4.B Principles for Faculty Participation in Institutional Governance

These principles were unanimously endorsed by the Senate Assembly on April 21, 1997, and were subsequently distributed to all members of the faculty by the provost and executive vice president for academic affairs and the chair of SACUA. These principles are based, in part, on Regents bylaws in Chapter V: The Faculties and Academic Staff (5.02, 5.03, 5.04, and 5.06) and recommendations for the government of colleges and universities as set forth by the American Council on Education, the Association of Governing Boards of Universities and Colleges, and the American Association of University Professors. The faculty is encouraged to use these principles as a basis for the development of a means for participation in governance in all units. In accordance with the Regents’ bylaws, any policies and procedures that are proposed pursuant to these principles must be consistent with the bylaws and are subject to the ultimate authority of the Board of Regents. See handbook section 3.F “Faculty/Governing Faculty”.

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, research, faculty status, standards and procedures for admission of students, and those aspects of student life which 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, 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 which relate to the educational process—shall be made in concert with the faculty.
7. The preceding faculty responsibilities remain in effect when there is a delegation of faculty governance to agencies or administrative officers. 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.

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 responsibilities and authority of each academic unit governance entity and each administrative entity within that unit. This applies to the lines of decision-making authority of these entities 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.

4. 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.

Endorsed by the Senate Assembly, April 21, 1997.