Implementation Plan for SHARED GOVERNANCE

**For Faculty and the Administration
of The University of Arizona**

University of Arizona Rules of Engagement for Shared Governance

A. Process

The overarching shared governance groups are the Faculty Senate and the Strategic Planning and Budget Advisory Committee (SPBAC).

- The Faculty Senate, comprised primarily of elected representatives of the faculty, serves as a partner to the President and the Provost.
- SPBAC has the vital role of advising the administration on long-range and university-level strategic planning, budget preparation and the distribution of funds.
- The Committee of Eleven participates in shared governance through its role as an independent, elected faculty body that investigates issues and may propose solutions or deliver reports to the General Faculty, the Faculty Senate, or other faculty shared governance entities.
- Shared governance includes solicitation of input from all stakeholders on campus including faculty, staff, students, and administrators – and honoring the expertise and lived experience of all of us. This leveraging of our collective wisdom, with faculty and administration particularly committing to open channels of communication with staff and students, frequently requires ad hoc committees that represent different constituencies and focus on particular issues and timely concerns.

All shared governance matters, to include policies, academic issues, significant strategic and budgetary matters and any substantive structural challenges are at a minimum shared by the administration with faculty at Faculty Senate and SPBAC meetings and discussed there. Issues and challenges are shared at a minimum by the members of the Faculty Senate and faculty Chair of SPBAC with the administration at Senior Leadership Team and President's Cabinet meetings and discussed there. The Faculty Senate, SPBAC, and the President and Provost also interact on these matters with other individuals and organizations, including University Staff, the officers of the Associated Students of the University of Arizona, and the officers of the Graduate and Professional Student Council.

1. Budget and Strategic Planning

The Strategic Planning and Budget Advisory Committee (SPBAC), comprised of elected faculty, administrators, and individuals from other sectors of the University community as detailed in the Faculty Bylaws, shall be the university-level forum for shared governance on strategic planning and budget, including budgetary policy and strategy.

Because shared governance frames the context within which major operational decisions are made, any decisions with the potential for significant impact should always be presented to and discussed at SPBAC, whether the intent is to inform, to consult, or to partner with and share in accountability or responsibility for the outcomes. If there is uncertainty about whether a major decision (operational or otherwise) rises to this level, the President, Provost, or Chief Financial Officer should consult with the Chair of the Faculty and/or SPBAC Chair(s) before proceeding.

2. Academic and Academic Personnel Policies

Subject to the authority and responsibilities of the Arizona Board of Regents and the President, academic and curricular policies rest primarily with the faculty, as represented by the Faculty Senate or other shared governance bodies. The creation, reorganization, merger, or elimination of programs and academic units; academic personnel, research, or student affairs policy; and guidelines on faculty reviews and compensation are all within the scope of shared governance. An initial proposal to change these policies may come from any source, but the formal consideration and development of such policy changes shall always be undertaken through shared governance processes.

3. Selection and Review of Academic Administrators and Academic Vice Presidents

The faculty and administration will play a collaborative role in the recruitment, selection, and review of academic administrators. This includes heads of departments, academic unit directors, associate/vice deans, deans, vice provosts, and senior academic vice presidents. It is the responsibility of all search and review committees to ensure open faculty input, including the input of the appropriate elected faculty body (e.g., Senate or the relevant College Advisory Council – see UHAP 7.09 Resolution on College Governance, etc.)

Search and review committees **must be comprised of half or more faculty, of which at least half are recommended by their elected faculty peers**. Selection of faculty to serve on these committees shall be determined through procedures decided by the faculty of the respective unit. Elected faculty (e.g., Faculty Senators and/or College Advisory Council members) should have a direct role in this process, either serving as members of the committee, or as nominators of their colleagues to the committee (either through direct election **or** via otherwise generating a short-list to be shared to the hiring administrator).

The remaining 50% of the faculty on the committee may be appointed by the supervising administrator, as is the rest of the committee members.

Committee composition should reflect individuals from diverse backgrounds who represent the breadth of faculty within the unit (i.e., inclusive of tenure-track, career-track, and continuing status track, as well as assistant, associate, and full rank) as well as relevant disciplinary expertise.

4. **Position Searches**

The authority to hire University employees has generally been delegated by the Arizona Board of Regents to the President. Tenured and tenure-eligible faculty, continuing and continuing-eligible academic professionals, and academic administrative appointments (such as unit heads and those with dean, provost, or president in their title) will be made following open, competitive searches, preferably drawing from a national or international pool of candidates, and with selection based on merit and due consideration of diversity and inclusion. This statement is not intended to prohibit "laureate" or otherwise uniquely qualified appointments made on the basis of approved non-competitive searches. Nevertheless, regardless of whether a search is competitive, shared governance participation must be sought and considered as part of the hiring decision. While career track appointments may draw from a more limited pool of candidates, these same principles shall apply to those searches.

B. **Disagreements**

In cases of disagreement between faculty and administration, faculty handbooks and other governing documents should clearly state how disagreements are addressed and by whom.

1. When differences arise between the administration and the appropriate overarching shared governance body concerning a policy recommendation in any area covered by these guidelines, the administration and that shared governance group will work to resolve those differences so as to attain an outcome that is generally accepted. If general acceptance cannot be reached among the parties involved, and the President or designee(s) believes that every reasonable effort has been made to be responsive and reach a common position, the President or designee(s) may proceed, provided they determine that action is necessary and in the best interests of the University. In these exceptional circumstances, the President or designee(s) shall explain the position taken to the faculty through the Faculty Senate.

2. Shared governance principles do not typically extend to routine management decisions (e.g., the carrying out or implementation of established strategy or policy). However, when there is a major operational or managerial decision, shared governance input should be sought by the President, Provost, Chief Financial Officer, or other administrator well before any decisions are made. At minimum, this should occur with the Chair of the Faculty and/or SPBAC Chair(s), who will involve other shared governance leaders, as appropriate.

3. If there is a dispute over whether the adoption of a policy or its implementation has followed the terms of this Memorandum of Understanding, a consultation will take place between the administration and the appropriate shared governance bodies

subject to the terms described in B.1., and C. Shared Governance Review Committee.

4. If the President or designee(s) believes, or the law requires, that an academic, educational, or faculty personnel policy change (or other decision whose outcome directly affects the faculty) must be expedited to the point of abbreviating normal shared governance procedures, the President or designee(s) will notify the Chair of the Faculty. They will develop an expedited shared governance process to ensure the principles outlined in this Memorandum of Understanding are met to the greatest degree possible.

5. If a substantial minority (more than one third) of any shared governance body or committee disagrees with any action taken by that committee, their position should be included as part of the committee's report or recommendations.

6. With regard to personnel or other confidential matters, administrators and elected faculty leaders and representatives have the right to determine the degree to which the specifics that are discussed may be shared more broadly with constituents and agree in advance to mutually honor that confidentiality. Whenever appropriate, such as in search committees, faculty representatives must abide by confidentiality requirements.

C. Review

The Shared Governance Review Committee is responsible for:

- Continuous monitoring of the health of shared governance at the University through active engagement with all stakeholder communities.
- Creating action plans for improvement where warranted.
- Creating and administering ad hoc subcommittees on special topics as needed.
- Reporting to the administration and faculty at least once per semester.

The Shared Governance Review Committee shall report out to the Faculty Senate annually, or more frequently as requested by Faculty Senate. The report should typically include the following as it relates to shared governance: an overview of major operational domains, the outcome(s) of major decisions, areas of concern, and any priorities or areas of focus for faculty and administration to work together on for the coming year (e.g., budget allocations, compensation, recruitment, and financial aid, etc.). The committee may also make recommendations toward the more effective working of shared governance, as needed. Reports will be shared with all constituent representatives, including U Arizona Staff Council, GPSC, ASUA and the President and Provost of the University.

The Shared Governance Review Committee shall meet at least twice a semester during the academic year and on an ad hoc basis as relevant issues arise. Ad hoc meetings may be called by the Chair of the Faculty, the Vice Chair of the Faculty (who serves as Chair of the Shared

Governance Review Committee), the President, or by majority vote of the Faculty Senate. The committee's membership is detailed in the Faculty Bylaws, Article VI, Section 1.

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Robert C. Robbins   Date
President, 2017-

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Liesl Folks   Date
Provost, 2019-

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Jessica Summers   Date
Chair of the Faculty, 2018-22

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Melanie Hingle   Date
Vice Chair of the Faculty, 2020-22