

**Proposed Framework & Guiding
Principles for Shared Governance at
George Mason University
College of Public Health***

Prepared by:
The COACHE Subcommittee on Shared Governance
Kerri LaCharite (chair)
Rebecca Sutter
Cathy Tompkins
Robert Weiler

May 1, 2023

***Many of the discussions and meetings referenced throughout this document occurred before the College transitioned from the College of Health and Human Services to the College of Public Health. To avoid confusion, the College is referred to its current name, the College of Public Health consistently throughout the document.**

Goals of This Document

The Proposed Framework and Guiding Principles for Shared Governance at George Mason University College of Public Health (CPH) has multiple goals set within the document:

- Encapsulate shared governance within the literature and differentiate commonly used terminology.
- Present a set of shared commitments on behalf of faculty and administration necessary for the conditions of shared governance to be adopted and applied by the College in its operation and governance.
- Provide models of determination, primacy, and joint action as outlined within the George Mason University Handbook.
- Translate the models of determination, primacy and joint action based on how they can be applied within the College.

Shared governance is a practice. While procedures, structure, and areas of authority/accountability in decision making are recognized as important, alone they are inadequate without addressing the practice. Shared governance is practiced with trust, collaboration, multidirectional and reciprocal communication, transparency, inclusiveness, honesty, and integrity (AGB, 2017). For this reason, the models of determination, primacy, and joint action are considered descriptive and should be used to help guide policy and not be considered policy.

The COACHE subcommittee recommends the use of this document to initiate and guide shared governance and decision-making discussions regarding policy, structure, and culture within CPH across all levels of decisions. Guidance is provided as consideration to engage faculty, staff and students and is aligned with the 2022 GMU Faculty Handbook.

Background & Preceding Work

This document reflects the work of the COACHE subcommittee on Shared Governance between 2021 and 2023. Past reports can be found in the shared governance channel of [Faculty Council Group on Microsoft Teams](#).

The original subcommittee was formed because of recommendations by the November 4, 2020, CPH COACHE Work Group Report based on the COACHE faculty satisfaction survey in the Spring of 2019. The original subcommittee offered the following recommendations:

- Enhance understanding of shared governance in the College. Faculty and Administration can jointly offer a series of college-wide moderated meetings during AY20-21 to discuss how to operationalize and improve shared governance.
- Revise CPH policies following an agreed upon application of shared governance. For example, it was originally understood by faculty that the workload policy, including timelines and processes for review and updating, was developed by the instructional faculty with input from the leadership.
- Provide budget transparency by establishing a committee of faculty and administrators to identify solutions to budgetary concerns.
- Convene meetings to enhance meaningful communications about shared expectations and available resources to strengthen trust between faculty and leadership.
- Provide faculty a seat at the leadership table through greater participation and direct input in Administrative Council activities which control the business of the College. Note Administrative Council does not exist currently in that iteration. The Dean, Associate Deans, Chairs, Directors, three faculty representatives, a staff representative, and a student attend assessment and improvement meetings (A&I) to improve “plans” of any sort.

The subcommittee made more specific recommendations on shared governance in a report on April 22, 2021. The COACHE Shared Governance subcommittee assessed CPH structures and shared governance, i.e., faculty and administration involvement in decision making, in several areas. These areas included curricular decisions, academic programs, and admissions; recruitment, evaluation, and promotion of faculty; and other operational and institutional changes.

1. The CPH faculty by-laws should be updated to reflect the roles of Administration, Department Chairs, and Faculty as defined in the Mason Faculty Handbook.
2. The CPH Faculty by-laws should be revised to clarify that the Associate Dean for Academic Affairs, who is not a member of the General Faculty, will serve as an ex officio member of the college Curriculum Committee, not as a full member. This ex officio role mirrors the role of administrators who participate in other faculty committees.
3. The College Book of Business should be revised, such that the role of the Associate Dean for Academic Affairs better reflects the University’s expectation of Faculty primacy in academic matters. As currently described in the Book of Business, the role of the Associate Dean in CPH seems to be ascribed a greater degree of authority than is reflected in the Mason Handbook.
4. The CPH faculty Promotion Tenure and Review manual should be updated to align it with the Mason Faculty Handbook. These revisions should reflect that faculty are in large measure responsible for initial appointment, renewal, promotion, the conferral of tenure, and termination for tenured and tenure-track faculty.

5. All formal and informal CPH policy documents and related webpages should be reviewed for consistency with governance structures and domains articulated in the Mason Faculty Handbook and should further reflect the spirit of shared governance from the Handbook. Processes that speak to areas where faculty have primacy or where faculty have an expectation of shared decision-making should reflect meaningful faculty participation.
6. The CPH faculty by-laws should be revised to accurately define the roles of administration, department chairs, and general faculty, in line with the definitions provided by Mason's Faculty Handbook. This will help eliminate potential confusion regarding eligible membership for faculty committees and subcommittees, as well as areas of responsibility.
7. The subcommittee recommends that the informal CPH Administrative Council (Please note Administrative Council does not exist currently and has been replaced with the A&I structure) membership be expanded to include 3-4 faculty members selected from the membership of standing faculty committees. In this way, CPH decision-making will benefit from more diverse faculty input at the same time that faculty would gain a more complete understanding of the context for college organizational and institutional changes.
8. The subcommittee recommends that Faculty Council host an in-service for administration, department chairs, and the general faculty, to ensure that all members are aware of Mason faculty shared governance expectations and responsibilities.
9. The subcommittee recommends that new hires receive informational materials about CPH which include a primer on shared faculty and administration governance structures. These materials should be developed in a collaborative manner with general faculty, department chairs, and administration. The subcommittee believes that materials which outline the development, review and approval processes across general faculty, faculty council, admin council (A&I), and the Dean would clarify expectations, enhance communication, and could ultimately lead to greater faculty satisfaction.

The COACHE subcommittee subsequently held a college meeting Oct. 29, 2021, that identified how models of shared governance can be used to move goals of the college forward. A facilitated College retreat followed on December 10, 2021, that hosted discussion on how two College policies (unit administrator renewal procedures and allocation of new resources) could apply shared governance.

Based on the foundational work over the past two years, some of the recommendations have already been implemented, some are in process, and others will be presented for consideration in the future. have yet to be addressed. Below are examples of changes that have been implemented as a result of this work:

- Faculty representatives were added to Administrative Council in the fall of 2019 when it was convened as a committee. Initially, representation included only the Chair of Faculty Council. Later in the fall of 2021, a faculty representative of Faculty Senate was added. Currently, there are three faculty representatives in A&I meetings from Faculty Council, Faculty Senate, and the faculty-at-large.
- In 2021 amendments to the CPH Faculty Bylaws the role of the Associate Dean for Academic Affairs in the College Curriculum committee was revised to serve as an ex officio member instead as a voting member.
- The 2022 Promotion Tenure and Review Manual was revised with attention to the recommendations of COACHE subcommittee 2021 report, including to align it with the Faculty Handbook as well as reflecting areas where faculty have primacy or where faculty have an expectation of shared decision-making. An example can be seen in the Post Tenure

Review section. The 2022 PTR Manual outlines the role of faculty in the CPH PTR Committee in peer evaluation as part of post tenure review.

Although this document highlights the work that has been done by many groups over the past two years, there continues to be a need to continue to evolve and improve our documents, policies, procedures, and expand the culture of shared governance. Shared governance is a practice and not a final outcome and should be continually reviewed and updated. We recommend that this work continue to undergo routine [Plan-Do-Study-Act \(PDSA\) cycles](#) as new processes are developed and implemented.

Table of Contents

What is Shared Governance?	7
<i>Principles of Shared Governance</i>	7
College of Public Health Commitments	8
<i>Commitment to Representation:</i>	8
<i>Commitment to Procedural Integrity</i>	8
<i>Commitment to Shared Governance</i>	9
<i>Institutional Best Interest Acknowledgment</i>	9
Faculty & Administration Participation, Authority & Responsibility at Mason	10
<i>Clarifying Terms</i>	11
Spectrum of Models for Faculty & Administrative Participation	13
Models of Shared Governance	14
<i>Faculty Determination</i>	14
University Handbook Example	14
Example 1. University Process.....	15
College of Public Health Model for Faculty Determination	15
<i>Faculty Primacy (authority but with meaningful participation by administration)</i>	15
University Handbook Examples.....	15
Additional College of Public Health Examples	17
Example 1. University Process.....	18
College of Public Health Model for Faculty Primacy	18
Example 2. University Process.....	19
College of Public Health Model for Faculty Primacy	19
<i>Joint Action or Authority</i>	20
University Handbook Examples.....	20
Additional College of Public Health Examples	21
Example 1. University Process.....	23
College of Public Health Model for Joint Action	23
Example 2. University Process.....	24
College of Public Health Model for Joint Action	24
<i>Administration Primacy (authority but with meaningful participation by faculty)</i>	25
University Handbook Examples.....	25
Additional College of Public Health Examples	25
Example 1: University Process	26
College of Public Health Model for Administrative Primacy	26
College of Public Health Model for Administrative Primacy Example 2.....	26
<i>Administration Determination</i>	27
University Handbook Examples.....	27
College of Public Health Model for Administrative Determination	28
References	29
Appendix A: Decision Tree	31
Appendix B: Reference Documents	32

What is Shared Governance?

“A college or university in which all the components are aware of their interdependence, or the usefulness of communication among themselves, and of the force of joint action will enjoy increased capacity to solve educational problems” (Statement on Government of Colleges and Universities, 1966).

Shared Governance includes issues of values, culture, management, finance, and administration and should be a transparent process by which the college community (i.e., faculty, staff, administrators, alumni, and students) participates in the decision-making process on matters of policy and procedure, and/or to present alternatives on such matters. Shared governance should foster mutually reinforcing relationships that expand cooperation and develop leadership while facilitating judicious, yet creative, college governance (AGB, 2017; Bahls, 2014; Taylor, 2013).

At the core of successful shared governance is open communication among the constituents of the college. Soliciting, weighing, and considering input as part of a decision-making process, strengthens confidence among the principal stakeholders of the college to mutually benefit each other and the college collectively (AGB, 2017; Bahls, 2014; Taylor, 2013). The intent of this process is to balance efficiency and effectiveness with equity and fairness.

Principles of Shared Governance

These principles are adapted from the University of Louisiana Monroe’s Principles and Practices of Shared Governance (2007) and Youngstown State University’s Principles and Practice of Shared Governance (2017) with consideration of faculty input from meetings on Shared Governance within the College of Public Health on Oct. 29, 2021, and Dec. 10, 2021.

- Shared governance involves and engages all stakeholders, including administration, faculty, staff, and students in the decision-making processes. In cases of emergencies or the need for immediate action, it may not be possible to involve all stakeholders, but these should be rare instances and every effort should be made to allow participation.
- Shared governance relies upon consistent, trustworthy communication that is multidirectional and reciprocal and focused on our mutual goals of student success and institutional effectiveness.
- Shared governance requires mutual accountability by all members of the College community for the proper execution of their roles in a timely manner.
- Shared governance permeates all levels of decision-making within the College community.
- Full and active participation at all levels of shared governance is encouraged without fear of retribution.
- Recommendations made through shared governance processes should be considered in all College and unit level decision making.

College of Public Health Commitments

The College's primary focus is on academic programs and student success. The following commitments reflect Mason's and CPH's values and mission. The commitments below should guide decision-making and how governing happens within the College for both faculty and administration.

The commitments are adapted from the University of Louisiana Monroe's Principles and Practices of Shared Governance (2007) with consideration of faculty input from meetings on Shared Governance within the College on Oct. 29, 2021, and Dec. 10, 2021, as well as discussion within the COACHE subcommittee on Shared Governance.

Shared governance requires a commitment of resources and time from the institution. The College shall support faculty, staff, and students in their responsibilities to shared governance.

Commitment to Representation:

- **Areas of Primary Concern:** While many governance issues will involve multiple constituencies, the process acknowledges that certain areas may be the primary concern of one group either because the matters considered have primary importance and concern to that group or because one group holds the expertise in those matters.
- **Proportional Representation:** Representation should be proportional to the level of impact on constituencies. However, efficiency and effectiveness should not be sacrificed for the sake of proportionality.
- **Diverse Representation:** Representation should reflect the diverse nature of the College community.

Commitment to Procedural Integrity

- **Authority:** The College's published policies and procedures and the state's rules and regulations are the authoritative frameworks within which shared governance operates. The spirit of shared governance requires all parties to seek mutually acceptable recommendations. When compromise and concurrence cannot be achieved, rationale for the administrative decision should be provided in written form to the involved parties who may present a written statement of their position and/or any objections to the decision as part of the institution's or unit's record on the issue. However, the spirit of shared governance requires that the administrative dismissal of shared governance recommendations be rare and for compelling reasons. Once a decision is reached, all parties should be supportive of the implementation process.
- **Openness:** The process should be transparent, and the status of any proposal should be available to all constituencies at any point in the approval process. Records should be maintained and accessible to all parties.
- **Notification:** The process should provide constituencies with sufficient opportunities for discussion of policy and procedural issues prior to making final recommendations.
- **Timeliness:** Recommendations and decisions on proposals need to be made in a manner that is timely and appropriate to the issue yet does not overlook the governance process for the sake of expediency. It may, on occasion, be necessary to use vehicles of collaboration that can be effectively carried out in accelerated periods of time. Responsiveness is the key to the credibility of the process.

- **Oversight:** Monitoring and evaluation of the shared governance process is essential to ensure the functioning of the process as intended and adherence to the spirit of shared governance at all levels of the College.

Commitment to Shared Governance

- The College shall have written procedures and formal structures providing for appropriate collaboration and communication between and among administration, faculty, staff, and students. The structures and procedures shall be developed cooperatively, disseminated widely before adoption, and reviewed periodically in accordance with the procedures and timelines established in the documents governing institutional practice.
- Recognizing the institution's main educational focus on its students, identification of subject matter appropriate for administration, alumni, faculty, staff, and student participation in the shared governance process shall recognize:
 1. The responsibility of administrators for facilitating and communicating a vision for the College, through strategic leadership, and managing human resources, finances, and operations.
 2. The central role of faculty, including part-time faculty, in teaching, scholarship, and service, including assessment of these activities through peer review. This is further evidenced by having representation on college level committees.
 3. Staff provides an important perspective of day-to-day operations that are essential in the consideration of college level decision making and in the development of policy and procedures, as evidenced by their inclusion in college level committees.

Institutional Best Interest Acknowledgment

Given the dynamic nature of institutional governance, it is understood that there may be infrequent occasions when institutional leaders must act in the best interest of the institution on major issues affecting the institutional constituencies without full benefit of the shared governance process. In such cases, the representative bodies shall be informed in a timely manner and have an opportunity to comment on the actions taken.

While participation in governance by faculty, staff, and students is necessary and important for the well-being of the College, the final responsibility for decision making, including solicitation of input through shared governance, rests with the President and the Board of Trustees, who are ultimately held accountable by college constituencies, the public and its elected leaders.

Faculty & Administration Participation, Authority & Responsibility at Mason

At the university level, Mason has a strong tradition of shared governance. The 2019 COACHE faculty satisfaction survey identified shared governance within the university as a strength. The structure of the Faculty Senate, Senate committees and inclusion of faculty on University Standing Committees ensures faculty participation in university governance across all areas of decision-making, with differing levels of authority.

The Faculty Handbook identifies the areas that faculty play primary roles and have effective determination in decision-making and offers models of varying levels of faculty and administration participation and authority. According to the Faculty Handbook: “the faculty plays a primary role in two types of determinations: the University's academic offerings and faculty personnel actions. The faculty also plays a vital role in academic organization and institutional change” (1.3 Faculty Organization, Mason Faculty Handbook).

It is important to note the literature on shared governance contends collaboration depends on the active participation by both administration and faculty in governance of the college. Ehrenberg (2002), Shattock (2002, 2012), Dearlove (2002), and Lapworth (2004) argue “for a balanced system of ‘shared governance’ where the de jure supremacy of either the governing body or the academic body is seldom exercised and instead a sense of common purpose is nurtured (Taylor, 2013). Olsen (2009) writes “True shared governance attempts to balance maximum participation in decision making with clear accountability.”

In areas where the faculty does not have primary responsibility (i.e., primacy), the faculty still participate in decision-making. Areas include long range planning, hiring and evaluating administrators, physical plant, budget (Tiede, 2021).

The organization of the **University** includes faculty participation in committees that have meaningful input:

- Faculty Senate
- Budget and Resources
- Gift Acceptance
- Master Plan
- Technology Policy
- Faculty Matters
- Organization and Operations

The organization of the **College intentionally reflects University structure and** includes faculty participation in committees that have meaningful input:

- Faculty Council
- Faculty Development
- Curriculum
- Promotion Tenure & Renewal
- Student Affairs Committee
- Grievance Committee
- Research Committee

- University's Faculty Senate

Mason's Faculty Handbook provides guidance on areas where faculty have consultation, joint action or authority, primacy, and determination. The table below, *Spectrum of Models for Faculty & Administrative Participation* list areas and levels of participation by faculty and example processes (see Appendix A for supporting Faculty Handbook excerpt).

Clarifying Terms

- **Consultation:** A formal procedure which provides a means for the group to present its judgement in the form of a recommendation or vote. A vote does not equate final approval of a policy, procedure, or item, but to represent the majority voice of either the faculty or administration depending on whether it is faculty primacy with consultation with administration or administrative primacy with consultation with faculty (AAHE, 1967; Tiede, 2021; Tiede, 2021, April 21).
Consultation relies on an exchange of information. In consultation, the decision-making person or group engages in an exploration of ideas that takes advantage of dialog, questions, and feedback. In consultation, decision-makers and contributors work together to surface mutual understanding, explore ideas, and articulate perspectives valuable to the decision-makers. Ultimately, however, once the process of consultation concludes, decision-makers are responsible for determining the final outcome.
- **Determination:** The group has final legislative or operational authority (AAHE, 1967; Tiede, 2021; Tiede, 2021, April 21).
- **Discussion:** An informal expression of opinion from the group or individual (Tiede, 2021; Tiede, 2021, April 21).
Discussion or input is a one-way form of communication in which people offer their perspective to others who receive the input and act on it. There is no give and take in the process of giving input. It is simply placing information, ideas, and perspectives in the hands of people with the power and authority to do something, or nothing, with it.
- **Joint Action:** Formal agreement by both the faculty and other components of the institution is required. (AAHE, 1967; Tiede, 2021; Tiede, 2021, April 21)
- **Primacy:** A group has primary authority and accountability for an area but that the other group has an opportunity to participate meaningfully in the final decision. If there is a disagreement between the two groups, the group that has primacy normally prevails. (AAHE, 1967; Tiede, 2021; Tiede, 2021, April 21)
- **Faculty:** Faculty participation needs to occur through an elected senate or council, or else through the general faculty. Faculty with administrative responsibilities, including program coordinators, directors of field placement, etc. are regarded as faculty in college decision making, but at the unit level may be considered administration. (Tiede, 2021; Tiede, 2021, April 21)
- **Administrative Faculty:** Deans, unit directors, associate deans, provosts, and associate provosts should be regarded as administration, regardless of whether they may hold faculty rank in decision making. Department chairs or heads who are not chosen by departmental elections are regarded as administration (Tiede, 2021; Tiede, 2021, April 21).
- **Local Academic Unit:** The term "local academic unit" (LAU) refers to an academic department, an academic school without subdivision, or to a college/school without

subdivision (GMU Faculty Handbook, 2022, 1.3.6 Local Units (LAU), Primary Affiliation, and Joint Appointments).

The table below represents the spectrum of decision making and faculty administration participation based on the definitions above.

Spectrum of Models for Faculty & Administrative Participation

Administrative Determination	Administration Primacy		Joint Authority of Faculty and Administration	Faculty Primacy		Faculty Determination
	With Faculty Input	With Faculty Consultation		With Administration Consultation	With Administration Input	
Unilateral decisions. Faculty are informed of the decision or consulted in a pro forma fashion but generally has no influence on the outcome.	Administration has primary authority. Faculty are afforded opportunities to participate meaningfully, through discussion, in the final decision.	Administration has primary authority. Faculty recommendation is solicited by formal procedure.	Formal agreement by both the faculty and other components of the institution is required.	Faculty has primary authority. Administration recommendation is solicited by formal procedure.	Faculty have primary authority. Administration are afforded opportunities to participate meaningfully, through discussion, in the final decision.	Unilateral decisions. Administration is informed of the decision or consulted in a pro forma fashion but generally has no influence on the outcome.
<u>University Example</u> COVID policies and procedures	<u>University Example</u> Budget	<u>University Example</u> Grievance	<u>University Example</u> Faculty Handbook	<u>University Example</u> PT&R	<u>University Example</u> Academic Calendar	<u>University Example</u> Determination of voting membership status

Models of Shared Governance

This section outlines models illustrating shared governance processes. The University has a strong tradition of shared governance. The Mason Faculty Handbook with context from Faculty Senate Bylaws and Standing Rules offer examples of effective shared governance procedures for the College.

The models below and in Appendix B are taken from language from the Mason Faculty Handbook and interpreted with input of Faculty Council and Administration. Each model outlines one University example as well as how it *could* be interpreted within the College. *These are meant as broad guidance as a start of a conversation within the College and are not prescriptive models.* To this point, for several models there are multiple University and College examples with differing procedures. These are examples and demonstrate the range of interpretations of the models.

It is also important to note that authority or “effective influence may or may not be synonymous” with final approval (AAHE, 1967, p. 15). Ultimately, the University’s president, provost and/or College Dean has final approval. “Effective influence can be described as the relative ability to specify the alternatives considered in resolving a given issue and to control the determination of the alternative that is ultimately selected” (AAHE, 1967, p. 15)

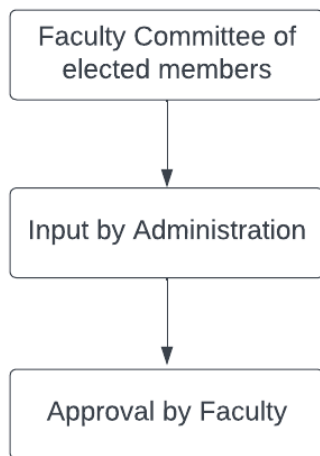
Faculty Determination

Faculty Determination is defined as unilateral decisions made by faculty. Administration is informed of the decision or consulted in a pro forma fashion but generally has no influence on the outcome. However, the principles of shared governance encourage that all stakeholders are engaged with multidirectional and reciprocal communication.

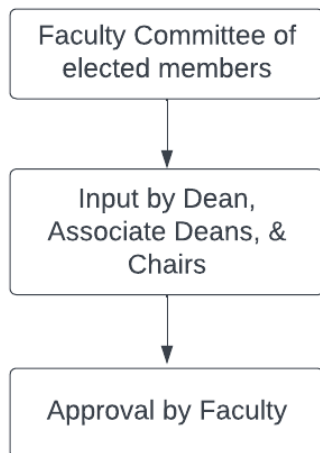
University Handbook Example

- Voting membership of academic schools and departments (Faculty Handbook, 1.3.4, 1.3.5)
 - 1.3.4 Colleges and Schools
Academic school faculties determine their own voting membership.
 - 1.3.5 Academic Departments
Academic department faculties determine their own voting membership.

Example 1. University Process



College of Public Health Model for Faculty Determination



Faculty Primacy (authority but with meaningful participation by administration)

Faculty Primacy is defined as primary authority being with Faculty. Administration has an opportunity to participate meaningfully. Either input is informal, or recommendation is sought by formal procedure. Consultation would indicate formal procedure.

University Handbook Examples

- Academic offerings
 - Degree requirements (Faculty Handbook, 1.3.3)
 - Authorizes the conferral of degrees (Faculty Handbook, 1.3.3)
 - Proposes, reviews, and approves courses and programs (Faculty Handbook, 1.3.3)

1.3.3 Colleges and Schools

As an organizational unit the college/school meets four functional criteria: (i) it has a tenured and tenure-track faculty directly and specifically appointed to it or to its academic subdivisions by the Board of Visitors; (ii) its faculty

establishes degree requirements; authorizes the conferral of degrees; proposes, reviews and approves courses and programs; actively participates in decisions concerning the creation, reorganization and dissolution of units within the college/school; and plays a key role in faculty personnel actions such as appointments, promotion, and granting tenure; (iii) it has an instructional budget that includes FTE funds for the payment of its faculty's salaries as well as funds for goods and services in support of its academic programs and other activities; and (iv) its chief administrative officer is a Dean who reports directly to the Provost.

- Local Academic Unit reorganization (Faculty Handbook, 1.3.6.2)
- Development and alteration of the curriculum (Faculty Handbook, 1.3.6.2)
- Standards for admission to programs (Faculty Handbook, 1.3.6.2)

1.3.6.2 Local Academic Units Governance

The local level of governance is the most important in the University for the faculty's direct exercise of professional and peer judgment. Faculties of local academic units actively participate in decision-making about academic matters, matters of faculty status, and organizational and institutional change. They have primary responsibility for such academic matters as unit reorganization, the design of programs, development and alteration of the curriculum, standards for admission to programs, and requirements in the major. They play a primary role in such matters of faculty status as the recruitment and initial appointment of new faculty; the reappointment, promotion, tenure, and post-tenure review of members; and in the case of departments, the selection of the department chair.

- Procedures for teaching evaluation (Faculty Handbook, 2.5.1) *Faculty Primacy w/Consultation of Administration

2.5.1 Teaching

Specific guidelines for the procedures to be used in the evaluation of teaching effectiveness will be those determined by the office of the Provost in consultation with the University Faculty Standing Committee on Effective Teaching (p. 28).

- Faculty personnel actions

- Recruitment and initial appointment of new faculty (Faculty Handbook, 1.3.6.2; 2.3.1)

2.3.1 Policies on Recruitment and Appointment of Faculty

The Board of Visitors has full authority over faculty personnel matters, including faculty appointments. To carry out this function effectively, the Board selects a President, who appoints other academic administrators. Academic administrators share responsibility with the faculty for ensuring that appropriate standards are fostered; that equity and due process are the rule; that judgments in the selection, retention, and promotion of faculty are in the best long-term interests of the University; and that equal opportunity and fair employment practices are followed.

Initial review and evaluation of qualifications are carried out by eligible faculty in the local academic unit to which the candidate is to be appointed. Faculty recommendations for appointment are forwarded to the Dean of the academic unit in which the appointment is to be made. If concurring with the faculty recommendations, the Dean will forward them to the Provost.

- The reappointment, promotion, and tenure of members (Faculty Handbook, 2.7)
2.7 Procedures for Reappointment, Renewal, Promotion, and Tenure
Recommendations in these matters originate through faculty action in accordance with established procedures; are reviewed by senior academic administrators; and presented to the Board of Visitors. The administration should overturn faculty personnel recommendations rarely, and only when it is clear that peer faculty have not applied appropriate standards, or when the University's long-term programmatic needs are an overriding consideration. Only in extraordinary circumstances and for clearly stated reasons should administrators substitute their own judgment of the value of scholarly or educational accomplishments for judgments made by faculty.
- Selection of the department chair (Faculty Handbook, 1.3.6.2)
1.3.6.2 Local Academic Units Governance
The local level of governance is the most important in the University for the faculty's direct exercise of professional and peer judgment. Faculties of local academic units actively participate in decision- making about academic matters, matters of faculty status, and organizational and institutional change. They have primary responsibility for such academic matters as unit reorganization, the design of programs, development and alteration of the curriculum, standards for admission to programs, and requirements in the major. They play a primary role in such matters of faculty status as the recruitment and initial appointment of new faculty; the reappointment, promotion, tenure, and post-tenure review of members; and in the case of departments, the selection of the department chair.

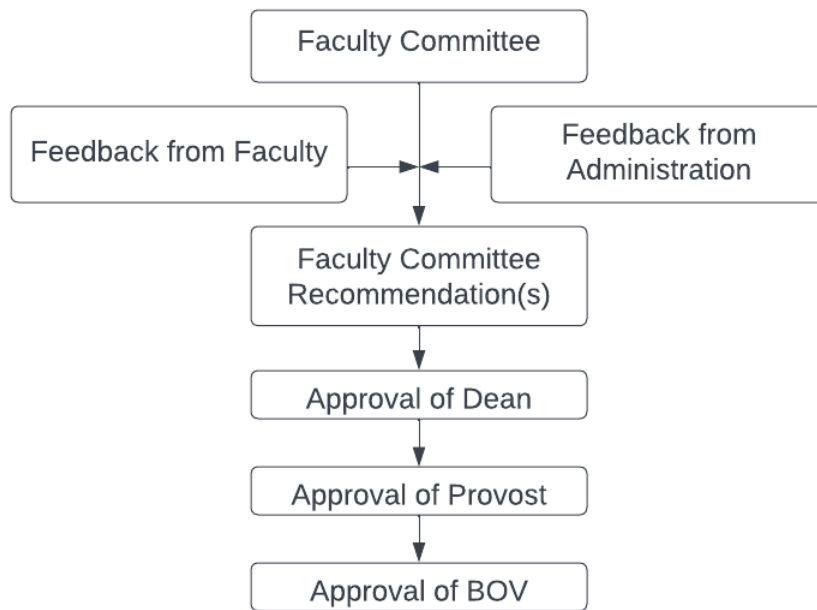
Additional College of Public Health Examples

- Documents and procedures for Annual Performance Review
- CPH Faculty Bylaws (Article VII- Amendment)

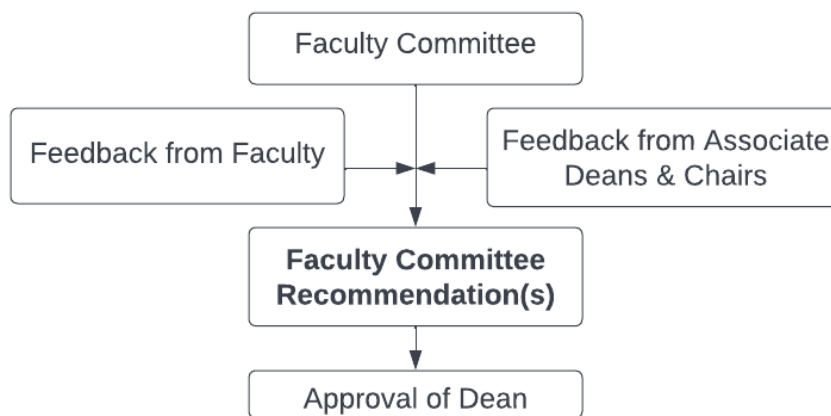
Example 1. University Process

Recruitment and initial appointment of new faculty (Faculty Handbook, 2.3.1)

- Department chair appointments search committee chair.
- Committee chair appoints search committee.
- Job description and candidate evaluation criteria are created.
- Feedback on candidates is collected from faculty and administration after meetings with candidates.
- Recommendations are put forward by the committee.
- Approved by Dean
- Approved by Provost
- Approved by BOV



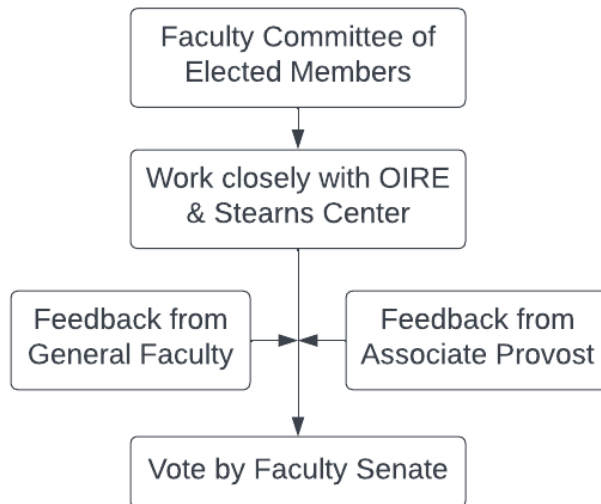
College of Public Health Model for Faculty Primacy



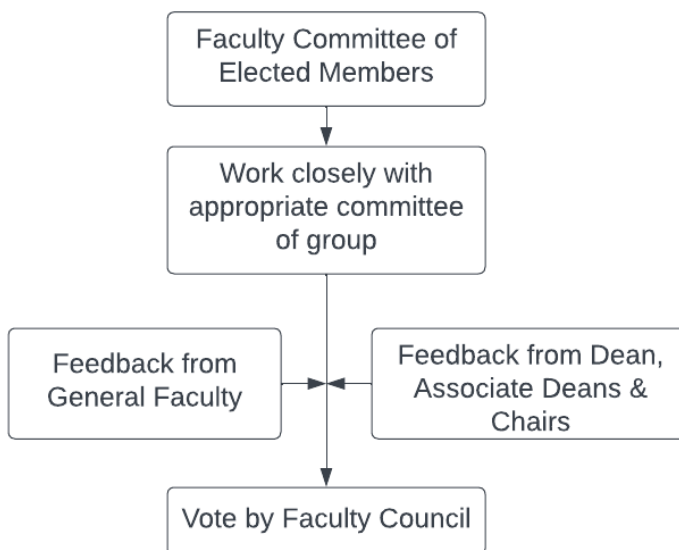
Example 2. University Process

Procedures for Teaching Evaluation (Faculty Handbook, 2.5.1)

- Faculty Committee of elected members
- Work closely with OIRE and Stearns
- Feedback from general faculty, associate provost
- Vote by Faculty Senate



College of Public Health Model for Faculty Primacy



Joint Action or Authority

Joint Action is defined as decisions made by a formal agreement of both the faculty and other components of the institution.

University Handbook Examples

- Handbook revisions (Faculty Handbook, Preface to the Handbook)

Preface

Except as noted below, revisions to the *Handbook* may be proposed by any of the parties who have participated in its adoption: the Board of Visitors; the Faculty Senate, acting on behalf of the General Faculty; and the central administration. Proposals to revise the Handbook will be considered by the Faculty Handbook Revision Committee (a University Standing Committee composed of three faculty members elected by the Faculty Senate) which meets jointly with representatives from Human Resources and Payroll and the Provost's office. The proposed revisions that are approved by that body will be presented to the Faculty Senate for approval.

All revisions require the formal approval of the Board of Visitors. Each revision shall be incorporated, as of the effective date fixed by the Board, in all existing and future faculty employment contracts; however, no revision shall operate retroactively to change materially the substantive rights of any faculty member or the conditions of award of tenure for faculty members already granted tenure, or who have filed a written request with the Dean of the school or college to be evaluated for the award of tenure. For example, the conditions of employment governed by the Handbook may be changed prospectively and criteria for tenure may be changed for faculty who have not been awarded tenure but may not be changed for faculty already tenured. Where no effective date is fixed for a revision, it shall become effective on July 1st following its approval by the BOV.

When a policy or procedure described in this Handbook is subject to alternative interpretations, then the Provost and the Faculty Senate Executive Committee will be the designated body to resolve the disagreement.

- College governance procedure (Faculty Handbook, 1.3.3)

1.3.3 Colleges and Schools

The faculties of colleges/schools, together with their Deans, determine the processes and procedures of governance they will employ, consistent with the provisions of the Faculty Handbook.

- Design and conducting evaluation of administrators (Faculty Handbook, 2.6.3)

2.6.3 Faculty Role in the Evaluation of Academic Administrators

Senior academic administrators serve at the pleasure of the President. In reviewing their performance, the President should refer, when available, to the annual faculty evaluation of administrators, conducted under the joint auspices of the Faculty Senate and the University's Office of Institutional Effectiveness and Planning.

- Discontinuation of degree programs (Faculty Handbook, 2.9.2)

2.9.2 Discontinuation of Degree Programs

The recommendation to discontinue a degree program will be based upon educational considerations as determined jointly by the faculty and the administration.

- Selection of department chair candidates (department faculty and Dean) (Faculty Handbook, 2.12.2) *Joint with Dean Approval
2.12.2 Policies on Appointment and Renewal
Department chairs are appointed by the Provost on the recommendation of the departmental faculty and the Dean in accordance with the following guidelines:
 - a. Since department chairs function in a dual administrative/faculty capacity, their selection requires substantive involvement of both the administration and the department faculty. Except under unusual circumstances, the final candidate must be acceptable to both.
 - b. Procedures for the selection of department chairs therefore foster joint faculty/administrative appraisals of candidates.

Additional College of Public Health Examples

- Governance structure of the College (Faculty Handbook, 1.3.3)
1.3.3 Colleges and Schools
As an organizational unit the college/school meets four functional criteria: (i) it has a tenured and tenure-track faculty directly and specifically appointed to it or to its academic subdivisions by the Board of Visitors; (ii) its faculty establishes degree requirements; authorizes the conferral of degrees; proposes, reviews and approves courses and programs; actively participates in decisions concerning the creation, reorganization and dissolution of units within the college/school; and plays a key role in faculty personnel actions such as appointments, promotion, and granting tenure; (iii) it has an instructional budget that includes FTE funds for the payment of its faculty's salaries as well as funds for goods and services in support of its academic programs and other activities; and (iv) its chief administrative officer is a Dean who reports directly to the Provost.

The faculties of colleges/schools, together with their Deans, determine the processes and procedures of governance they will employ, consistent with the provisions of the Faculty Handbook. All colleges/schools, and if so sub-divided, each of their academic subdivisions, must act in accordance with the best traditions of the academic profession and within the following guidelines, which prescribe that they

- a. operate in an open and democratic manner;
- b. define any extensions of voting membership and governance responsibilities for faculty who are not full-time;
- c. adopt bylaws or standing rules that are published and made available to all members and that undergo periodic review and that include procedures and define eligibility for faculty participation in the activities specified in this Handbook;
- d. meet often enough to ensure good communication and the timely conduct of business;

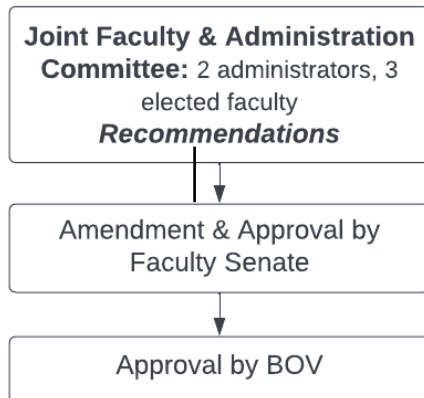
- e. hold meetings that follow an agenda distributed in advance;
- f. record the proceedings of the meetings in minutes that are distributed to and approved by the faculty.

- Design and conducting evaluation of chairs and administrators.

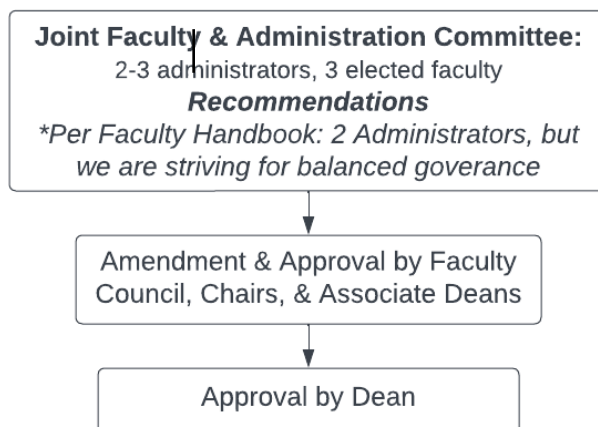
Example 1. University Process

Handbook Revision (Faculty Handbook, Preface to the Handbook)

- Any party who has participated in adoption (BOV, Faculty Senate, Central Admin) can make proposal for revisions.
- Joint committee of faculty and administration
 - 2 administrators
 - 3 faculty elected by Faculty Senate, at least one of whom is a Faculty Senator
- Then goes Faculty Senate for Approval
- Approved by BOV



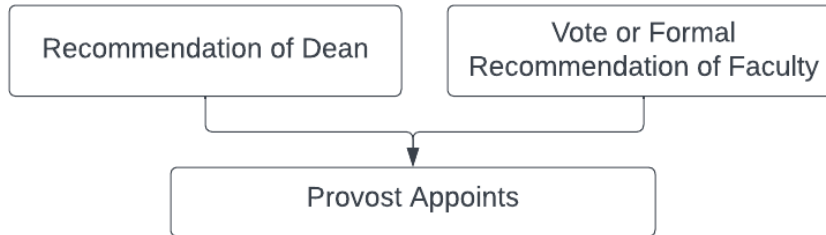
College of Public Health Model for Joint Action



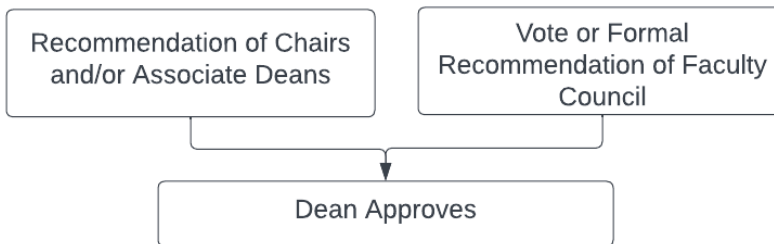
Example 2. University Process

Selection of department chair candidates (Faculty Handbook, 2.12.2) *Joint with Dean Approval

- Vote or recommendation of faculty of department
- Recommendation of dean
- Provost appoints acting interim chair.



College of Public Health Model for Joint Action



Administration Primacy (authority but with meaningful participation by faculty)

Administration Primacy is defined as primary authority being with Administration. Faculty has an opportunity to participate meaningfully. Either input is informal, or recommendation is sought by formal procedure. Consultation would indicate formal procedure.

University Handbook Examples

- Workload Policy (Faculty Handbook, 2.10.3) *Admin Primacy w/ Consultation of Faculty

2.10.3 Faculty Work Assignments

The faculty of each local academic unit prepares and maintains a plan for the equitable allocation of teaching, scholarly and service activities that will be components of the individual work assignments of its faculty. For the purposes of meeting institutional needs while ensuring fairness and equity throughout the University, the plan of each local unit is prepared in consultation with the appropriate Dean and/or the Provost.

- Unit's Budget (Chairs & Faculty) (Faculty Handbook, 2.12.1) *Admin Primacy w/ Consultation of Faculty

2.12.1 Duties and Responsibilities

The duties and responsibilities of department chairs are to:

3. Coordinate, in consultation with the unit's faculty, the unit's academic programs, and plan and administer the unit's budget.

- Appointment of Acting (Interim Chair) (Faculty Handbook, 2.12.3.1) *Joint with Provost Approval

2.12.3.1 Search Procedures

Search procedures are initiated after the incumbent chair has declined to seek reappointment, or after the Provost has notified the incumbent chair that he/she will not be reappointed, or when the position is vacant....

If the vacancy is not filled nor an offer extended by May 1st, the Provost, after consultation with the Dean and the faculty of the department, appoints an acting chair and so notifies members of the department by July 1st.

- Removal of a Unit Chair (Faculty Handbook, 2.12.4)

2.12.4 Removal

The Provost, under extraordinary circumstances, and in consultation with the Dean and the faculty, may remove a chair who is failing to perform at an acceptable level, even when the chair is covered by a multi-year contract. The Provost will give the chair at least thirty days notice.

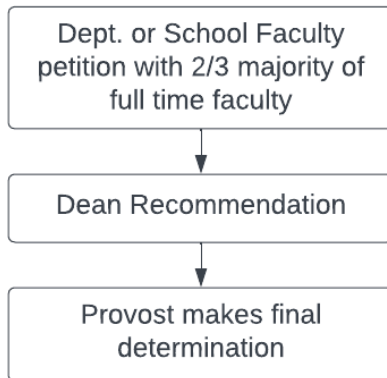
Additional College of Public Health Examples

- Course Enrollment Standards
<https://CPH.gmu.edu/office-academic-affairs>

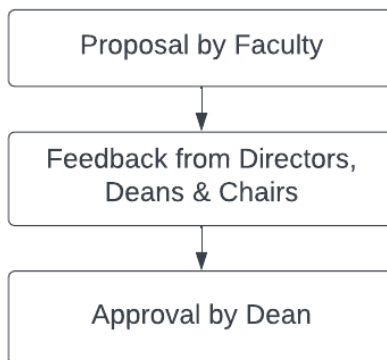
Example 1: University Process

Removal of a Unit Chair (Faculty Handbook, 2.12.4)

- Faculty petition the Dean by two-thirds of full-time instructional faculty.
- Dean makes a recommendation.
- Provost makes the final determination.

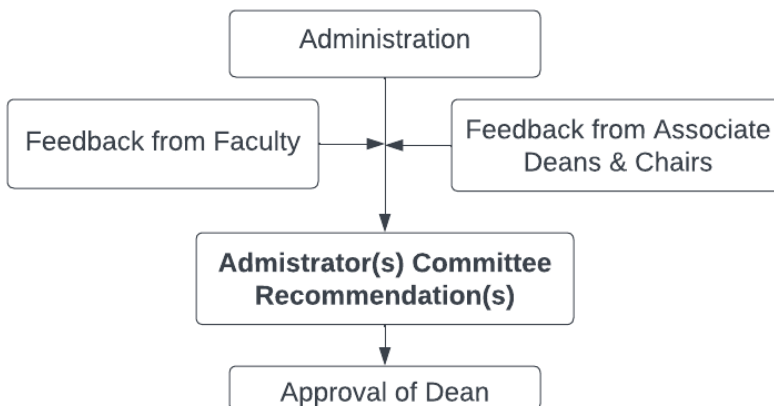


College of Public Health Model for Administrative Primacy



College of Public Health Model for Administrative Primacy Example 2

The below example is modeled off CPH Model for Faculty Primacy.



Administration Determination

Administration Determination is defined as unilateral decisions made by administration. Faculty are informed of the decision or consulted in a pro forma fashion but generally has no influence on the outcome. However, the principles of shared governance encourage that all stakeholders engage with multidirectional and reciprocal communication.

University Handbook Examples

- Faculty Salaries (Faculty Handbook, 3.1)
- Salary Increases (Faculty Handbook, 3.2)

3.1 Faculty Salaries

State colleges and universities in the Commonwealth of Virginia do not have a common salary schedule. The General Assembly determines appropriations for state colleges and universities, which includes funding for faculty salaries.

The University attempts to be as competitive as possible in its recruitment and retention of faculty. The differences that are found among disciplines and departments regarding salary ranges within a given academic rank partially reflect supply and demand in the marketplace.

3.2 Salary Increases

Subject to the availability of funding, salary increases are given annually and are based chiefly on performance. All faculty with an overall satisfactory annual evaluation (see Section 2.6.1) will receive at least a minimum salary increment. Salary increases may also reflect efforts to achieve equity. In the case that funding from the state is designated as a cost-of-living adjustment, it is the responsibility of the University to ensure such funds are disbursed accordingly.

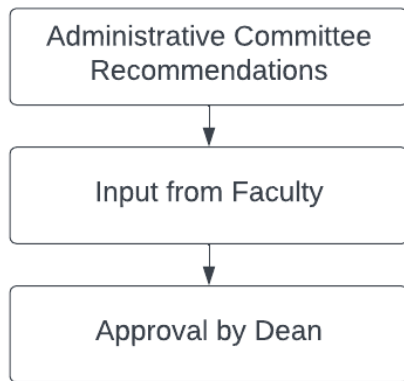
Because annual evaluations are the primary basis for determining merit-based salary increases, local unit administrators will include the faculty member's performance evaluations over multiple years in making a recommendation if salary adjustments were not made in the preceding year(s).

The salary recommendation, including a justification and the amount of the increase, will be given to the faculty member in writing at the time it is transmitted to the next level.

Faculty members who are dissatisfied with a salary increase normally seek recourse within their local academic unit. If dissatisfaction persists, grievance procedures outlined in Section 2.11.2 may be followed.

While examples of Administration Primacy exist, explicit examples and processes are not outlined in the Faculty Handbook. The below example is modeled off CPH Model for Faculty Determination.

College of Public Health Model for Administrative Determination



References

- George Mason University. (2022). *Faculty Handbook*. Retrieved Feb. 2, 2023, from <https://provost.gmu.edu/faculty/policies-and-guidelines>
- Bahls, S. S. (2014). *Shared Governance in Times of Change: A Practical Guide for Universities and Colleges*. Washington, DC: AGB Press.
- AAHE—NEA Task Force on Faculty Representation and Academic Negotiations. (1967). *Faculty participation in academic governance*. Washington, D.C.: American Association for Higher Education.
- American Association of University Professors, American Council on Education, & Association of Governing Boards of Universities and Colleges. (1966). *Statement on Government of Colleges and Universities*. AAUP. Retrieved Sept. 23, 2022, from <https://www.aaup.org/report/statement-government-colleges-and-universities>
- Association of Governing Boards of Universities and Colleges (AGB) (2017). *Shared governance: Changing with the times* [White Paper]. Retrieved March 10, 2021, from https://agb.org/sites/default/files/report_2017_shared_governance.pdf
- Dearlove, J. (2002) A Continuing Role for Academics: the Governance of UK Universities in the Post-Dearing Era. *Higher Education Quarterly*, 56 (3), pp. 257–275.
- Ehrenberg, R. G. (2002) *Tuition rising: Why College Costs So Much*. Cambridge, MA: Harvard University Press.
- Lapworth, S. (2004). Arresting decline in shared governance: Towards a flexible model for academic participation. *Higher Education Quarterly*, 58(4), 299-314.
- Olson, G. A. (2009). “Exactly What Is ‘Shared Governance’?” *Chronicle of Higher Education* (July 23). Retrieved from: <http://www.chronicle.com/article/Exactly-What-Is-Shared/47065/>
- Shattock, M. (2002) Re-Balancing Modern Concepts of University Governance. *Higher Education Quarterly*, 56 (3), pp. 235–244.
- Shattock, M. (2012) University Governance: An Issue for Our Time. *Perspectives*, 16 (2), pp. 56–61.
- Taylor, M. (2013). Shared governance in the modern university. *Higher Education Quarterly*, 67(1), 80-94.
- Tiede, H.-J. (2021). The 2021 AAUP shared governance survey: Findings on faculty roles by decision-making areas. *Academe*, 107(3), 82–96.
- Tiede, H.-J. (2021, April 21). Shared Governance: The Faculty Role [Webinar]. AAUP
- University of Louisiana Monroe (2007). Principles and Practice of Shared Governance. Retrieved

Jan. 11, 2023, from

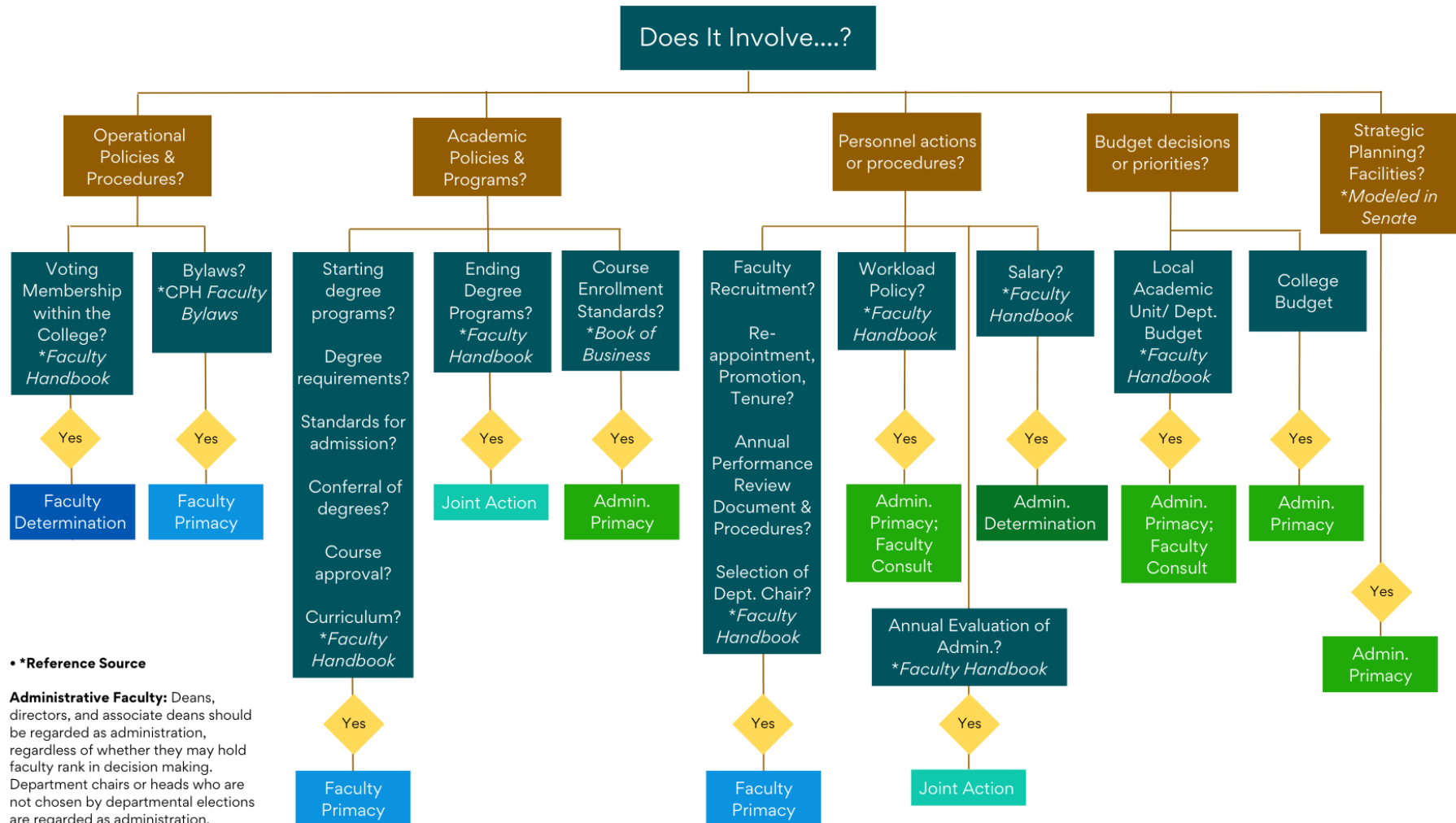
https://www.ulm.edu/sharedgovernance/documents/ulm_principles_of_shared_governance.pdf

Youngstown State University (2017). Principles and Practice of Shared Governance. Retrieved Jan. 11, 2023, from <https://ysu.edu/provost/principles-practice-shared-governance>

Appendix A: Decision Tree

CPH Shared Governance

AN ILLUSTRATION OF FACULTY & ADMINISTRATION PARTICIPATION IN SHARED GOVERNANCE



Appendix B: Reference Documents

The Faculty Senate Bylaws and Standing Rules are the operationalization of shared governance at the university level. They can act as a model for how faculty participate in shared governance and how policies, initiatives, and items get voted on, approved by faculty, and input is advanced.

Faculty Senate Bylaws

https://resources.gmu.edu/facstaff/senate/BYLAWS_MARCH_22_2023.pdf

Faculty Senate Standing Rules

https://resources.gmu.edu/facstaff/senate/STANDING_RULES_2018.pdf

Faculty Senate Charter

https://resources.gmu.edu/facstaff/senate/Faculty_Senate_Charter_May_6,%202021.pdf