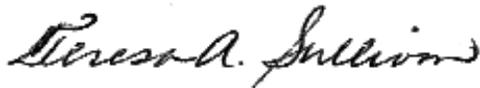


**Principles of Faculty Involvement in  
Institutional and Academic Unit Governance  
at the University of Michigan, 2d ed.**

## Prologue

During the past year, the University Shared Governance Task Force of the Senate Assembly and the Provost worked together to generate a set of guidelines setting out the roles and responsibilities of the faculty in University governance based upon current Regental Bylaws. Their final report was accepted by the Senate Advisory Committee on University Affairs (SACUA) and endorsed by the Senate Assembly at its March 17, 2008 meeting. We have decided to distribute this document to all members of the faculty so that its principles may be used to guide faculty participation in governance at all levels of the University. Faculty members are encouraged to use these principles as a basis for ensuring their effective participation in governance at all levels.



Teresa A. Sullivan, Provost and  
Executive Vice President  
for Academic Affairs



Charles B. Smith, Chair  
Senate Advisory Committee  
on University Affairs

## **Preface to the Second Edition**

Shared governance is a cherished tradition of American universities, including the University of Michigan. The first edition of this document was distributed to University of Michigan faculty to clarify the general principles that underlie the roles and responsibilities of the faculty in University governance. The principles are based upon, and intended to be consistent with, the Bylaws of the Board of Regents. This document expands that earlier edition with additional information concerning central faculty governance to supplement the information that was provided earlier concerning academic unit governance. We hope that this document will prove as useful to members of the university community as the first edition was.

## **Introduction to General Principles of Faculty Participation in Governance**

**Endorsed by the Senate Assembly on March 17, 2008**

Following the approval of the document titled "Criteria for Shared Governance at the University of Michigan" by the Senate Assembly on April 18, 2005 the Provost and the Senate Advisory Committee on University Affairs (SACUA) have updated and expanded the statements of General Principles for Faculty Participation in Institutional and Academic Unit Governances originally endorsed by Senate Assembly April 21, 1997. These principles are based on Chapters IV and V of the University of Michigan Bylaws of the Board of Regents, and these chapters are reproduced in the appendix to this document for easy reference. These principles are also generally consistent with the recommendations for the government of colleges and universities as set forth by the Association of Governing Boards of Universities and Colleges and the American Association of University Professors.<sup>1</sup>

Faculty participation in governance promotes and encourages diversity of ideas, a sense of shared responsibility, collaboration, collegiality, and institutional excellence. The faculty of the University of Michigan is encouraged to use these principles as a basis for participation in governance at all levels and in all units.

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<sup>1</sup> Association of University Professors, *AAUP Policy Documents & Reports*, 10<sup>th</sup> ed. (Washington: AAUP, 2006). Ingram, Richard T., *Trustee Responsibilities: A Guide for Governing Boards of Public Institutions* (Washington, AGB, 1997).

## **Principles of Faculty Involvement in Institutional and Academic Unit Governance at the University of Michigan**

### **A. General Principles for Faculty Participation in Institutional Governance**

1. The faculty has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, evaluation of student performance, research, faculty status, standards for admission of students, and those aspects of student life that relate to the educational process.
2. The faculty sets the degree requirements, determines when the requirements have been met, and otherwise qualifies students and recommends them to the President and Board of Regents to grant the degrees thus achieved.
3. Considerations of faculty status and related matters are primarily a faculty responsibility; this area includes matters relating to academic titles, appointments, reappointments, decisions not to reappoint, promotions, the recommending of tenure and dismissal. Policies and procedures shall be developed for the implementation of these faculty responsibilities.
4. The faculty shall participate in the determination of policies and procedures governing compensation of faculty.
5. Agencies for faculty participation in the government of the college/school or university shall be established at each level where faculty responsibility is to be met. A faculty-elected campus-wide body shall exist for the presentation of the views of the whole faculty. The agencies may consist of meetings of all faculty members of a department, school, college, division, or university system, or they may take the form of faculty-elected executive committees in departments and colleges/schools, and a faculty-elected body for larger divisions or for the institution as a whole.
6. Budgetary policies and decisions directly affecting those areas for which the faculty has primary responsibility such as, but not limited to, curriculum, subject matter and methods of instruction, research, faculty status, admission of students and those aspects of student life that relate to the educational process shall be made in concert with the faculty.
7. Issues that might be of significant concern to faculty may occasionally arise from outside the realm of the traditional faculty interests as outlined in paragraph 6. As appropriate, and when circumstances permit, administrators will make a good-faith effort to inform and seek the input of faculty representatives with the understanding that what constitutes a significant concern is a matter on which reasonable minds may differ.

8. Faculty must exercise diligence and provide oversight to ensure that its agencies act in keeping with its policies and recommendations, and that they are implemented in an appropriate manner.
9. The above general principles are to be implemented consistent with the Bylaws of the University of Michigan Board of Regents and the powers and authority granted therein.

**B. Academic Unit Level Governance Principles**

1. Although the principles of governance apply to all academic units, the forms of faculty governance may vary among units.
2. Every academic unit at the University of Michigan shall have a set of written rules and procedures for its governance, copies of which are to be available to each faculty member.
3. The governing faculty of each academic unit shall establish the policies and procedures of each academic unit governance entity in relation to: curriculum; admission requirements; graduation requirements; major operating procedures such as departmental organization, committee organization, committee appointments; budget; faculty appointments, reappointments, decisions not to reappoint; faculty promotion and tenure; and policies concerning reviews of faculty for merit salary increases. The governing faculty's establishment of policies and procedures shall be consistent with the authority of the Regents and the authorities granted the Deans under Regents Bylaw 5.06.
4. Consistent with the Bylaws of the University of Michigan Board of Regents, the governing faculty of each academic unit shall establish the operating procedures of its academic unit governance entities including, but not limited to: procedures for agenda setting, establishment of a quorum, determination of membership and voting rights, qualification of attendance by persons other than members, appointment of a faculty secretary, distribution of minutes, and the retention/filing of minutes.
5. For those academic units where the faculty delegates authority to an executive committee the following principles apply:
  - a. Procedures for nomination and election of executive committee members shall be determined by the governing faculty of the unit.
  - b. All recommendations to the Regents concerning a unit executive committee or other unit governance entity shall be based on a vote of the governing faculty of the unit.
  - c. The governing faculty shall establish the membership criteria for the executive committee with consideration for balance among various

components of the unit, such as unit programs and departments, to make the executive committee representative of the governing faculty of the unit

- d. The governing faculty shall establish criteria for those eligible to serve on the executive committee, e.g., membership in the governing faculty or in the professional faculty, fraction of appointment, and holding of administrative positions.
  - e. The governing faculty shall establish policies and procedures by which a vote by secret ballot among nominees for membership on the executive committee will be conducted, and for the transmission of the names of those elected to the Regents.
  - f. The governing faculty shall establish policies and procedures to be used to fill a vacancy if a member of the executive committee must take a leave of absence or is otherwise unable to complete the original term of office.
  - g. The governing faculty shall establish policies and procedures regarding the term of office of elected members and any other restrictions on terms of office.
6. The above general principles are to be implemented consistent with the Bylaws of the University of Michigan Board of Regents and the powers and authority granted therein.

### **C. Institutional Level Governance Principles**

1. The Bylaws of the University of Michigan Board of Regents have created the University Senate as the principal faculty agency of institutional governance. The University Senate is authorized to consider any subject pertaining to the interests of the University and to make recommendations to the Board of Regents in regard thereto.
2. Actions by the several faculties that affect University policy as a whole, or schools and colleges other than the one in which they originate, shall be brought before the University Senate, its Assembly representatives, or to SACUA.
3. The Senate Assembly serves as the legislative arm of the senate. The Senate Advisory Committee on University Affairs (SACUA), on behalf of the assembly, shall advise and consult with the President of the University on matters of University policy. The Senate, the Senate Assembly, and SACUA are authorized to consider and advise on any subject pertaining to the interests of the University which affect the functioning of the University as an institution of higher learning, which concern its obligations to the state and to the community at large, and which relate to its internal organization insofar as such matters of internal organization involve general questions of educational policy. The President or the President's delegate may request the advice and counsel of SACUA or of the Senate Assembly on any topic of concern to the University.

4. Appropriate matters for administrative consultation with SACUA include, but are not limited to, the development or significant change in institution-wide policies that affect such fundamental areas as curriculum, subject matter and methods of instruction, evaluation of student performance, research, faculty status and governance, standards and procedures for admission of students, and those aspects of student life that relate to the educational process.
5. Additional appropriate areas for consultation include significant changes in existing institution-wide policies that deal with faculty evaluations, retention, tenure, or promotion, composition of search committees, and with benefits specific to the faculty, such as sabbaticals, leaves, and retirement benefits.
6. In consulting with faculty governance, the President or the President's delegate may appear in person, request a written response, and ask for nominees to serve on advisory committees or task forces or use other appropriate means. Nothing shall prevent SACUA from initiating advice or counsel to the President on any matter.
7. Faculty members who serve on advisory committees or task forces as a result of nomination by SACUA are nevertheless constrained by whatever provisions for confidentiality the committee or task force enjoins on all of its members.
8. The above general principles are to be implemented consistent with the Bylaws of the University of Michigan Board of Regents and the powers and authority granted therein.

## **Chapter IV Bylaws of the Board of Regents**

### **The University Senate**

#### ***Sec. 4.01. The University Senate***

The University Senate shall consist of all members of the professorial staff, the executive officers of the University, the deans of the schools and colleges, such members of the research and library staff as may be designated in accordance with standards and procedures approved by the Senate Assembly, and such other major officers as may be designated by the Board of Regents from time to time. The chair of the assembly shall preside at meetings of the University Senate. In the absence of the chair, the vice chair of the assembly shall preside. The senate is authorized to consider any subject pertaining to the interests of the University, and to make recommendations to the Board of Regents in regard thereto. Decisions of the University Senate with respect to matters within its jurisdiction shall constitute the binding action of the University faculties. Jurisdiction over academic policies shall reside in the faculties of the various schools and colleges, but insofar as actions by the several faculties affect University policy as a whole, or schools and colleges other than the one in which they originate, they shall be brought before the University Senate.

#### ***Sec. 4.02. Rules of the Senate***

The University Senate may adopt rules concerning its own government and procedure and concerning its officers and committees.

#### ***Sec. 4.03. Senate Assembly Composition (revised September 1990)***

There shall be a Senate Assembly which shall consist of seventy-two senate members apportioned among the various schools and colleges according to the number of senate members in each school or college and one member from the Division of Kinesiology. The assembly shall make a reapportionment every three years. The members of the assembly shall serve for terms of three years (or longer in accordance with Sec. 4.07) so adjusted that the terms of approximately one-third of the members shall expire each year. A member who has served one term will not immediately be eligible for re-election.

***Sec. 4.04. Senate Assembly: Powers and Duties***

The Senate Assembly shall serve as the legislative arm of the senate. An action of the assembly shall have the effect of an action of the senate unless and until it is revoked by the senate, except when the assembly recommends an amendment to the rules of the University Senate, the Senate Assembly, and the Senate Advisory Committee on University Affairs that requires a change in the Bylaws of the Board of Regents. Notice of any such proposed amendment to the rules shall be communicated to the members of the senate by publication in the University Record or by other appropriate means. No action thereon by the Board of Regents shall be requested without senate approval if, within thirty days following such publication, a meeting of the senate is called in accordance with its rules to consider the assembly recommendation. The areas of concern of the assembly shall be those of the senate. The assembly meetings shall be open to all senate members. The assembly shall have power to consider and advise regarding all matters within the jurisdiction of the University Senate which affect the functioning of the University as an institution of higher learning, which concern its obligations to the state and to the community at large, and which relate to its internal organization insofar as such matters of internal organization involve general questions of educational policy. The assembly shall advise and consult with the president on any matter of University policy which the president may place before it. The assembly may request information from any member of the University staff, and may invite any such person to sit with it for the purpose of consultation and advice. Standing and special committees which are required to report to the senate shall present such reports to the assembly for study and transmittal to the senate, with such recommendations for action as the assembly shall deem proper. The assembly shall communicate its opinions and recommendations to the University Senate from time to time, and at a winter meeting of the senate in each academic year, shall present a formal report of its activities.

***Sec. 4.05. Senate Assembly: Nomination and Election of Members***

The members of the assembly apportioned to each school or college shall be elected by the members of the senate in such school or college within time limits determined by the Senate Advisory Committee on University Affairs.

***Sec. 4.06. Senate Assembly Organization***

Meetings of the assembly shall be held at such times as the assembly shall determine. Periodically, but not less than once each year, the assembly shall meet with the executive officers of the University. The assembly shall organize for the ensuing year by choosing from its membership the members to serve on the Senate Advisory Committee on University Affairs (hereinafter sometimes referred to in these bylaws as SACUA). The election shall take place at the last meeting of the year, and the new SACUA members and assembly officers shall take office immediately after the election of assembly officers. Members of SACUA shall be elected by the assembly from a slate listing nominees submitted by a nominating committee composed of two outgoing members of SACUA and four outgoing members of the assembly elected by the assembly, plus nominations from the floor. The names of the nominees chosen by the nominating committee must be transmitted to assembly members at least two weeks before the meeting at which the vote is to take place. No more than three members of SACUA shall be from the College of Literature, Science, and the Arts, two from the College of Engineering, two from the Medical School, and one from any other school or college. A majority of the members of the assembly shall constitute a quorum. The assembly may adopt rules for the transaction of its business. The secretary of the senate shall be a member of the assembly, *ex officio*, and without vote.

The assembly shall establish standing committees to advise and consult with the vice presidents of the University on matters within the areas of their respective responsibilities. The number of persons on each committee and the terms of its members shall be determined by the assembly. The committee shall be nominated by SACUA.

The assembly may create other standing and special committees to assist it with its work. It may define the qualifications for membership of such committees, provide for the number of members thereof, provide how they are to be appointed and their terms of office, and define their duties and obligations. The assembly shall provide for the appointment of all committees created by the senate, and except when otherwise provided by senate action, such committees shall be considered as committees of the assembly.

Committees established in accordance with this section shall report to the assembly and to the senate as directed by the assembly.

The officers of the assembly shall be the chair and the vice chair, chosen by SACUA from among the members of SACUA, and the secretary of the senate, who shall also serve as secretary of the assembly.

***Sec. 4.07. Senate Advisory Committee on University Affairs***

The Senate Advisory Committee on University Affairs shall consist of nine members of the Senate Assembly elected by the assembly from its membership for three-year terms. The members of the SACUA whose terms in SACUA extend beyond their assembly terms shall be voting members of the assembly during their terms on SACUA. SACUA shall meet as frequently as it deems desirable. The secretary of the senate shall inform the Board of the membership of SACUA at the time of election.

***Sec. 4.08. Senate Advisory Committee on University Affairs: Powers and Responsibilities***

The Senate Advisory Committee on University Affairs, on behalf of the assembly, shall advise and consult with the president of the University on matters of University policy and shall serve as an instrument for effecting the actions of the senate and the assembly. It shall nominate and supervise the committees of the assembly and shall perform other functions delegated to it by these bylaws or by the assembly.

## **Chapter V Bylaws of the Board of Regents**

### **The Faculties and Academic Staff**

#### ***Sec. 5.01. Definitions (revised October 2003)***

As used in these bylaws:

1. The term *faculty* shall include members of the teaching and research staff together with the executive officers, the directors of various teaching, research, and library units, research associates, curators, and persons with similar duties.
2. The term *professorial staff* shall include professors, associate professors, and assistant professors.
3. The term *governing faculty*, when used in connection with a school or college, shall include those members of the school or college who are professors, associate professors, and assistant professors. The governing faculty shall include instructors and lecturers who hold appointments of one-half time or more; provided, however, that such instructors and lecturers may vote at faculty meetings only if they have held appointments for one or more years and are authorized to vote by a majority of the professorial staff of the appropriate school or college. The governing faculty may include clinical professors, clinical associate professors, clinical assistant professors, research scientists, associate research scientists, assistant research scientists, research investigators, research professors, research associate professors, and research assistant professors when authorized by, and in accordance with, the policies and bylaws of the appropriate school or college.
4. The term *teaching staff* shall include professors, associate professors, assistant professors, instructors, lecturers, and teaching fellows.
5. The terms *teaching fellow*, *teaching associate*, *teaching assistant*, *student assistant*, *research assistant*, *technical assistant*, *laboratory assistant*, and *assistant* shall be used to designate junior appointees who participate in the processes of teaching and research but do not possess faculty rank. Students in these classifications shall have student status.

6. The term *university year*, as used in connection with appointments of members of the faculty and other personnel, contains any two terms in the calendar, as defined for the year in question. Faculty members are expected to participate in orientation, registration, and commencement.

***Sec. 5.02. Governing Bodies in Schools and Colleges (revised January 1993)***

In each school, college, or degree granting division of the University, including those at the University of Michigan-Dearborn and at the University of Michigan-Flint, the governing faculty shall be in charge of the affairs of the school, college, or division, except as delegated to the executive committee, if any, and except that in the School of Graduate Studies the governing body shall be the executive board, and in the Medical School shall be the executive faculty.

***Sec. 5.03. Powers and Duties of the Governing Faculties***

The faculty of each school and college shall from time to time recommend to the Board for approval such regulations as are not included within these bylaws and which are pertinent to its structure and major operating procedures, such as departmental organization, requirements for admission and graduation, and other educational matters, the determination of which is within the peculiar competence of the faculties of the several schools and colleges. All such recommendations when approved by the Board shall be recorded in the *Proceedings of the Board of Regents*.

Subject to the ultimate authority of the Board, the faculty of each school and college is also vested with plenary powers to make rules and regulations concerning other matters such as grading regulations, class attendance, committee organization and related internal matters. All such regulations shall be recorded in the minute books of the adopting authority and filed with the secretary of the University.

Each faculty shall provide suitable instruction for the students enrolled in its school or college. Each faculty shall recommend to the Board students under its jurisdiction who qualify for University degrees. It shall, subject to the Board, possess such other powers as are necessary to the performance of its duties.

***Sec. 5.04. Faculty Procedure***

Each faculty shall adopt rules for its own government and procedure and shall appoint a secretary, define the secretary's duties, and keep a record of faculty action.

In the absence of specific rules to the contrary, the rules of parliamentary procedure as described in *Robert's Rules of Order* shall be followed by school and college faculties, committees, boards, and other deliberative bodies.

***Sec. 5.05. Faculty Communications to the Board***

Each faculty shall submit its communications to the Board in writing through its dean, and at the University of Michigan-Dearborn and the University of Michigan-Flint through the chancellor, and through the president of the University. Each dean shall endorse faculty communications, making appropriate explanatory statements as needed. (See also Sec. 1.08.)

***Sec. 5.06. The Deans and Executive Committees***

The dean or director, or administrative head of a school, college, or department of instruction or research shall be appointed by the Board on recommendation by the president to act as executive officer of the school, college, or department.

If an executive committee has been created by the Board for the school, college, or department, the dean, director, or head shall be assisted by the executive committee of which he or she shall be *ex officio* the chair. The executive committee in addition to assisting with administrative functions shall be charged with the duties of investigating and formulating educational and instructional policies for consideration by the faculty and shall act for the faculty in matters of budgets, promotions, and appointments.