, and will work jointly with the ad-hoc committee and P&B.

3. An A&S Faculty Assembly Resolution dated March 24, 2017 on budget matters was sent to me, Dr. Postel, Dr. Billingsley, David Grissom, and Dean Kempf-Leonard late last week emphasizing the principles of shared governance requiring meaningful

¹ Budget Development Committee: Will Armstrong, Jim Begany, Dale Billingsley, Gerard Bradley, Celeste Carter, Fannie Cox, Bob Fox JR, Toni Ganzel, Bob Goldstein, Kimberly Kempf-Leonard, Michael Mardis, Kevin Merten, Melissa Schuter, Enid Trucios-Haynes, Aaron Vance

² Ad-hoc Senate Budget Committee: Karen Hadley; Kristina Zierold; Kurt Metzmeier; Patrick Harris; Chin Ng; Pam Feldhoff; Don Demuth; Reginald Bruce; Alan Levitan; Susan Peacock; Valerie McCarthy; Roger Bradshaw; David Owen; David Simpson; Jasmine Farrier; Monica Delano; Martin Hall; Terri Holtze; Krista Wallace-Boaz; Enid Trucios-Haynes; and Susan Jarosi.

participation of the faculty from the outset of budget planning. The new Faculty Senate ad-hoc budget committee, working with the Executive Committee, is designed to perform this function. Please note that XC and P&B historically have held joint, regular meetings regarding budget planning and priorities with Susan Howarth and others working on budget matters. See attached.

Board of Trustees: We had several meetings in March 2017, including meetings of the Governance Subcommittee on which I am a member. I attend the following board meetings:

1. Board Governance Subcommittee on 3/9/17. At this meeting I gave a presentation on shared governance. See attached. The subcommittee also approved a resolution about University financial matters that requires approval of any compensation to senior administrators including deans. This resolution was approved by the Board of Trustees on 3/16/17.
2. Board meeting on 3/16/17. I gave my presentation shared governance to the full board.
3. University of Louisville Research Foundation and Board of Trustees on 3/27/17.
4. Board Special Meeting to discuss a business proposal in executive session on 3/29/17.
5. Attended a University of Louisville Foundation meeting on 3/29 and shared the Faculty Senate resolution requesting foundation board representation with Alice Houston, Chair of the ULF Governance Committee.

Presidential Search Process:

1. The Presidential Search Committee met on March 15, 2017.³ At this first meeting, the committee adopted the Faculty Senate document about the Attributes, Experiences and Skills for a 21st Century University President. The search committee is currently working in two subcommittees for developing an RFP for a search consultant and developing a leadership profile after conducting a “listening tour” with all constituencies including the Redbook Faculty Committee, faculty members, students, staff, alumni, current and former trustees, donors, related foundations, board of overseers and citizens and leaders of the Commonwealth and local community.
2. On March 7, 2017, Provost Billingsley and I sent a joint letter to deans requesting units to elect a representative for the Faculty Redbook Consultation Committee using the process for the election of Faculty Senators (Redbook 2.1.1). See attached.
3. I plan to call a meeting of the Faculty Redbook Consultation Committee in the next few weeks. We are waiting for a few unit representatives to be appointed, and will

³ Search Committee members: Will Armstrong; Bonita Black; Brian Cromer; Chuck Denny; Sandra Frazier; David Grissom (co-chair); Alice Houston; Diane Medley; Alex Rankin; Eddy Roberts; James Rogers; Nitin Sahney; John Schnatter (co-chair); Steve Trager; Enid Trucios-Haynes; and Aaron Vance (SGA).

follow up about this later this week to ensure we are moving forward as quickly as possible.

Enhanced Shared Governance: The Senate has been asked to participate in the University Program Review Committee, the CFO search committee and several RFP committees related to print management, network scope, Enterprise System Committee.

1. Chin Ng will represent the Faculty Senate on the University Program Review Committee.
2. I am on the CFO Search Committee
3. We need volunteers to serve on the:
 - a. Managed Print Committee
 - b. Enterprise System Committee – to identify the key characteristics of existing systems, develop a process and policies relating to new systems procurement, based on University strategic priorities.

Other Meetings: I attended a number of meetings regarding business operations with Krista Wallace-Boaz. We met with David Adams, Jeanell Hughes, and Lee Smith. We met with President Postel and with Dale Billingsley for our monthly pre-Senate meeting.



The Values and Principles of Shared Governance

By Enid Trucios-Haynes
Faculty Senate Chair
March 9, 2017

Why Shared Governance Matters

Universities have a unique mission – *the creation and dissemination of knowledge* – and shared governance ensures that decision-making affecting the academic mission is largely independent of short-term managerial, political or financial concerns – UofL Provost

A sound system of institutional governance is a necessary condition for the protection of faculty rights and for the most productive exercise of essential faculty freedoms, including academic freedom - AAUP

Core Principles of Shared Governance

- **Accountability, Transparency, and Disclosure**
- **Regular communication and shared data - creating a culture of evidence**

From: Association of Governing Boards of Universities and Colleges (AGB)

Key Constructs of Good Governance

- 1. Mechanisms of Shared Governance** - Regulations, Policies, Procedures created with the involvement of stakeholders
- 2. Compliance** - Processes that demonstrate Accountability, Transparency, and Disclosure
- 3. Outcomes (Performance)** - Data and a culture of evidence

From: Association of Governing Boards of Universities and Colleges (AGB)

Key Constructs of Good Governance

Mechanisms of Shared Governance - Regulations, Policies, Procedures created with the involvement of stakeholders

SACSCOC Principles of Accreditation

- Faculty - CS 3.7.5: The institution publishes policies on the responsibility and authority of faculty in academic and governance matters
- Students - CS 3.9.1: The institution publishes a clear and appropriate statement of student rights and responsibilities and disseminates the statement to the campus community

Key Constructs of Good Governance

- **Compliance - Processes that demonstrate Accountability, Transparency, and Disclosure**
 - Through the *Redbook*, UofL has guidelines that support the responsibility and authority of faculty in academic and governance matters and the principle of consultation with staff and students
- **Outcomes (Performance) – Sharing Data and Creating a Culture of Evidence**
 - SACSCOC Principles of Accreditation
 - CR2.5: The institution engages in ongoing, integrated, and institution wide . . . evaluation processes that (1) incorporate a systematic review . . .

From: Association of Governing Boards of Universities and Colleges (AGB)

UofL Board of Trustees' Position on University Governance – adopted July 23, 2001

- Endorsed a position paper of the Coalition of Senate and Faculty Leadership (COSFL) in the state of Kentucky
- COSFL's paper was an endorsement of the 1966 "Statement on Government of Colleges and Universities" jointly formulated by the American Association of University Professors (AAUP), the American Council on Education (ACE) and the Association of Governing Boards of Universities and Colleges (AGB)
- These documents establish the core principles of collegial (shared) governance

Principles of Shared Governance at UofL

- Recognition of and respect for the many and varied roles that members of the academic community perform
- Timely disclosure of information needed to participate meaningfully in the discourse that makes good policy and practice
- Opportunities for members of the academic community to provide input for decisions that will affect them *before* decisions are made
- Respect for the principle of dissent - it is imperative that dissent from the majority view is respected by all

Good Faith and the Principle of Dissent at UofL

- Successful shared governance depends on all participants acting in good faith with everyone having enough information to offer sound opinions
- Respect for the diversity of opinion is of utmost importance
- Trustees, administrators, faculty, staff and students will not always share one voice on matters of policy and practice, and dissent from the majority view must be respected by all involved
- No stakeholder should fear retaliation for expressing dissent from the majority opinion or from the opinion of a superior.

The Role of Faculty in Decisions Allocating Financial Resources

- Allocating resources among competing demands is the responsibility of the governing board, the president and administration, and the faculty
- Each have a voice in the determination of short and long range priorities
- Each should receive appropriate analyses of past budgetary experience, reports on current budgets and expenditures, and short and long range budgetary projections
- Decisions having an university-wide impact necessarily affect the educational mission of the university and require consultation *before* decisions are made

The Redbook at UofL

- The official statement of the organizational structure, governance rules and procedures, and the university-wide policies
- Establishes the Faculty Senate (3.4.2), the Staff Senate (5.7.1) and the Student Government Association (6.5) as the official representatives of the faculty, staff and student bodies
- The principle of administrative consultation with appropriate individuals, groups and organizations is explicit throughout *The Redbook*

QUESTIONS OR COMMENTS

UNIVERSITY OF LOUISVILLE[®]

March 7, 2017

Academic Deans
University of Louisville

Re: University Presidential Search Process

Dear Deans,

The Faculty Senate is working on several items related to the future search for a new president of the University of Louisville. Although the Board of Trustees has not acted on this matter yet, we hope that the Board will be free to act soon, and we would like to take steps to prepare for the search.

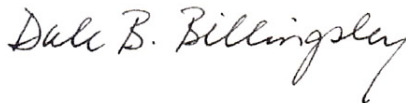
The Redbook requires the creation of a Faculty Committee in any presidential search process. To meet this requirement, the Faculty Senate recently resolved to request that each unit elect its representative by the process it uses for the election of Faculty Senators. In order to make reasonable progress, we ask that the name of your elected representative be reported to us jointly by April 1, 2017. Once all faculty representatives are elected, the Chair of the Faculty Senate will convene the committee for its first meeting.

This letter represents the joint request of my office and the Faculty Senate for units to conduct this election. Redbook Section 2.1.1 provides:

In making the appointment of the President, the Board shall consult with a faculty committee to be composed of one representative elected for that specific purpose from each of the units listed in Section 3.1.1.^[1]

We appreciate your support of this effort to ensure faculty involvement in the future presidential search process.

Sincerely,



Dale B. Billingsley
Acting Executive Vice President
and University Provost



Enid Trucios-Haynes
Chair, Faculty Senate

^[1] Redbook Section 3.1.1 lists the units: The College of Arts and Sciences; The School of Medicine; The Brandeis School of Law; The School of Dentistry; The J.B. Speed School of Engineering; The School of Music; The School of Interdisciplinary and Graduate Studies; The College of Business; The College of Education and Human Development; The University Libraries; The School of Nursing; The Kent School of Social Work; and The School of Public Health and Information Sciences

**To: Greg Postel, Interim President
Dale Billingsley, Interim Provost
David Grissom, Chair, Board of Trustees
Kimberly Kempf-Leonard, Dean, College of Arts & Sciences
Enid Trucios-Haynes, Chair, Faculty Senate**

From: College of Arts & Sciences Faculty Assembly

Date: March 24, 2017

Re: Resolution for shared governance in planning and budget

Background:

Recent communications from the administration regarding the university's 2017-18 budget have simultaneously declared a \$48 million shortfall (4% of the overall budget) and instituted immediate salary and hiring freezes. The university's faculty and staff were not included in this consequential decision to institute salary and hiring freezes, and faculty participation in the planning and budget process for the 2017-18 academic year has been limited.

The faculty of the College of Arts & Sciences emphasizes that it is the responsibility of the administration to uphold longstanding principles of shared academic governance, which include the participation of the faculty in decisions as to the allocation of financial resources.

Specifically, in matters of budgetary planning and priorities, shared governance means that decisions should be made with *meaningful participation of the faculty* in the determination of short- and long-range spending priorities.¹ Most important, budgetary decisions directly affecting areas in which the faculty has primary responsibility – including curriculum, instruction, research, and faculty status and salaries – should only be made in concert with the faculty.

Shared governance does not mean that the Faculty Assembly must be permitted to approve annual budgets, or that every individual faculty member must be permitted a vote on every dollar spent; the principles of shared governance make it clear that those responsibilities lie with the Board of Trustees and the President's Office. What is lacking, rather, is an institutionalized process whereby existing representative bodies of the faculty (i.e., Faculty Senate, elected unit committees) participate *from the outset* in the preparation of the budget, financial planning, and the determination of spending priorities. Past and current administrative practice has limited the faculty to passive consultation or, more commonly, relegated the faculty to the role of bystander. This resolution aims to address these shortcomings in shared academic governance as it pertains to decisions regarding the overall institutional budget.

¹ Principles of shared academic governance have established discrete definitions of faculty participation. Meaningful participation in matters of budgetary planning and priorities should take the form of joint action and consultation. Joint action means that formal agreement by both the faculty and other components of the institution is required for affirmative decision or policy determination. Negative action can be accomplished by a veto by any component. Consultation expressly means that there is a formal procedure or established practice which provides a means for the faculty (as a whole or through duly authorized representatives) *to present its judgment* in the form of a recommendation, vote, or other expression *sufficiently explicit to record the position taken by the faculty*. This explicit expression of faculty judgment *must take place in time to affect the decision to be made*. Proposals brought to the faculty for the expression of its judgment may come from the faculty, the administration, or the board.

Resolution:

The assembled faculty of the College of Arts & Sciences recommends that the following policies be adopted immediately to ensure that shared academic governance at the University of Louisville extends to budgetary matters.²

1. Faculty should participate, through an elective representative committee of the faculty, both in the preparation of the total institutional budget and in decisions relevant to the further apportioning of its specific fiscal divisions (salaries, academic programs, tuition, physical plant, etc.).³
2. This committee should participate in deciding on the overall allocation of institutional resources and the proportion to be devoted directly to the academic program, for the purpose of representing faculty interests and interpreting the needs of the faculty to the board of trustees and president.
3. Such a committee should be given access to all available information that it requires to perform its task effectively – including five years of audited financial statements, current and following-year budgets, and detailed cash-flow estimates for future years – and it should have the opportunity to confer periodically with the representatives of the administration and board of trustees.
4. In making decisions on whether teaching and research programs are to be curtailed, financial considerations should not be allowed to obscure the fact that instruction and research constitute the essential reason for the existence of the university and thus should be prioritized above all other institutional functions.

² These policies are extracted from “The Role of the Faculty in Budgetary and Salary Matters,” a report of the American Association of University Professors, which was approved by the AAUP’s Committee on College and University Governance, adopted by the AAUP’s Council in May 1972, and endorsed by the 58th Annual Meeting.

³ Such an elective representative committee could be newly created, or alternatively the responsibilities and membership of the current Faculty Senate Planning & Budget Committee could be revised and expanded to reflect the charge and practices contained in this resolution.