

# Governance within Departments

The following excerpts from U of M policies establish the nature of departmental involvement in governance.

## **1) Document: Standard Practice Guide:**

SPG: Chart showing unit /policy authority  
See <http://spg.umich.edu/about/policy-hierarchy>

“Individual units may have policies and procedures that address their unique needs, provided they remain consistent with university-wide policies and procedures, and legal requirements

- Campus policies and procedures
- School and college bulletins or handbooks  
Official rules, regulations and academic policies, usually published annually. Focus on student relationship with the university.
- Other school, college or institute policies and procedures
- Departmental policies and procedures”

*Comment: The SPG acknowledges a department as a type of governance authority and unit that can draft its own policies and procedures.*

## **2) Document: Regents Bylaws (applies to all 3 campuses):**

### **6.04**

#### Units and Departments

The establishment of a department or other unit shall be by recommendation of the Executive Committee and approval by the Board of Regents.

A department is a subdivision of a school or college under an administrative head maintained for the purpose of conducting a curriculum or curricula in a specified field of learning. A department has a separate budget, responsible to the budgetary authorities of the school or college of which it is a part.

Each department shall be organized in such a manner as to provide general participation by staff members in the management of departmental affairs.

*Comment: Faculty are to be able to participate in the management of departmental affairs, demonstrating the governance authority of faculty within a department.*

## **3) Document: University of Michigan Faculty Handbook (applies to all 3 campuses):**

3.G Deans and Directors (Ann Arbor Campus): Deans of the schools and colleges and the University librarian and dean of libraries, the heads of departments and research units, and the directors of the William L. Clements Library, the Bentley Historical Library, and the Museum of Art are appointed by the Regents on the recommendation of the provost and executive vice president for academic affairs to act as the executive officers of their respective units and ex officio chairs of their respective executive committees. (See bylaw 5.06.) Heads of other libraries are appointed by the dean or director of the school, college, or institute to which the library belongs.

### 3.H Executive Committees

The executive committees of the schools, colleges, or departments assist the dean or director in formulating educational, instructional, and research policies for consideration of the faculty and act on the behalf of the governing faculty in matters of budget, appointments, and promotions. They also assist with administrative functions. In some units, the dean or director performs executive duties without an executive committee (bylaws 5.02 and 5.06). Rules for the composition of the executive committee, the ways in which governing faculty members vote for executive committee members, and the specific responsibilities and operating procedures of the executive committee vary in individual units and are typically set forth in that unit's bylaws. Most academic units also have other standing committees, such as a curriculum committee and a tenure and promotion committee. It is important for faculty members to be aware of their units' policies and procedures concerning the functioning of all of its committees and to participate as is appropriate in unit level committees.

*Comment: Departments can have executive committees and will have their own bylaws.*

4.C Unit-Level Faculty Governance Structures: The most immediate way by which faculty participates in the governance of the University is within appointment units. Faculty involvement in departmental, school, or college governance activities is essential to the University's teaching, research, and service missions.

*Comment: This passage identifies a department as a type of governance structure. It also acknowledges that governance in schools, colleges, and departments is probably the most important (immediate) to faculty.*

5.A General Principles: At the heart of a great university is an outstanding faculty. Individuals join the faculty through rigorous appointment procedures. Many of the most important aspects of appointment procedures are unit specific (e.g., outlined at the school, college, or departmental level) and may also differ for instructional faculty and other types of faculty, as described in sections 5.B "Criteria for Appointment and Promotion of Instructional Faculty"...

*Comment: A department is capable of setting its own governance procedures for internal functions. Departments can have their own appointment procedures and are included as an example of a type of unit that will have its own procedures.*

6. A Tenure: At the UM-Flint and UM-Dearborn campuses, the chancellors oversee the tenure process on their respective campuses. However, procedures for review for tenure are among the most unit-specific of all the procedures affecting faculty members. Those who come to the University without tenure must recognize that the tenure procedures of their department, school or college, or other unit are the crucial starting point in this process. Accordingly, faculty should familiarize themselves with those procedures and obtain a copy of their unit's written tenure guidelines from the dean.

*Comment: This passage recognizes the rights of departments to set their own P/T criteria and procedures and identifies a department as a type of governance unit.*

#### **4) Document: Principles of Faculty Involvement in Institutional and Academic Unit Governance at the University of Michigan [<http://provost.umich.edu/faculty/handbook/4/4.B.html>]**

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

5. "Agencies for faculty participation in the government of the college/school or university shall be established at each level where faculty responsibility is to be met."

*Comment: One cannot say that the principles of governance do not apply to departments, since they are a level of faculty responsibility.*

##### B. Academic Unit Level Governance Principles

1. “Although the principles of governance apply to all academic units the forms of faculty governance may vary among units.”

2. “Every academic unit at the University of Michigan shall have a set of written rules and procedures for its governance, copies of which are to be available to each faculty member.”

3. “The governing faculty of each academic unit shall establish the responsibilities and authority of each academic unit governance entity and each administrative entity within that unit. This applies to the lines of decision-making authority of these entities in relation to: curriculum; admission requirements; graduation requirements; major operating procedures such as departmental organization, committee organization, committee appointments; budget; faculty appointments, reappointments, decisions not to reappoint; faculty promotion and tenure; and policies concerning reviews of faculty for merit salary increases.”

*Comment: National AAUP specialists in governance bylaws interpret the above underlined passage to refer to the governance within a department being determined by the governing faculty in that department.*

4. “The governing faculty of each academic unit shall establish the operating procedures of its academic unit governance entities including, but not limited to: procedures for agenda setting, establishment of a quorum, determination of membership and voting rights, qualification of attendance by persons other than members, appointment of a faculty secretary, distribution of minutes, and the retention/filing of minutes.”

#### **5) Document: Senate endorsed ‘General Principles of Faculty Participation in Governance’:**

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

*Comment: All levels of faculty participation share in governance standards. Standards cannot be suddenly suspended or interrupted for specific levels of faculty participation.*

#### **6) Samples from U of M:**

##### **Document: U of M LSA Faculty Code:**

A. 5.02, section 2.b.

##### Chairs and Directors of Units:

Appointment of chairs and directors of units shall be recommended by the Dean and the Executive Committee to the Regents for terms not to exceed five years, subject to review and renewal at the expiration of each such period.

*Comment: Chairs and directors are typically titles used for units at the department or program levels. At LSA all faculty appointments must go through the executive committee in addition to being approved by a Dean. A department is identified as a unit.*

A. 5.02, section 2.f.

...In case of an appointment of a member of the faculty or staff to serve in two or more departments of the University, the approval of the dean or other administrative head shall be secured in each department affected. All members of the staff receiving compensation from two or more departments shall be listed

on each budget as part-time employees with a statement of the amount of compensation received from each unit.

*Comment: A department is identified as a unit.*

A. 5.06, section 6

Sec. 1.03. The procedure applies only to decisions made by academic units (schools, colleges, centers, institutes, programs, museums, divisions, and departments) acting through Deans, Directors, department chairs, and other authorized persons. The Provost has discretion to allow use of this procedure for resolving grievances about decisions made by administrative units regarding faculty covered by Section 1.02. The procedure does not apply to issues between faculty members or groups of faculty members.

*Comment: A department is a type of academic unit, like a school, college, division, etc.*

**Document: U of M Dearborn: Dept. of Math & Statistics faculty bylaws**

"The Dept of Math & Statistics...is an instructional unit..."

**Document: U of M Dearborn: College of Business**

[note: these would have been 'approved' with the Regents]

The Departments shall constitute the basic units of the College of Business.

*Comment: Departments are units within other units.*

**Document: U of M Dearborn: College of Arts, Sciences, Letters**

The basic administrative units within the College shall be the officially authorized departments...AND...The departments shall constitute the basic units of the College of Arts, Sciences, and Letters.

*Comment: Departments are units within other units.*

**Document: UM-Flint School of Education and Human Services**

The Unit Head is defined in the NCATE Professional Standards for the Accreditation of Teacher Preparation Programs (2008) as "The individual officially designated to provide leadership for the unit (e.g., dean, director, or chair), with the authority and responsibility for its overall administration and operation.

*Comment: Defines a unit leader type as possibly being a chair.*