**Springfield College**

**Faculty By-Laws**

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**Article I. Purpose**

The purpose of the Faculty of Springfield College is to promote, stimulate, and encourage study, research, and teaching in academic areas central to the College, guided by the mission of the institution, and to monitor and counsel the supportive and ancillary services necessary to maintain academic excellence. The Faculty accomplishes its purpose with adherence to the Charter and By-Laws of Springfield College.

The Faculty adopts as a guiding principle the Statement on Government of Colleges and Universities that was jointly formulated by the American Association of University Professors (AAUP), American Council on Education, and the Association of Governing Boards of Universities and Colleges (Appendix). The Springfield College Faculty are committed to a collaborative partnership with the Board of Trustees and the College Administration that features open communication, trust, and respect for one another when differences of opinion arise, and the utmost concern for students.

The Springfield College Faculty Senate, hereinafter referred to as the Senate, conducts the business of the Faculty in monthly meetings held during the Fall and Spring semester and at other times as may be deemed appropriate or necessary. In order to conduct its business, a quorum of at least 50% of the total voting membership of the Senate shall be present at meetings. Senate meetings are open to all members of the college community unless the Senate votes to enter into an executive session which is attended by Senators only. The Senate is not constituted for the mere purpose of carrying out directives of the Provost/VPAA but it shall report to the Provost/VPAA for administrative purposes.

The Senate and its committees shall:

1. Seek to safeguard faculty governance as defined by the AAUP *Statement on Government of Colleges and Universities* ensuring that faculty have primary responsibility for curriculum, subject matter and methods of instruction, research, faculty status (appointments, reappointments, promotions, tenure) and those aspects of student life which relate to the educational process.
2. Seek to safeguard academic freedom as defined by the AAUP *Statement of Principles on Academic Freedom and Tenure* throughout the College.
3. Seek to promote collaboration, collegiality, and cooperation among members of the College Faculty.
4. As the faculty agent of shared governance, represent the College faculty and make recommendations for the faculty on all College policies concerning faculty responsibilities, as described in the AAUP statement on faculty responsibilities, the Springfield College Faculty Personnel Policy, the Faculty by-laws, the Faculty Handbook and any other areas agreed upon by the College President, Senate President and the Senate’s Executive Committee.
5. Advise, recommend, and advocate for the faculty perspective to administrators, trustees, staff, and students and those outside of the College.
6. Facilitate faculty communication among and between departments and schools and hold all-College faculty meetings at least twice in each academic year.
7. Allow any faculty member or member of the College’s administration to propose issues for consideration by the Senate.
8. Recommend to the Board of Trustees through the President, and the Provost/VPAA all degrees granted by the College.
9. Conduct and disseminate an annual evaluation of the Senate; review the need, function, operations, and organization of the Faculty Bylaws, the Senate and its committees at least every three years.
10. Disseminate an end-of-the-academic year Senate report to the faculty.

**Article II. Membership.**

**Section 1.** Faculty who meet all of the following criteria are eligible for election to be a voting member of the Faculty Senate.

1. Are employed full-time as a Faculty member at Springfield College.
2. Hold academic rank of instructor, assistant professor, associate professor, or professor.
3. Do not serve in the capacity of College President, Vice President, Dean, Assistant or Associate Dean, or individuals regardless of faculty status who are direct reports to the Provost/VPAA.
4. Have terms of employment defined by the Faculty Personnel Policy.

**Section 2.** The Senate shall consist of members of the faculty as follows:

One Senator from each Academic Department. Departments are entitled to additional Senators based on the number of full-time faculty in the department; one additional Senator for departments with 15 to 24 faculty members, or two additional Senators for departments with 25 or more faculty members.

Senators will be elected to a two-year term. No Senator can be elected to a third consecutive term.

The number of Senators per department shall be established on February 1 each year based upon department size as of that date. Subsequent changes in the size of departments and/or the creation or dissolution of departments shall be handled as follows in the event there are changes during the course of an academic year:

* In the event a department’s size (number of full-time faculty) *increases* by 25% and such change would result in the creation of a Senate position, the Faculty Senate Executive Committee shall have the ability, in its discretion, to request the impacted department to elect another Senator for the remaining portion of the academic year.
* In the event a department’s size (number of full-time faculty) *decreases* by 25% and such change would result in the elimination of a Senate position, no change in representation shall occur for the remaining portion of the academic year.
* In the event a department is established during an academic year, the Faculty Senate Executive Committee shall arrange for the newly created department to elect Senator(s) for the remaining portion of the academic year.
* In the event a department is eliminated during an academic year, the Senators from the impacted department will be able to complete service for the remaining portion of the then occurring academic year.

**Article III. Officers**

The officers of the Senate shall be a Senate President, a Vice President and a Secretary.

**Section 1:** The **Faculty Senate President** shall be the faculty’s spokesperson. The Faculty Senate President shall be elected for a two-year term by the faculty. The Faculty Senate President shall be the presiding officer of the Senate and will attend meetings of the Board of Trustees as the official representative of the faculty with the Trustee representatives of the Senate. The Trustee representatives of the Senate shall include: the Chairs of the Standing Committees. In the event that a chair of a Senate standing committee cannot attend the Trustee meetings, the Senate President will delegate said responsibility to another Senator. The Senate President will also refer items to committees for consideration, and perform other duties appropriate to the office. The Senate President shall be the faculty spokesperson when the Faculty Executive Committee meets with the College President and the President’s staff and shall chair these joint meetings. Only the President and Vice-President of the Senate can call emergency Faculty Senate and/or Faculty meetings.

**Section 2:** The **Faculty Senate Vice-President** shall in the absence of the Faculty Senate President preside over all Senate functions, as well as perform other duties appropriate to the office. The Vice-President will serve as moderator for all-College faculty meetings. The Faculty Senate Vice-President shall be elected for a two-year term by the faculty.

**Section 3:** The **Faculty Senate Secretary** shall act as parliamentarian and keep the official minutes of all Senate and faculty meetings and shall furnish copies of the minutes to all Senators before the next meeting. The Secretary shall maintain the official faculty membership roster, including committee assignments, keep Senate attendance records and establish the presence of a quorum at Senate meetings. The Secretary will also be responsible for posting approved minutes on the Senate web pages the day following Senate approval. The Faculty Senate Secretary will be elected from among the Senators at the organizational meeting of the incoming Faculty Senate (generally late April or early May).

**Section 4:** The **Faculty Senate Executive Committee** will consist of the Senate President, Vice President, the chairs of the Senate standing committees, and the Senate Secretary.

**Section 5:** The **Past-President** and **Past-Vice-President** shall serve on the Senate Executive Committee in an ex officio, non-voting advisory capacity during the summer months and the fall semester following the expiration of their terms as President and Vice President. In addition, these two individuals shall be entitled to attend Senate meetings and join in discussion or debate during the aforementioned period but shall not vote.

**Article IV. Elections.**

**Section 1:**

The election process will be completed according to the timeline listed below:

The Senate Secretary and one Senator appointed by the Senate President will distribute and count all ballots and be responsible for all aspects of the ballot process for all voting matters on elections for Senate President, Vice-President, Faculty Grievance Committee and School-based Committees. Elections for Senate President, Vice-President, Faculty Grievance Committee and School-based Committees will be conducted annually in March and completed on or before March 31.

Departments will elect their Senate representation in department run elections. The required Senators are elected by the faculty of each Academic Department on or before March 15 of each year and reported to the Senate Secretary by the Department’s Chairperson.

A simple majority vote determines the winners for all elections. **Elected Senators’ terms begin annually on July 1; in a year in which the President and Vice President of the Senate are elected their terms begin on July 1 of that year.** The outgoing and incoming Senate will have an organizational meeting (generally late April or early May) to assist in transitioning the business of the Senate. During that meeting, the incoming Senate shall elect a Senate Secretary and a chair for each Senate committee for the upcoming year.

1. Terms of office for Senators are two (2) years unless sooner terminated by ineligibility, recall, or resignation. No Senator can be elected to a third consecutive term. The Senate President and Vice President shall serve concurrent terms. 50% of the members of the Senate will end their terms one year and 50% will end their term the following year.
2. Election of the Senate is distributed in the following manner:

The Senate President (1)

2-year concurrent term with VP

The Senate Vice-President (1)

2-year concurrent term with Senate President

Nominations for President and Vice President will be accepted in team format that models the election process for the President and Vice-President of the USA. It is critical that the two individuals in these pivotal positions work well together. For that reason, President and Vice President Elect will run on the same ticket together for concurrent terms. Potential candidates will be required to identify their anticipated approach and agenda prior to the election in a written statement disseminated to all faculty by the Senate.

1. The Senate President and Vice President may be recalled by a vote of a majority of the entire college-wide full-time faculty and a Department Senator representative may be recalled by a majority of the full-time faculty from the representative’s department.

A written request for recall must be directed to the Vice-President of the Senate. In the event that the recall is for the President or Vice-President the recall should be directed to the Senate Secretary.

1. Vacancies are filled by department vote for Senators. **The person who fills a vacancy shall serve the remainder of the term** and shall be eligible for election to a successive regular term providing that person’s continuous service on the Senate shall not exceed four years.
2. In the event that the Senate President resigns, the Vice President will fill the position. The new Senate President (previous Vice President) will select a Vice President from the existing Senators. The vacancy established by a Senator moving to the Vice President position would be filled for the remainder of the term by vote of the department losing representation. All terms will conclude according to the initial election result timelines prior to the resignation. In the event that the Vice-President resigns, the Senate President will appoint an exiting Senator to replace that person for the remainder of the original Vice-President’s term. The vacancy created by the newly appointed Vice-President will be filled in the same manner as noted for President. This procedure will insure internal consistency as important matters are being discussed.
3. For good and sufficient reason as determined by the Executive Committee, a Senator may be removed from Senate membership. For example, the seat may be declared vacant for excessive unexcused absences.
4. A Senator on leave of absence for not more than one academic semester need not resign, but will be temporarily replaced by the department to which that Senator is appointed. If the Senator will be absent longer than one academic semester, they will be replaced and will not be entitled to the seat upon returning.

**Section 2:**

Elections for members of School-based Faculty Development and Status Committee and the Faculty Grievance Committee shall occur annually. Members of the School-Based Faculty Development and Status Committee will be elected to their positions by the faculty in those schools. The Vice-President of the Senate will be responsible for providing the infrastructure for conducting these elections. The Senate Secretary and one Senator appointed by the Senate President will be responsible for distribution and collection of the ballot as well as the tabulation of results.

1. No department shall have more than one member on the School-based Faculty Development and Status committee at one time. The proceeding clause can be modified only under the circumstances that the composition of a school includes one department.
2. Members of the committee will elect chairs on an annual basis when the committee is first convened by the Vice President of the Faculty Senate in September.
3. The terms of the individuals will be two years and no committee member can be elected to a third consecutive term.
4. No faculty member may serve on the School-based Faculty Development and Status Committee at the time of submitting an application that will be reviewed by this committee.

A member of the School-based Faculty Development and Status Committee will be considered to have a conflict of interest when the faculty member or a member of the faculty member’s family, including spouses, parents, siblings, children, and any other relative if said relative resides in the same household is submitting material for consideration for tenure, long-term appointment, and/or promotion.

To avoid conflict of interest situations, the faculty member must resign from the School-based Faculty Development and Status Committee prior to application or delay the submission of application until after their term of service is complete.

1. Replacement of School-based Committee members shall follow the same procedures as the replacement of senators.

**Article V. Senate Standing Committees**

**Section 1:**

The standing committees, which are described below, are made up of members of the Senate. The standing committees shall convene on a monthly basis during the Fall and Spring semesters and at other times as may be deemed appropriate or necessary. The Faculty Senate shall have four (4) standing committees whose charge, membership and functions are described in Article V Section 2. The four (4) standing committees include:

Undergraduate Academic Affairs Committee (UAAC)

Chair (Representative to Trustees Academic Affairs and Student Affairs) and at least 4 additional Senators

Non-voting ex-officio members: Deans, Provost/VPAA (or designee), Associate VP for academic affairs, College Registrar, Director of Academic Advising, Vice President of Student Affairs, Dean of Students, Chief Technology Officer

Graduate Academic Affairs Committee (GAAC)

Chair (Representative to Trustees Academic Affairs and Student Affairs) and at least 4 additional Senators

Non-voting ex-officio members: Deans, Provost/VPAA (or designee), Associate VP for graduate education, College Registrar, Director of Academic Advising, Vice President of Student Affairs, Dean of Students, Chief Technology Officer

General Education/Core Curriculum Committee (GE/CCC)

Chair (Representative to Trustees Academic Affairs) and at least 4 additional Senators

Non-voting ex-officio members: Deans, Provost/VPAA (or designee), College Registrar, Director of Academic Advising

Faculty Development and Personnel Committee (FDPC)

Chair (Representative to Trustees’ Committee on Institutional Advancement) and at least 4 additional Senators.

Non-voting ex-officio members: Provost/VPAA, CETLS Director

Apart from its Standing Committees, the Faculty Senate may establish, by vote, ad hoc committees as it deems appropriate to the discharge of its responsibilities. Each established ad hoc committee shall have a written statement of purpose, scope, composition of membership, rules of procedure, and established time frame for conducting its business.

Faculty who are not Senators and third-parties may serve on an ad hoc committee, but the majority of members and the chair, who shall be appointed by the Faculty Senate, shall be Senators.

**Section 2**

The Undergraduate Academic Affairs Committee (UAAC)

1. Reviews and takes action on all proposals that relate to undergraduate academic programs, including but not limited to changes in majors and minors, new course proposals, and course revisions, proposals for new online programs, proposals to add or delete any program or department with undergraduate studies, etc. The process would include: a department recommends action to their respective school dean; the dean forwards a recommendation to the UAAC, which in turn deliberates and forwards its determination of action to the Provost/VPAA.
2. Formulates, reviews, and recommends academic policies, procedures, and regulations that governs academic issues for undergraduate students that include but are not limited to admissions standards (admission, transfer, and retention), grading system, graduation requirements, degrees/certificates offered, academic advising, academic supports, and academic honors.
3. Advises and works collaboratively with the Vice President for Student Affairs and Dean of Students, the Chief Technology Officer, and other appropriate administrators in addressing issues and concerns related to undergraduate student affairs and educational technology.
4. Advises and works collaboratively with department and program curriculum committees.

The Graduate Academic Affairs Committee (GAAC)

1. Reviews and takes action on all proposals that relate to graduate academic programs, including but not limited to changes in program curricula, new course proposals, and course revisions, proposals for new online programs, proposals to add or delete any program or department with graduate studies, etc. The process would include: a department recommends action to their respective school dean; the dean forwards a recommendation to the GAAC which in turn deliberates and forwards its determination of action to the Provost/VPAA.
2. Formulates, reviews, and recommends academic policies, procedures, and regulations that governs academic issues for graduate students that include but are not limited to admissions standards (admission, transfer, and retention), grading system, graduation requirements, degrees/certificates offered, academic advising, academic supports, and academic honors.
3. Advises and works collaboratively with the Vice President for Student Affairs and Dean of Students, the Chief Technology Officer, and other appropriate administrators in addressing issues and concerns related to graduate student affairs and educational technology.
4. Advises and works collaboratively with department and program curriculum committees.

General Education/Core Curriculum Committee (GE/CCC)

1. Reviews and takes action on all proposals that relate to the general education/core curriculum including new course proposals, and course revisions.
2. Makes recommendations on general education/core curriculum structure and policy.
3. Conducts assessments of the outcomes of the general education/core curriculum program.
4. Validates and revalidates general education courses for inclusion in the core curriculum.
5. The GE/CCC has three sub-committees: Committee on the Advancement of Service Learning (CASL), Writing Across the Curriculum (WAC), and Social Justice Committee. The GE/CCC is responsible for appointing volunteer faculty to these sub-committees. These committees are utilized to provide the CCC with the input from faculty with expertise in these areas as they review proposals for courses classified in the areas representative of these committees.

Faculty Development and Personnel Committee (FDPC)

1. Develops and recommends policies to the Senate including but not limited to: Faculty Personnel Policy, Faculty Handbook, benefits and human resources.
2. Represents the faculty in compensation and related discussions.
3. Develops standards and recommends to the Senate any additions or changes to the policy and procedures relating to sabbatical leave.
4. Reviews sabbatical applications and forwards to the Provost/VPAA’s office.
5. Reviews and recommends Faculty Emeritus nominations.
6. Makes recommendations for the distribution of Faculty Development Funds.
7. Proposes the Spring Faculty Institute topic to the Faculty Senate and plans the Institute.

**Article VI. School-based Committee Structure and Function**

Each school will elect a School-based Faculty Development and Status Committee. Terms of office for school-based committees follow the model of the Senate two-year terms with no more than two consecutive terms of service; 50% of the members of the committee will end their terms one year and 50% will end their term the following year.

1. School Faculty Development and Status Committee:

The School Faculty Development and Status Committee will be comprised of no more than four (4) faculty elected from their school. The school committees will be convened by the Vice President of the Faculty Senate. Each year, each school committee shall elect one of its members as the committee chair and report to the President and Vice President of the Faculty Senate the name of the committee chair.

The school committees will recommend action on tenure, long-term appointment, and promotion. A faculty member eligible for tenure, long-term appointment, or promotion would submit their materials to the school-based committee, to the School Dean, to the Provost/VPAA, who in turn will forward recommendations to the President and Trustees for action on these matters only in accordance with the guidelines and parameters described in the Faculty Personnel Policy.

While it is not the intent of the faculty to limit freedom of the individuals as they volunteer for specific tasks, the membership on the School Faculty Development and Status Committee should be representative of all ranks and both tenure-track and program track faculty with no more than one untenured faculty member who has completed the third year review. Rank is defined at the time of the election and will represent that rank for the entire duration of the term. Committee members who are department chairs shall abstain from voting on Committee decisions to recommend or not recommend members of their own departments for tenure, long term appointment, and promotion.

No faculty member may serve on the School-based Faculty Development and Status Committee at the time of submitting an application for tenure or promotion that will be reviewed by this committee. To avoid conflict of interest situations, the faculty member must resign from the School-based Faculty Development and Status prior to the year of application or delay the submission of the application until after a term of service is complete. An untenured faculty member being reviewed for mid-tenure by the committee will remove themselves from discussion and voting on mid-tenure review candidates.

**Article VII. Faculty Grievance Committee**

A Faculty Grievance Committee shall be established as follows:

1. Purpose: The purpose of the Faculty Grievance Committee shall be to hear and act upon grievances in accordance with Article 13 of the Faculty Personnel Policy.
2. Composition: The Faculty Grievance Committee shall be comprised of: i) the Faculty Senate Vice-President, ex officio; and, ii) one representative elected from each of the College’s schools (“School Representatives”). The School Representatives shall be full-time faculty members, and shall all be elected for two year terms every other year at the time of the Faculty Senate elections. The Faculty Grievance Committee School Representatives shall not be considered Senators (and shall not participate in Faculty Senate business) but a full-time faculty member may serve in both the capacity as a Senator and member of the Faculty Grievance Committee if they are so elected to both positions. In addition, each School shall elect one alternate Faculty Grievance Committee School Representative to serve in the event the School’s primary member is unable to serve or hear a particular grievance. No Faculty Grievance Committee School Representative may be elected to a third consecutive term.
3. Faculty Grievance Committee Chair: The Faculty Senate Vice-President shall serve as the Committee chair and act as a liaison between the Faculty Grievance Committee and the Faculty Senate. The Faculty Senate Vice-President may only vote on matters in the event of a tie vote among the other members of the committee.

**Article VIII. Senate Accountability.**

**Section 1: The Senate shall keep the faculty and administrative staff informed** of its recommendations and actions through its system of regular monthly meetings, its published agenda, minutes, motions, periodic memos by e-mail, postings to the Faculty Senate web site, and the President’s annual report to the Trustees.

**Article IX. Amendments.**

**Section 1: These bylaws** may not be altered, amended or rescinded except in accordance with this Article. In the event that any provision of these bylaws comes into conflict with newly enacted federal or state laws, such provision is superseded by those laws.

A. Proposing Amendments. Amendments to the bylaws may be proposed by fifteen or more full-time faculty or by a majority vote of the Faculty Senate. All such proposals shall be submitted to the Senate for review via the Senate President. Only the Senate may order a referendum on a proposed amendment.

B. Adopting Amendments. Except as noted below in Subsection C, a proposed amendment must be approved by a majority vote of the Faculty voting in referendum in accordance with the Faculty By-Laws for the express purpose of considering and voting on the proposed amendment. A simple majority vote of those faculty voting in the referendum will decide the outcome. All Faculty Members shall receive a copy of the proposed amendment seven (7) days in advance of the vote in accordance with the Faculty By-Laws. A proposed amendment that has been approved for recommendation by the Faculty must then be transmitted to the President of the College by the Senate through the Provost/VPAA. If the proposed amendment is adopted by the Board or delegated to the President for final decision, the Senate’s FDPC shall ensure that copies of the new policy are provided to the Faculty and the appropriate documents amended.

C. Administrative Amendments. Proposed administrative amendments (amendments that are purely clerical in nature and have no substantive impact - e.g. a change in title of a position or a date) require only the vote of the Faculty Senate before transmission to the President of the College by the Senate through the Provost/VPAA for formal approval as outlined above.

**Article X. Parliamentary Authority.**

**Section 1: The parliamentary authority** for the Faculty Senate of Springfield College shall be the latest edition of **Roberts Rules of Order.**

**APPENDIX**

**Statement on Government of Colleges and Universities**

American Association of University Professors

*The statement which follows is directed to governing board members, administrators, faculty members, students, and other persons in the belief that the colleges and universities of the United States have reached a stage calling for appropriately shared responsibility and cooperative action among the components of the academic institution. The statement is intended to foster constructive joint thought and action, both within the institutional structure and in protection of its integrity against improper intrusions.*

*It is not intended that the statement serve as a blueprint for governance on a specific campus or as a manual for the regulation of controversy among the components of an academic institution, although it is to be hoped that the principles asserted will lead to the correction of existing weaknesses and assist in the establishment of sound structures and procedures. The statement does not attempt to cover relations with those outside agencies which increasingly are controlling the resources and influencing the patterns of education in our institutions of higher learning: for example, the United States government, state legislatures, state commissions, interstate associations or compacts, and other interinstitutional arrangements. However, it is hoped that he statement will be helpful to these agencies in their consideration of educational matters.*

*Students are referred to in this statement as an institutional component coordinate in importance with trustees, administrators, and faculty. There is, however, no main section on students. The omission has two causes: (1) the changes now occurring in the status of American students have plainly outdistanced the analysis by the educational community, and an attempt to define the situation without thorough study might prove unfair to student interests, and (2) students do not in fact at present have a significant voice in the government of colleges and universities; it would be unseemly to obscure, by superficial equality of length of statement, what may be a serious lag entitled to separate and full confrontation.*

*The concern for student status felt by the organizations issuing this statement is embodied in a note, "On Student Status," intended to stimulate the educational community to turn its attention to an important need.*

*This statement was jointly formulated by the American Association of University Professors, the American Council on Education (ACE), and the Association of Governing Boards of Universities and Colleges (AGB). In October 1966, the board of directors of the ACE took action by which its council "recognizes the statement as a significant step forward in the clarification of the respective roles of governing boards, faculties, and administrations," and "commends it to the institutions which are members of the Council." The Council of the AAUP adopted the statement in October 1966, and the Fifty-third Annual Meeting endorsed it in April 1967. In November 1966, the executive committee of the AGB took action by which that organization also "recognizes the statement as a significant step forward in the clarification of the respective roles of governing boards, faculties, and administrations," and "commends it to the governing boards which are members of the Association." (In April 1990, the Council of the AAUP adopted several changes in language in order to remove gender-specific references from the original text.)*

**I. INTRODUCTION**

This statement is a call to mutual understanding regarding the government of colleges and universities. Understanding, based on community of interest and producing joint effort, is essential for at least three reasons. First, the academic institution, public or private, often has become less autonomous; buildings, research, and student tuition are supported by funds over which the college or university exercises a diminishing control. Legislative and executive governmental authorities, at all levels, play a part in the making of important decisions in academic policy. If these voices and forces are to be successfully heard and integrated, the academic institution must be in a position to meet them with its own generally unified view. Second, regard for the welfare of the institution remains important despite the mobility and interchange of scholars. Third, a college or university in which all the components are aware of their interdependence, of the usefulness of communication among themselves, and of the force of joint action will enjoy increased capacity to solve educational problems.

**II. THE ACADEMIC INSTITUTION: JOINT EFFORT**

**A. Preliminary Considerations**

The variety and complexity of the tasks performed by institutions of higher education produce an inescapable interdependence among governing board, administration, faculty, students, and others. The relationship calls for adequate communication among these components, and full opportunity for appropriate joint planning and effort.

Joint effort in an academic institution will take a variety of forms appropriate to the kinds of situations encountered. In some instances, an initial exploration or recommendation will be made by the president with consideration by the faculty at a later stage; in other instances, a first and essentially definitive recommendation will be made by the faculty, subject to the endorsement of the president and the governing board. In still others, a substantive contribution can be made when student leaders are responsibly involved in the process. Although the variety of such approaches may be wide, at least two general conclusions regarding joint effort seem clearly warranted: (1) important areas of action involve at one time or another the initiating capacity and decision-making participation of all the institutional components, and (2) differences in the weight of each voice, from one point to the next, should be determined by reference to the responsibility of each component for the particular matter at hand, as developed hereinafter.

**B. Determination of General Educational Policy**

The general educational policy, i.e., the objectives of an institution and the nature, range, and pace of its efforts, is shaped by the institutional charter or by law, by tradition and historical development, by the present needs of the community of the institution, and by the professional aspirations and standards of those directly involved in its work. Every board will wish to go beyond its formal trustee obligation to conserve the accomplishment of the past and to engage seriously with the future; every faculty will seek to conduct an operation worthy of scholarly standards of learning; every administrative officer will strive to meet his or her charge and to attain the goals of the institution. The interests of all are coordinate and related, and unilateral effort can lead to confusion or conflict. Essential to a solution is a reasonably explicit statement on general educational policy. Operating responsibility and authority, and procedures for continuing review, should be clearly defined in official regulations.

When an educational goal has been established, it becomes the responsibility primarily of the faculty to determine the appropriate curriculum and procedures of student instruction.

Special considerations may require particular accommodations: (1) a publicly supported institution may be regulated by statutory provisions, and (2) a church-controlled institution may be limited by its charter or bylaws. When such external requirements influence course content and the manner of instruction or research, they impair the educational effectiveness of the institution.

Such matters as major changes in the size or composition of the student body and the relative emphasis to be given to the various elements of the educational and research program should involve participation of governing board, administration, and faculty prior to final decision.

**C. Internal Operations of the Institution**  
The framing and execution of long-range plans, one of the most important aspects of institutional responsibility, should be a central and continuing concern in the academic community.

Effective planning demands that the broadest possible exchange of information and opinion should be the rule for communication among the components of a college or university. The channels of communication should be established and maintained by joint endeavor. Distinction should be observed between the institutional system of communication and the system of responsibility for the making of decisions.

A second area calling for joint effort in internal operation is that of decisions regarding existing or prospective physical resources. The board, president, and faculty should all seek agreement on basic decisions regarding buildings and other facilities to be used in the educational work of the institution.

A third area is budgeting. The allocation of resources among competing demands is central in the formal responsibility of the governing board, in the administrative authority of the president, and in the educational function of the faculty. Each component should therefore have a voice in the determination of short- and long-range priorities, and each should receive appropriate analyses of past budgetary experience, reports on current budgets and expenditures, and short- and long-range budgetary projections. The function of each component in budgetary matters should be understood by all; the allocation of authority will determine the flow of information and the scope of participation in decisions.

Joint effort of a most critical kind must be taken when an institution chooses a new president. The selection of a chief administrative officer should follow upon a cooperative search by the governing board and the faculty, taking into consideration the opinions of others who are appropriately interested. The president should be equally qualified to serve both as the executive officer of the governing board and as the chief academic officer of the institution and the faculty. The president’s dual role requires an ability to interpret to board and faculty the educational views and concepts of institutional government of the other. The president should have the confidence of the board and the faculty.

The selection of academic deans and other chief academic officers should be the responsibility of the president with the advice of, and in consultation with, the appropriate faculty.

Determinations of faculty status, normally based on the recommendations of the faculty groups involved, are discussed in Part V of this statement; but it should here be noted that the building of a strong faculty requires careful joint effort in such actions as staff selection and promotion and the granting of tenure. Joint action should also govern dismissals; the applicable principles and procedures in these matters are well established.1

**D. External Relations of the Institution**

Anyone—a member of the governing board, the president or other member of the administration, a member of the faculty, or a member of the student body or the alumni—affects the institution when speaking of it in public. An individual who speaks unofficially should so indicate. An individual who speaks officially for the institution, the board, the administration, the faculty, or the student body should be guided by established policy.

It should be noted that only the board speaks legally for the whole institution, although it may delegate responsibility to an agent.

The right of a board member, an administrative officer, a faculty member, or a student to speak on general educational questions or about the administration and operations of the individual’s own institution is a part of that person’s right as a citizen and should not be abridged by the institution.2 There exist, of course, legal bounds relating to defamation of character, and there are questions of propriety.

**III. THE ACADEMIC INSTITUTION: THE GOVERNING BOARD**

The governing board has a special obligation to ensure that the history of the college or university shall serve as a prelude and inspiration to the future. The board helps relate the institution to its chief community: for example, the community college to serve the educational needs of a defined population area or group, the church-controlled college to be cognizant of the announced position of its denomination, and the comprehensive university to discharge the many duties and to accept the appropriate new challenges which are its concern at the several levels of higher education.

The governing board of an institution of higher education in the United States operates, with few exceptions, as the final institutional authority. Private institutions are established by charters; public institutions are established by constitutional or statutory provisions. In private institutions the board is frequently self-perpetuating; in public colleges and universities the present membership of a board may be asked to suggest candidates for appointment. As a whole and individually, when the governing board confronts the problem of succession, serious attention should be given to obtaining properly qualified persons. Where public law calls for election of governing board members, means should be found to ensure the nomination of fully suited persons, and the electorate should be informed of the relevant criteria for board membership.

Since the membership of the board may embrace both individual and collective competence of recognized weight, its advice or help may be sought through established channels by other components of the academic community. The governing board of an institution of higher education, while maintaining a general overview, entrusts the conduct of administration to the administrative officers—the president and the deans—and the conduct of teaching and research to the faculty. The board should undertake appropriate self-limitation.

One of the governing board’s important tasks is to ensure the publication of codified statements that define the overall policies and procedures of the institution under its jurisdiction.

The board plays a central role in relating the likely needs of the future to predictable resources; it has the responsibility for husbanding the endowment; it is responsible for obtaining needed capital and operating funds; and in the broadest sense of the term it should pay attention to personnel policy. In order to fulfill these duties, the board should be aided by, and may insist upon, the development of long-range planning by the administration and faculty. When ignorance or ill will threatens the institution or any part of it, the governing board must be available for support. In grave crises it will be expected to serve as a champion. Although the action to be taken by it will usually be on behalf of the president, the faculty, or the student body, the board should make clear that the protection it offers to an individual or a group is, in fact, a fundamental defense of the vested interests of society in the educationalinstitution.3

**IV. THE ACADEMIC INSTITUTION: THE PRESIDENT**

The president, as the chief executive officer of an institution of higher education, is measured largely by his or her capacity for institutional leadership. The president shares responsibility for the definition and attainment of goals, for administrative action, and for operating the communications system, which links the components of the academic community. The president represents the institution to its many publics. The president’s leadership role is supported by delegated authority from the board and faculty.

As the chief planning officer of an institution, the president has a special obligation to innovate and initiate. The degree to which a president can envision new horizons for the institution, and can persuade others to see them and to work toward them, will often constitute the chief measure of the president’s administration.

The president must at times, with or without support, infuse new life into a department; relatedly, the president may at times be required, working within the concept of tenure, to solve problems of obsolescence. The president will necessarily utilize the judgments of the faculty but may also, in the interest of academic standards, seek outside evaluations by scholars of acknowledged competence.

It is the duty of the president to see to it that the standards and procedures in operational use within the college or university conform to the policy established by the governing board and to the standards of sound academic practice. It is also incumbent on the president to ensure that faculty views, including dissenting views, are presented to the board in those areas and on those issues where responsibilities are shared. Similarly, the faculty should be informed of the views of the board and the administration on like issues.

The president is largely responsible for the maintenance of existing institutional resources and the creation of new resources; has ultimate managerial responsibility for a large area of nonacademic activities; is responsible for public understanding; and by the nature of the office is the chief person who speaks for the institution. In these and other areas the president’s work is to plan, to organize, to direct, and to represent. The presidential function should receive the general support of board and faculty.

**V. THE ACADEMIC INSTITUTION: THE FACULTY**

The faculty has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life, which relate to the educational process. On these matters the power of review or final decision lodged in the governing board or delegated by it to the president should be exercised adversely only in exceptional circumstances, and for reasons communicated to the faculty. It is desirable that the faculty should, following such communication, have opportunity for further consideration and further transmittal of its views to the president or board. Budgets, personnel limitations, the time element, and the policies of other groups, bodies, and agencies having jurisdiction over the institution may set limits to realization of faculty advice.

The faculty sets the requirements for the degrees offered in course, determines when the requirements have been met, and authorizes the president and board to grant the degrees thus achieved.

Faculty status and related matters are primarily a faculty responsibility; this area includes appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal. The primary responsibility of the faculty for such matters is based upon the fact that its judgment is central to general educational policy. Furthermore, scholars in a particular field or activity have the chief competence for judging the work of their colleagues; in such competence it is implicit that responsibility exists for both adverse and favorable judgments. Likewise, there is the more general competence of experienced faculty personnel committees having a broader charge. Determinations in these matters should first be by faculty action through established procedures, reviewed by the chief academic officers with the concurrence of the board. The governing board and president should, on questions of faculty status, as in other matters where the faculty has primary responsibility, concur with the faculty judgment except in rare instances and for compelling reasons, which should be stated in detail.

The faculty should actively participate in the determination of policies and procedures governing salary increases.

The chair or head of a department, who serves as the chief representative of the department within an institution, should be selected either by departmental election or by appointment following consultation with members of the department and of related departments; appointments should normally be in conformity with department members’ judgment. The chair or department head should not have tenure in office; tenure as a faculty member is a matter of separate right. The chair or head should serve for a stated term but without prejudice to reelection or to reappointment by procedures, which involve appropriate faculty consultation. Board, administration, and faculty should all bear in mind that the department chair or head has a special obligation to build a department strong in scholarship and teaching capacity.

Agencies for faculty participation in the government of the college or university should be established at each level where faculty responsibility is present. An agency should exist for the presentation of the views of the whole faculty. The structure and procedures for faculty participation should be designed, approved, and established by joint action of the components of the institution. Faculty representatives should be selected by the faculty according to procedures determined by the faculty. The agencies may consist of meetings of all faculty members of a department, school, college, division, or university system, or may take the form of faculty-elected executive committees in departments and schools and a faculty-elected senate or council for larger divisions or the institution as a whole.

The means of communication among the faculty, administration, and governing board now in use include: (1) circulation of memoranda and reports by board committees, the administration, and faculty committees, (2) joint ad hoc committees, (3) standing liaison committees, (4) membership of faculty members on administrative bodies, and (5) membership of faculty members on governing boards. Whatever the channels of communication, they should be clearly understood and observed.

**ON STUDENT STATUS**

When students in American colleges and universities desire to participate responsibly in the government of the institution they attend, their wish should be recognized as a claim to opportunity both for educational experience and for involvement in the affairs of their college or university. Ways should be found to permit significant student participation within the limits of attainable effectiveness. The obstacles to such participation are large and should not be minimized: inexperience, untested capacity, a transitory status which means that present action does not carry with it subsequent responsibility, and the inescapable fact that the other components of the institution are in a position of judgment over the students. It is important to recognize that student needs are strongly related to educational experience, both formal and informal.

Students expect, and have a right to expect, that the educational process will be structured, that they will be stimulated by it to become independent adults, and that they will have effectively transmitted to them the cultural heritage of the larger society. If institutional support is to have its fullest possible meaning, it should incorporate the strength, freshness of view, and idealism of the student body.

The respect of students for their college or university can be enhanced if they are given at least these opportunities: (1) to be listened to in the classroom without fear of institutional reprisal for the substance of their views, (2) freedom to discuss questions of institutional policy and operation, (3) the right to academic due process when charged with serious violations of institutional regulations, and (4) the same right to hear speakers of their own choice as is enjoyed by other components of the institution.

**Endnotes:**

1. See the "1940 Statement of Principles on Academic Freedom and Tenure," AAUP, Policy Documents and Reports, 9th ed. (Washington, D.C., 2001), 3–10, and the"1958 Statement on Procedural Standards in Faculty Dismissal Proceedings," ibid., 11–14. These statements were jointly adopted by the Association of American Colleges (now the Association of American Colleges and Universities) and the American Association of University Professors; the "1940 Statement" has been endorsed by numerous learned and scientific societies and educational associations.

2. With respect to faculty members, the "1940 Statement of Principles on Academic Freedom and Tenure" reads: "College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution" (Policy Documents and Reports, 4).

3. Traditionally, governing boards developed within the context of single-campus institutions. In more recent times, governing and coordinating boards have increasingly tended to develop at the multi-campus regional, systemwide, or statewide levels. As influential components of the academic community, these supra-campus bodies bear particular responsibility for protecting the autonomy of individual campuses or institutions under their jurisdiction and for implementing policies of shared responsibility. The American Association of University Professors regards the objectives and practices recommended in the "Statement on Government" as constituting equally appropriate guidelines for such supra-campus bodies, and looks toward continued development of practices that will facilitate application of such guidelines in this new context. [Preceding note adopted by AAUP’s Council in June 1978.]

4. The American Association of University Professors regards collective bargaining, properly used, as another means of achieving sound academic government. Where there is faculty collective bargaining, the parties should seek to ensure appropriate institutional governance structures which will protect the right of all faculty to participate in institutional governance in accordance with the "Statement on Government." [Preceding note adopted by the Council in June 1978.]