



AMERICAN ASSOCIATION
OF UNIVERSITY
PROFESSORS:

UNIVERSITY OF MICHIGAN-
FLINT CHAPTER

MAY 2018

NEWSLETTER FROM THE UM-FLINT
CHAPTER

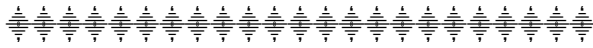


TABLE OF CONTENTS

AAUP Introduction and Coming Events, p. 1

Academe Highlight, p. 1

**Report on the Economic Status of the
Profession**

Faculty Concerns, p. 2

LEO Faculty Negotiations

**UM-Flint AAUP Leadership Position on
Staff Restructuring and Strategic
Planning in CAS**

**Case Study: Methodological
Approaches to Austerity in CAS**

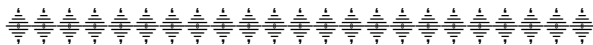
Governance at UM-Flint, p. 8

**SACUA Election results in new
Representation for UM-Flint in
Institutional Governance**

**Faculty Council makes Official
Requests to SACUA**

Governance Policy Highlight, p. 9

**The Centuries-Long Struggle:
Centralization versus De-Centralization
in Higher Education**



ABOUT THE AAUP

**The AAUP as a national association
(www.aaup.org) offers support to faculty
across the country on a wide variety of
matters, from webinars on issues in higher
education to providing consultation support**

**for grievances. See our chapter's website at:
<https://blogs.umflint.edu/aaup/>.**

Upcoming events:

**UM-Flint AAUP Social: May 17th, 7pm,
Soggy Bottom, Flint**

**UM-Flint AAUP Webinar Training in
Governance: Minutes and Agendas,
Available June 1, 2018**

**AAUP Conference on Freedom of
Speech, Washington DC, June 14-15**



ACADEME HIGHLIGHT

**In this section an article from AAUP's
journal is highlighted.**

**2017-2018 AAUP Annual Report on the
Economic Status of the Profession** (available at
[https://www.aaup.org/report/annual-report-economic-
status-profession-2017-18](https://www.aaup.org/report/annual-report-economic-status-profession-2017-18)) identified modest gains for full-
time continuing faculty this past year, whose average 3.0 %
nominal salary increase came out to be an average 1.1%
actual when adjusted for cost of living.^[1] Breaking down the
increase by rank, the average nominal salary raise was 2.5%
(0.6% actual) for full professors, 3.2% (1.3% actual) for
associate professors, 3.3% (1.4% actual) for assistant
professors, 3.4% (1.5% actual) for lecturers, and 3.3%
(1.4% actual) for instructors. To determine a faculty
member's total annual compensation package, the Report
also examined benefits (retirement, medical, tuition, etc.)
data, which averaged between 18% and 31% of annual
salary for full-time faculty.

Of special note in the Report were the data on salary
compression,^[2] gender inequity, and administrative salaries.
For 892 institutions^[3] with at least 10 faculty members at
either rank, the average salary difference between associate
and assistant professors was \$10,600. However, 99
institutions fell below an average difference of \$5,000,
which indicated compression.^[4] In reviewing the average
percent difference in salary between men and women at the
same rank at the same institution, 93% of all reporting
institutions paid men more than women at the same rank for
at least one rank. It was noted that this pay gap does not
change with advancement through ranks, and it is more
accentuated at lecturer and instructor ranks. Lastly, in the
area of administrative salaries, the Report indicated that, on
average, presidents of the reporting institutions were paid
4.78 times more than full-time faculty members.^[5]

^[1] However, it should be noted that the salary change range for the middle 50% of reporting institutions was between - 0.4% and 2.2%.

^[2] This is measured by observing the average salary difference between associate and assistant professors to determine if it is too close (\$5,000 or less).

^[3] A total of 1,018 institutions, with a total of 378, 865 full-time faculty members, participated in the AAUP's survey.

^[4] The Report also identified 22 institutions where there was salary inversion (associate professors paid less than assistant professors).

^[5] At the middle 50% of reporting institutions the ratio was between 3.8 and 5.5.



FACULTY CONCERNS

In this section faculty concerns are highlighted.

LEO Faculty Negotiations:

LEO faculty have not yet resolved negotiations, which will resume in mid-May, on union rights, union security, and salary, based on the last update posted on 7 May 2018 (<https://hr.umich.edu/working-u-m/my-employment/academic-human-resources/contracts/about-leo>). The current contract will expire on May 29.

UM-Flint AAUP Leadership Position on Staff Restructuring and Strategic Planning in CAS

On 30 April 2018 the CAS Dean announced a major restructuring of staff within the College of Arts and Sciences via e-mail. Announcements were also made (as a *fait accompli*) at a Council of Chairs meeting the same day, but since that body is neither a governing body of the college (per the CAS Faculty Code) nor populated by representatives necessarily elected by their departments' faculty, announcements made therein do not constitute consultation of the faculty. The initiative to restructure staff is supposedly predicated upon the Blue Ribbon Commission established by action of the CAS Dean's office in the 2017-2018 year whereby a group of appointed individuals, many being members of the Dean's office or those with supervisory positions appointed by the Dean, were charged with investigating staff climate issues. From a governance standpoint, it is questionable to allow recommendations of an appointed group to be enacted without subsequent scrutiny by individuals outside of the appointed group, such as the CAS Executive Committee and governing faculty.

The staffing change was also foreshadowed in the inadequately vetted Strategic Planning Priorities, which was voted upon without discussion after only 48 hours circulation at the January 2018 CAS governing faculty

meeting, having been drawn up in the company of the Dean by a committee of appointed rather than elected faculty and staff. One might perceive that the Strategic Planning Priorities and process may have been intended to reverse-engineer outcomes for desired administrative plans. The Dean publicly stated in CAS meetings that the priorities and actions resulting from planning would entitle her to make decisions about how to use college resources. Did the CAS faculty adequately review the suggestions coming from this initiative? For instance, the current actions regarding staff were perhaps foreshadowed in the Strategic Planning Priorities where priorities were established without accompanying information about who would establish and review the criteria for decision-making described in those priorities. For example, the Priorities stated that: 'CAS will ensure that the way we allocate our current resources at every level, including personnel, funding and expertise, is sustainable and aligned with our strategic priorities. [...] We will more effectively utilize staff time and expertise across CAS and work toward better professional development opportunities for staff.' Who gets to determine what is considered sustainable or effective? Should the CAS faculty revisit that document, and review the list of ideas that ended up in the surveys, to anticipate which other significant unilateral changes might be in store for the college (possibly even during the summer months when faculty are off contract and unable to convene governing faculty meetings)? Notably, the role of existing governance structures and consultation of the faculty are nowhere mentioned in the Strategic Priorities. Rather, the only agent cited to enact decisions, who could significantly impact all aspects of the college, is the Dean: '[...] the Dean, in consultation with the CAS Executive Committee, may reallocate resources to maximize our positive impact on the constituents we serve.'

Since that time the priorities and action items have continued to be pushed through by circumventing democratic planning and parliamentary procedure. Instead of priorities being established by a poorly representative group of faculty and staff appointed by the Dean's office, priorities should have been developed at public meetings where the Dean did not participate, as she seems to do in the Strategic Planning Committee meetings. Furthermore, the methods and decisions of the Strategic Planning Committee have been neither transparent nor in keeping with UM policy. Instead of bringing ideas to the faculty in governing faculty meetings under parliamentary procedure, or allowing faculty to take up priorities and develop their own initiatives according to their expertise, the committee has carefully controlled outcomes by guiding towards specific agendas and tactics like triple-barrelling action items in surveys. While discussion is necessary and events that were held to promote discussion might be admirable, they cannot replace formal governance and did not result in decision-making methods that conformed to proper procedures. Surveys of vaguely defined actionable significance have supplanted debate and amendments protected through parliamentary procedure, while ideas presumably found to be undesirable to the committee and/or administration have inexplicably vanished

from the options in favor of those seemingly in keeping with administrative agendas. Most concerning is that in strategic planning presentations, potential actions items were quantified according to the dollar amount that could be attached to faculty and staff salary lines, which may have been noted to suggest that these could be cut from the CAS budget to enact the action items. Such suggestions have engendered a climate of fear for some in the college that makes the Dean's stated control over implementation likely to silence dissent.

The current announcement regarding staffing needs to be considered both from a governance and fiscal standpoint. It proposes to make all departmental administrative staff (pending exceptions for discipline-specific need that may prove difficult to secure) employees of the Dean rather than departments (based on the explanation of who will supervise them), which logically would necessitate removing department funding for staff and shifting these resources to the CAS administrative budget. The plan includes relocating staff to central hubs that will leave many departments without reception staff. **UM-Flint AAUP leadership opposes the staffing plan on the following grounds:**

i) The faculty in each department are most equipped to judge their staffing needs. Departments, however, have not been consulted on this matter, and some have even been obstructed since last year from replacing essential discipline-specific staff until the results of the Blue Ribbon Commission were released. The delay in hiring essential discipline-specific staff in multiple departments has not been due to a campus-wide hiring freeze. This shows disregard for the faculty's disciplinary expertise in managing departmental resources. For the few departments allowed discipline-specific staff, those individuals may find themselves inequitably over-burdened.

ii) Stakeholders, including the CAS governing faculty, Staff Council and Student Government Council were not consulted. The UM Senate Assembly's *Open Governance Resolution* (applicable to all three campuses) states that 'Open governance has administrators listening to all the people affected by its actions. No person or group affected by university actions has a greater right to be heard than anyone else.' Sadly, the format of delivery via e-mail and lack of opportunity to respond with meaningful impact upon the outcome is not unfamiliar for some CAS faculty. Important decisions in other areas of departmental business have also been documented to have occurred in a similar fashion via e-mail announcement, including for example overturning of departmental elections, removing sitting chairs/directors, and without apparent justification deleting text from ratified departmental bylaws.

iii) The elimination of staff from departments significantly impacts the climate, environment, and efficiency that departments instate through their faculty's collective decision-making, as noted in the departmental statements

recently circulated to CAS faculty by the secretary to the faculty. Many aspects of departmental functions are decided through faculty governance within a department, often established in its bylaws. The decision to eliminate staff support from departmental purview significantly undermines the academic freedoms of departments to internally organize their functions in a way that best suits their students, faculty, staff, and disciplines.

iv) Staff supervision is an essential part of departmental leadership. The changes would seem to remove staff from departmental oversight and make them supervisees of the Dean's office, with it seems corresponding budgetary reallocation of their salaries out of departments. If so, this would constitute a major cut to academic resources (for departments) and corresponding expansion of administrative costs (for the Dean's office). Even if as a rule the staff would be doing the same work in the same quantity, academic spending is that which is controlled by faculty for instruction and research, while administrative spending is that which is determined by administrators according to administrative priorities. But if we are honest about what this means, it is highly likely that the staff would over time do less for faculty and more for the Dean's office, as the latter would be their supervisor and the office to which they are accountable. Moreover, the CAS Dean already explained to the Council of Chairs that this reorganization is intended to curtail faculty asking staff to do 'inappropriate' things. But who is deciding what is appropriate for a given discipline and if the Commission's accounts of inappropriate faculty requests can be verified? It is quite foreseeable that the inconvenience alone of having to find an available staff-person will over time make faculty less productive as they sacrifice their own valuable time to tasks that used to be complemented by administrative support. Administrative policing of faculty requests is also quite foreseeable and could lead to a negative climate for both staff and faculty, who might be caught in a tug-of-war with directives to staff from the Dean's office that countermand the needs of departments or their own support needs.

v) The claim is that the changes are budget neutral, but on May 1 (one day following the announced changes) a pre-approved \$55,700-68,000 salaried position for an Office Administration Senior Supervisor had already been posted on the UM Careers website. The faculty should be evaluating how the Dean's office can afford expansion of administrative positions, but cannot afford faculty posts for the third year in a row. To assess whether or not the plan is actually budget neutral, faculty would need to see all department, program, and CAS administrative office budgets, as well as the college's budget, in addition to expenditure reports. To assist in that endeavor the UM-Flint AAUP chapter requests that the Vice-Chancellor for Business and Finance make the college's annual budget, including budgets for all departments and programs, as well as college expenditure reports, available to all CAS governing

faculty so that decisions are based on all relevant information.

vi) The proposed staffing system has the potential to give the Dean's office control over departmental business, including the ability to impose policies that could restrict academic decisions made by departments or programs about how they do their business. It also seems likely that increased surveillance of faculty will result, such as by necessitating the use of software programs to track when faculty are in their offices, etc. Time will also be wasted with increased e-mail or other messaging due to the removed physical location of staff support. Respect for faculty time and productivity will also be impoverished based on the options listed for departments regarding what type of access they choose to provide to their common areas. For example, one option is to have a locked door with a door bell. Who is answering the door bell? And when one chooses not to answer, will there be consequences?

vii) Another option proposed by the Dean's office, to eliminate office doors on department spaces (or require unlocked doors 8-5), subjects faculty and students to risk for harm. Faculty who work after dark in the winter or in evenings will never know if someone is hiding around a corner in a darkened passage in an office suite, or waiting for them to open their individual office doors in a poorly visible area. UM-Flint is a public campus and it is not uncommon for members of the community to be found in our buildings. This option also makes it impossible to safely keep common use items in departmental space, thereby reducing storage and increasing the liability or risk of loss of property.

viii) The plan has a precedent. In 2013 SACUA and the Senate Assembly passed a resolution voicing great concern about the Administrative Services Transformation (AST) initiative, which at that time pulled some types of staff out of departments/programs into central services (for the full resolution, which echoes the concerns already voiced by some CAS departments see C:\Users\owner\Desktop\AST_resolution.pdf). It was unpopular and was not fully implemented due to faculty dissent. However, UM departments would prove better able to handle the changes than those in CAS for possibly two reasons:

a) AST was not already severely restricting discipline-specific hires and did not take all staff out of departments, as will happen for many in CAS. Because UM departments are so much bigger than those at UM-Flint, the removal of administrative staff (even 3-4 positions) to add to central services still left faculty and students with staff in the department's physical space. It was never intended to have the potential to leave departments without any physically present employees.

b) Departments at UM enjoyed de-centralized budgets that allowed them to absorb the changes by hiring additional staff to replace the ones being removed. CAS departments

will not have that luxury because their budgets have been re-centralized and divested of some revenue streams.

To conclude, in light of the governance, academic freedom, safety, productivity, surveillance/privacy and fiscal concerns represented in this initiative, along with the failure to provide fully vetted, data-based justification for the changes, UM-Flint AAUP leadership strongly recommends that the plan be withdrawn until such time as objective recommendations from elected individuals can occur, and the faculty can have adequate time (likely requiring the bulk of at least a fall semester) to evaluate the full consequences of this plan for faculty, students, and staff and exercise their right to vote on the initiative based on complete information. Furthermore it is strongly recommended that until the Dean's office can demonstrate compliance with the UM Open Governance Resolution (http://facultysenate.umich.edu/wp-content/uploads/sites/22/2015/03/01-23-12_BSC-Open-Governance.pdf) that Strategic Planning should similarly be postponed until the faculty can consider the intended outcomes of the priorities and action items that could involve more administrative interference in academic decisions and resources. The plan proposed represents a fundamental shift in the way that the college does business that would seem to move departments and programs away from offering services based upon disciplinary expertise, communities, and needs.

Case Study: Methodological Approaches to Austerity in CAS

NOTE: This is an abbreviated article. To see the full version with explanations and histories of the budget cuts see: <https://blogs.umflint.edu/aaup/>.

Faculty and staff at UM-Flint have been acutely aware for some time that the campus's budget has a great deal of influence over what is possible in a given academic year. On April 26th we had the opportunity to hear from executive leadership on accomplishments and future plans for their units. Now would seem like a good time to review some key issues regarding budgeting across and within the campus. The complexities of the budget often make it difficult to ascertain when and why certain things are happening. This is not unique to UM-Flint; the national AAUP has advocated for many decades that faculty must have a role in budgeting and access to information (fortunately for U of M faculty the Board of Regents agreed). The Senate Assembly also agreed with this principle when it passed the "Open Governance Resolution" in 2012 applying to all 3 campuses. In times of fiscal strain it is especially important for faculty to be active participants in budgetary decisions. There are two primary principles that AAUP endorses, which are that 1) the faculty must have access to the information necessary to determine whether fiscal strain exists, in order to make sure that decisions related to budgetary matters are based on actual data; and 2) that if indeed fiscal strain can be shown to exist and require action, then administrative costs are cut

before academic expenses (resources for faculty and students). To do otherwise is to undermine the university's mission.

Over time the campus has been working towards increased transparency. Expenditure reports are regularly shared with and reviewed by the Chancellor's Advisory Committee for Budget and Strategic Planning (CACBSP) members. But expenditures are only one side of the story. Without being able to see the annual budgets that have been allocated to individual offices, college/schools, departments, and programs, the expenditures only tell half the story. After the beginning of each fiscal year (July 1), each school/college, administrative office, department and program is allocated a budget for the year. This is broken down into funding sources, and shows carry-over funds from the prior year. It is these documents that are often of greatest importance to transparency and the work of the faculty, because the annual budgets show whether departments/programs within a unit are being equitably funded, and whether they are projected to be given the fees and other revenues that will sustain them for that year. The latter are usually projected, since these revenue sources accrue over the fiscal year and then, in theory, are transferred before June 30th. Also important is access to the administrative office and college/school annual budgets of the executive officers, because only these documents would show how much of a unit's resources are being applied to administrative overhead. From the perspective of preserving academic quality, one would hope to see in times of fiscal strain that administrative funds are reigned in as much as possible before resources are taken from those parts of the budget that fund academic quality (professional development, faculty/student travel and research, instructional costs, equipment/lab resources, etc.). At this time, faculty have access to the budgets of senior executive officers outside of the schools and college. But, in some school/college units faculty are struggling to access the information that they need to do their jobs, which includes making important decisions about resources for their disciplines. Not all deans release unit annual budgets. Such lack of access to information is not in keeping with the university's legal obligations as a public institution. Such inaccessibility also breeds distrust, and makes accountability of the administration to the faculty and students virtually impossible.

So what should faculty members do if they need information that they cannot access? Although it is always better to give an office the opportunity to provide the information upon request, and to give a reasonable timeframe for this to happen, one can request budgetary information from the Freedom of Information Act Office at the University of Michigan.¹ However, having to FOIA documents on budgetary information is neither ideal nor a productive use of faculty (or administrator) time.

Former national AAUP President Cary Nelson provided useful guidelines on how to respond to claims of budgetary

¹ To file a FOIA request go to: <https://foia.vpcomm.umich.edu/>

strain when used to enact changes in academic matters. He advises the following:

'Be skeptical about claims of financial crisis. Many large institutions have reserve funds or lines of credit to deal with cash-flow problems. Some administrators exaggerate financial difficulties so that they can reallocate money for unneeded building projects or for disciplines they believe can generate income.' <https://www.aaup.org/article/faculty-agenda-hard-times>

'Pursue detailed information about campus budgets and finances, including foundation accounts and internal subsidies of sponsored research, by every means possible. Identify and publicize the invisible costs of administrative demands and initiatives. Track the transfer of costs from institutions to individuals. Submit Freedom of Information Act requests, if applicable. Compare budgetary planning documents with five years of previous financial statements reporting actual expenditures. Demand financial transparency—few campuses really practice it.' <https://www.aaup.org/article/faculty-agenda-hard-times>

'Treat program closures, abolition of the faculty senate, and termination of tenured faculty members imposed without full faculty review and approval as cause for strikes, civil disobedience, legal action, and votes of no confidence.' <https://www.aaup.org/article/faculty-agenda-hard-times>

Cary Nelson, (former) AAUP President

In light of AAUP and the Regents governing principles requiring that faculty be included in budgeting, it is important in times of fiscal strain, such as that seemingly occurring in the College of Arts and Sciences, to ensure that measures impacting an academic mission are both transparent and actually necessary. It may very well be that all of the austerity measures below are necessary to keep CAS afloat. It may also be that other solutions were both possible and preferable. It is certainly the case that the solutions should be adopted in concert with the faculty. As the CAS Dean notes in the message below, she has 'consulted' the Executive Committee (EC). The governing faculty have a right to know if such consultation included full disclosure of the college's annual budget, expenditures and administrative costs, because otherwise any recommendations of the EC would not have been adequately informed. The governing faculty also have a right to know if 'consulted' fulfills the EC's charge to assist the Dean with her duties (which requires meaningful influence on final decisions, usually through voting or documentation of consensus), to ensure that budget decisions represent the needs of faculty and students. From the "Principles of Faculty Involvement in Institutional and Academic Unit Governance,"² which applies to all 3 campuses: "Budgetary policies and decisions directly affecting those areas for which the faculty has

² <https://facultysenate.umich.edu/wp-content/>

primary responsibility such as, but not limited to, curriculum, subject matter and methods of instruction, research, faculty status, admission of students and those aspects of student life that relate to the educational process shall be made in concert with the faculty.”

The austerity measures described below directly impact instructional and research resources, faculty status (i.e. raises, promotion...) and the educational process. The purpose of this article on austerity is to help faculty throughout the campus to think about governance best practices that come into play with academic budgeting. Due to the preponderance of recent austerity measures within one unit, which may very well be justified, it is the responsibility of the college’s governing faculty to ascertain justification, to ask questions, and to provide accountability so that their representatives appropriately prioritize academic resources in times of fiscal strain, if such strain can be shown to exist.

From the CAS Dean, e-mail to CAS faculty 31 August 2017:

‘Central administration has again provided some relief for the College but is expecting the College to engage in cost-saving measures in return. I have consulted with the Executive Committee and Associate Deans, as well as had our Budget Analyst, Dana Evans, run multiple scenarios to determine how best to undertake various cost-savings measures at the College-level. The Associate Deans and I spent considerable time this summer evaluating a wide range of cost-savings options, including those sent to us as suggestions by faculty and staff. We will continue to evaluate various options as we progress through this academic year.’

1) Student fees to support department resources taxed by CAS administration:³

In August 2016 staff of the CAS Dean explained to at least one department at its budget meeting that DEEP revenue, OEL fees, prefix fees, and tuition revenue would be taxed because “the Dean’s office was under-funded by the Regents.”⁴ As per the CAS Dean’s e-mail of 31 Aug. 2017, 30% of all prefix fees would thereafter be used to pay for faculty salaries in CAS, and responsibility for contingent lecturer salaries was moved from the college to departments and programs (but without adequate increases in budgets to cover those salaries). The prefix fees were approved based on departmental applications to central administration to use

³ Per Dean Gano-Phillips’ e-mail of 31 Aug. 2017: “Utilization of Prefix fees to cover costs of disciplines receiving these fees – Programs which receive prefix fees (a per credit hour fee to support program operations) will be expected to utilize 30% of these fees to support the salaries of the professional staff and increased faculty costs for their programs. In FY17, these programs contributed 10% of these fees for this purpose.”

⁴ This is a quote from a staff-member of the Dean’s office who gave a presentation to a CAS department about its annual budget, explaining why it looked like it would be getting less than half what it was allocated the year prior, even though its enrollment had increased. The department and staff-member are not being named in order to protect his/her identity.

them to improve research and teaching—they were meant to be fully and directly returned to the department and student in some fashion. So, when the Dean’s office shifted lecturer salary responsibility from itself to the departments and programs, the result seems to have created a substantial increase to the CAS administrative budget at the student’s expense, and a number of departments and programs that were put in deficit. Students pay for this a second way in that roughly 1/3 of the lab and instructional supplies, equipment, and other academic resources funded by the prefix fees are no longer available for their instruction. Because departments are not allowed to have both prefix and lab fees, they simply cannot cover the deficit caused by a 30% tax. The shift in use of the prefix fees breached the commitment made by Interim Dean Albert Price to departments that 100% of the fees would be returned to them. Nevertheless, the tax for the purpose of paying salaries was approved by the Vice-Chancellor for Business and Finance in fall 2017 even after faculty complaints that considerable sums from fees were seemingly not being transferred to their departments (or there were unreasonable obstructions on using the funds followed by unspent funds being swept). The student response to their funds being used to possibly expand CAS administrative resources, and the corresponding impact on the quality of their education, has yet to be known.

2) Salary cuts for some CAS faculty in spring/summer IGS courses:

In summer 2016 faculty leading study abroad had their salaries capped at \$6500, instead of earning the normal 1/9 salary for a 3-credit course that had been the rate paid to UM-Flint faculty teaching spring/summer classes since 1968.

3) Removal of DEEP revenue from departments:

In 2017 oversight of DEEP revenue was transferred to the deans of the units, so that more revenue could go to academic expenses.⁵ Upon gaining oversight for the distribution of DEEP revenue, the Dean’s office removed the DEEP shortcodes in department budgets for those offering DEEP and directed all DEEP revenue to CAS’s budget instead of to departments (where it goes after that is unknown).

4) Cuts to some faculty salaries in spring/summer courses:⁶

In an e-mail to the CAS faculty of 31 Aug. 2017, the CAS Dean announced that the 40+ year history of paying tenure-stream faculty the 1/9 salary for each 3-credit spring/summer course (the same rate as had been required in

⁵ As shared by Chancellor Borrego on 13 Sept. 2017.

⁶ From Dean Gano-Phillips’ e-mail to faculty on 31 Aug. 2017: “Spring/Summer salary cap – Faculty members will be paid a maximum of \$7000 per 3 credit hour course taught during Spring 2018 or Summer 2018 semesters. Courses with varying credit hours will be paid in a commensurate fashion at a rate of \$2333.33 per credit hour. This cap will affect some, but not all, of our instructional faculty.”

the past to be given to faculty in Ann Arbor) will be capped at \$7000, which impacts many Associate Professors and Professors.

5) CAS faculty receive lower merit-pay raises than the schools for the second year in a row:⁷

At UM-Flint, all units are required to give the same average merit-pay rate. For the past two years the CAS Dean's office has deviated from the standard merit program by setting a lower internal rate. In 2016 an e-mail sent by the CAS Dean to all governing faculty explained that she was reducing the standard rate in order to have funds to pay for equity raises.⁸ The CAS Dean indicates in that e-mail that she anticipates giving the same rate as the rest of the campus for 2018-19. But, for 2017-18, faculty received 1.7% on average instead of the 2%. This time the difference was needed, it was explained, to cover post-promotion raises, which have since been eliminated indefinitely.

Following the second instance of CAS receiving less than the campus rate, inquiries were made by faculty to the Vice-Chancellor for Business and Finance, who explained that he deemed CAS to be compliant with the 2% merit-pay average, because he was allowing the CAS Dean to count equity and post-promotion raises as part of the merit program or 2%. According to past Executive Committee members, prior CAS deans seem to have reserved portions of their budgets to pay for equity and post-promotion raises separately from merit pay. It is also not clear that equity raises should be similarly categorized as merit pay.

6) CAS tuition revenue funding swept from new programs:

Every time a new program is established its faculty have the opportunity to request a special tuition revenue agreement in order to grow the program. It is intended that at the end of each year for the program's launch (4-5 yrs) up to 80% of its revenue after expenses are paid will be available to grow the program. After that time, in theory, the program receives a 60% return on revenue after expenses. Funds are usually transferred at the end of each fiscal year (before June 30th).

Unfortunately, it has been a longstanding problem that funds are not always transferred or available as expected, which makes it impossible to grow the programs and provide the services that students need when building a new academic program. For one program (names are not being

⁷ See 31 Aug. 2017 e-mail from Dean Gano-Phillips: "Suspension of optional post-promotion review program for tenured faculty – this program, initiated in 2009, is self-funded and has allowed the College to address salary compression issues in the associate and full professor ranks while recognizing strong faculty performance. As CAS is the only college/school utilizing such a program on the Flint campus, and given our current fiscal situation, the college cannot continue this program. As noted in the merit letter received last week, the College has had to reduce the overall merit program for several years from the university-announced program to fund this program, and I believe it best to use the full merit program for its intended purpose next year."

⁸ Ibid.

listed to protect from possible retaliation), only 5% of the revenue generated has been allowed to be used on actual program growth and expenses. The rest (totalling roughly \$200,000 over the past few years) has been swept by the Dean's office.

7) CAS faculty encouraged to give up office phones:

At the 13 Sept. 2017 CAS governing faculty meeting the CAS Dean explained that as part of the fiscal constraints facing the college it would assist CAS for faculty to give up their office phones.⁹ This, of course, was voluntary, but it was not made clear whether the funds saved would be kept in departments.

8) CAS faculty prohibited from receiving more than \$2000 college support for travel in a given year:¹⁰

In an e-mail from the CAS Dean to CAS governing faculty new travel budget policies were announced. These included that faculty would no longer be allowed to receive more than \$2000 for travel per year for any funds paid through CAS (including their departments). Secondly, departments were prohibited from spending administrative resources on travel (in other words, from determining for themselves if available funds from other lines might supplement faculty travel). This is an especially harsh policy for programs, such as graduate and shared programs, where travel funds have not been provided at all. Thirdly, the CAS Dean announced in the new policy that she will now personally approve all faculty travel funding.

9) Post-promotion raises eliminated for CAS Faculty:

Per an e-mail from the CAS Dean to CAS faculty on 31 Aug. 2017, the longstanding tradition of post-promotion raises has ended in the college. It seems that a replacement for the post-promotion raises is being considered, but it is not clear that it will be vetted and approved as required by governing faculty.

10) Post Requests limited to those with Revenue:

Minutes of the EC from fall 2015 state that the posts allocated are going to be those that generate the most revenue. On 31 Aug. 2017, the CAS Dean's notice stated that posts in the future will be granted on the basis of enrollment (how much revenue they will be perceived to generate). Minutes of the EC also show that the members were instructed by the Dean not to consider how long a department had applied to fill a position, or whether the position was a replacement. Preserving the academic integrity of the core liberal arts disciplines of the college has therefore

⁹ Noted by Dean Gano-Phillips in her report at the 13 Sept. 2017 faculty meeting.

¹⁰ Summarized in the 31 Aug. 2017 e-mail from Dean Gano-Phillips: "Travel caps – As announced in July, CAS has set a \$2000 limit for travel funding per person for FY18 from CAS general funds (for details, please see CAS Travel and Hosting Policy at <https://www.umflint.edu/cas/faculty-staff-resources#tab-faculty>)."

been eliminated as a priority. There will not have been a post in the arts or humanities in six consecutive annual post cycles. Although one was granted in the humanities for a fall 2017 start date, the CAS Dean asked the then Chair to retract the post so that it could be modified. It was subsequently retracted indefinitely pending the results of a required program review. A post for a chair in a CAS department seems to have stalled as well, although the faculty completed the search and submitted candidates to the Dean's office. Will 2018-19 be the third year in a row that CAS practices an effective faculty hiring freeze?

II) All departments to receive a 5-8% cut in overall budget for the 2017-18 year (see 31 Aug. 2017 e-mail).

I2) Changes to Staffing (budget neutral to the college, but a major budget increase for the Dean's office and a major budget decrease for CAS departments).

Conclusion: The austerity measures in CAS have been shared with its faculty publicly by the Dean's office (with the exception of tuition revenue funds). What may remain unknown are the following questions:

- a) How many of these decisions were approved by vote of the Executive Committee and/or the governing faculty?
- b) Which austerity policies are intended to be permanent?
- c) Do these measures undermine budgetary independence that was intended for CAS departments when they were allocated annual budgets in 2014, and if so, are non-fiscal purposes at work in these policy changes?
- d) How much did each department/program contribute to the CAS deficits in the last two years?
- e) How much is each department/program contributing to the CAS administrative budget?
- f) Are these measures justified given actual enrollment?
- g) How do CAS faculty verify that their departments are only experiencing 5-8% budget reduction, since anecdotal evidence suggests that for some programs it is actually closer to a cut of 50-90%? Do all of the resources being shifted from departments and academic purposes match the anticipated deficits for which they are supposedly needed, or do the shifting allocations exceed what should be necessary?
- h) Given the seemingly unprecedented nature of these cuts (in number and scope), along with the way in which they centralize greater authority and resources in the CAS administration, it would seem to be a moral imperative that CAS faculty know exactly how much their departments are contributing to college debt and administrative agendas/expenses, how to access CAS' administrative annual budget, and how the annual budgets of the departments and programs compare (as a matter of equity). How can the CAS faculty know that all of these measures were necessary without seeing the college's annual budget, and especially that of the Dean's office?
- i) Has the Dean omitted administrative cuts from her announcements, or is it the case that faculty and

resources for research and instruction are the primary (if not only) cuts implemented? It is only through a complete understanding of all resources that decisions about where to cut can be made responsibly and budgetary decisions can be made in concert with the faculty.

Answers to these questions are imperative when examining the resources of the largest instructional unit at UM-Flint, especially since in the past debts in CAS have had to be paid by contributions from the schools. Since almost all revenue streams in CAS departments and programs have been reduced or eliminated by the current administration, the faculty have a right to know how all of these funds are being used.



GOVERNANCE AT UM-FLINT:

In this section current governance initiatives are highlighted.

SACUA Election results in new Representation for UM-Flint in Institutional Governance

In April of 2018 the Senate Assembly of UM elected three new members to SACUA. These were Deirdre Spencer, Colleen Conway, and Sarah Lippert. Dr. Lippert will serve as the first representative from Flint to be elected to SACUA in recent memory. Faculty are invited to consult any member of SACUA with questions, concerns, or comments about institutional-level governance, policies, or concerns. For SACUA's duties see:

<https://facultysenate.umich.edu/sacua/>. The faculty elected to represent UM-Flint faculty in institutional governance through membership in the Senate Assembly are the Assembly representatives. For the news release regarding the SACUA election see: <https://record.umich.edu/articles/senate-assembly-elects-conway-lippert-spencer-sacua>. For information about your rights to SACUA and Senate Assembly support as a governing faculty member (for example SACUA review in cases of dismissal of tenured faculty) please see the University of Michigan Faculty Handbook.

Faculty Council makes Official Requests to SACUA

On 23 April 2018 a group of faculty (see the minutes at the link below for attendees) representing Faculty Council submitted an official request to SACUA from Faculty Council on behalf of the UM-Flint faculty. Requests included that 'If individual faculty members contact SACUA or Ann Arbor regarding Flint governance issues, we ask that these individuals be redirected through the proper campus channels of faculty governance, by either contacting Faculty Council, or bringing their concerns to the Governing Faculty.' SACUA and Senate Assembly Chair Robert

Ortega, per the meeting minutes, stated that ‘It was a matter of principle for all Senate members to have access to Senate Assembly and SACUA, that SACUA could receive the concerns of all Senate members given Senate Assembly’s role in representing university-wide, as opposed to local, governance.’ To view the full presentation and other requests delivered to SACUA please see the following link, which also includes SACUA’s approved minutes.

[SACUA minutes APPROVED-42318.pdf](#)

GOVERNANCE POLICY HIGHLIGHT

The Centuries-Long Struggle: Centralization versus De-Centralization in Higher Education

There is one issue that best defines the challenge of governance in higher education: democratic expertise-based decision-making versus centralized decision-making. The Board of Regents determines which structure UM will have—they decided on shared governance such that those with expertise normally have the greatest input. UM’s system is de-centralized by virtue of delegated authority to both administrators and the faculty. Nevertheless, the UM Senate Assembly and SACUA, which represent all faculty across the institution in institutional governance, have spoken up when pressures to centralize have arisen. In 2007 a communication to the Regents asked

What kind of governance is best suited for an institution that wishes to be a global leader in knowledge creation and education during the information age of the 21st century? [...] [In higher education] History teaches us that the command economy does not work, that the best intentions of central planners cannot match the creative ferment of the free market, and that a large system based on a one-way flow of orders from the top down will only stifle innovation, creativity, flexibility and productivity. So too, the university must be aware of turning into a command organization. The university is best understood as a marketplace of ideas, with each faculty member being an intellectual and pedagogical entrepreneur. It is a marketplace that operates best when entrepreneurs are allowed initiative and self-determination. In a university, the tenure-track faculty have a long-term symbiotic relationship with the institution. The relationship can last for an entire career, and faculty members at a top-ranked university are acutely aware that part of their personal global stock is tied to the reputation of the university (which in turn is tied to the reputation of the faculty). The self-motivation of faculty to ensure that the institution remains ahead of its competitors is enormous. Enabling and channeling the ideas that emerge from the creative ferment associated with faculty who are among the best in the world is the challenge for the administration, and it requires multi-directional communication. This multi-directional

communication may not be comfortable, and it may not be quick, but it is at the heart of what we call “faculty governance” at the university level in the UM model.¹¹

The 2007 Communication to the Regents explained that centralized authority, referred to as ‘the command model’ is a different way of doing things:

The command model is very seductive. [...] Decisions can be made quickly. [...] The problem with this *modus operandi* is that it can lack sufficient dynamism and resources for complex times and issues. Furthermore, it relies on the vision of a single person. Even if the leader has formed a leadership team, the team tends to be monolithic and to reinforce a single response. Team members are chosen for their supporting roles based on their personal loyalty, or their affinity, or their degree of “fitting in.” Institutions that follow this model can rise and fall on the strength of the individuals who lead them. Yet, no matter how gifted any current leader may be, eventually every institution will make a poor choice for leader with potentially catastrophic results. The advantage of collegial governance is that it is not dependent on one individual. Western universities as an organization, with their tradition of faculty governance, have lasted for a long time, an order of magnitude beyond that of business corporations. [...] Some institutions are too large for a single person to administer; therefore, hierarchical structures are put in place to permit different levels and units to interact with each other. Unfortunately these structures are generally created as patronage appointments from above. Therefore, the leaders in the hierarchy have a vested interest to control the flow of information to the top in a fashion that keeps the *status quo* and enhances their own reputation in the eyes of the leader. Furthermore, the administrative bureaucracies that need to exist in any complex institution gain power by their proximity to central administration. They have an immense self-interest in maintaining the *status quo*, enhancing the power of the center, and controlling the flow of ideas and information to the leaders around which they coalesce.¹²

Symptoms of centralization in universities follow a recipe. As a leader increasingly collects power and information in his/her own office, it is used to control information and place that person at the center of all decision-making. In such systems, the more central power an administrator collects unto him/herself, the greater the incentive for faculty to curry favor by advancing administrator agendas for a promised reward; this is especially effective when others are disengaged, threatened, intimidated, or disillusioned and do not provide a check and balance. Faculty might have good

¹¹ ‘Governance in Academe,’ Regents Communication, 2007.

¹² ‘Governance in Academe,’ Regents Communication, 2007.

reasons for supporting an administrator's vision and many administrators have great ideas for streamlining procedures and improving the unit, but support that pushes centralization forward at the expense of faculty expertise is the kind that disregards policies, prevents transparency, and provides blind obedience to actions that may harm others for the promise of administrative appointments or other favor.

In 2007 UM Governance leadership called for the following to counter such an imbalance of voices in governance:

Recognize the benefit of informed discussion by the stakeholders. The faculty of this University offers a tremendous resource both in their individual areas of expertise and in their great variety of perspectives. One of the elements of the genius of Abraham Lincoln was manifest in his choices for members of his cabinet. They were all strong men who voiced their disagreement with vigor. [...] Universities last because of their integration of faculty voices early in the decision-making process. [...] Do not confuse management with administration. The core element of any university is the interaction of the faculty and the students. Administrators are needed to support the faculty and students, and to accomplish the business that enables research and education to happen. They take their name from this service role: ministers or administrators. Ideally, administrators come from the faculty because they understand the issues of scholarship and teaching. The best administrators take care to listen to their faculty colleagues regularly and respectfully.¹³

UM has encountered its own challenges with moves towards centralization. In 2013, SACUA and the Senate Assembly passed a resolution against the centralization of administrative services into organizational hubs. The resolution opposing the initiative is public.¹⁴

To guard against slippage from a de-centralized model of shared governance that prioritizes expertise in decisions, faculty and administrators need to know what centralization of authority looks like. If you can't identify it, you can't fix it. Below are selected symptoms of centralization. Some of these might originate from sound justification and worthy motivation, or might be suitable solutions to a unique problem, but these symptoms do centralize power and/or control information, whether intended or not. The sum of their impact is greater than their parts.

Symptoms of Centralization:

In Budget:

1. Blockages in the chain of delegated authority: UM-Flint has de-centralized budgeting. Just as schools, colleges, and offices enjoy considerable freedom in using their budgets, their sub-units (departments and programs) should enjoy this same freedom. Centralization happens when the chain of

delegation halts before it gets those with the greatest expertise needed for effective use of resources.

2. Exclusion from decision-making: Within departments and programs, centralization can occur when chairs/directors excessively control access to information, such as withholding budgets and expenditure reports. As the Regents stipulate: 'Each department shall be organized in such a manner as to provide general participation by staff members in the management of departmental affairs.'¹⁵

3. Overreach: The Regents delegated authority to act on unit budgets to executive committees (some units have management teams), but departments also have authority to oversee budgets (with accountability to unit budget authorities). Centralization may occur when an executive committee inappropriately reaches down into department/program decisions or up into campus-wide decisions. According to the Regents, executive committees act on behalf of the faculty for budget and promotion and tenure; acting does not negate the importance of consulting.

4. Lack of transparency: Fiscal information is tightly controlled. School/college and department/program budgets, including budgets of administrative offices and expenditure reports, are not accessible to all unit faculty as they should be.

5. Lack of consultation: A principle of the UM Senate Assembly stipulates that: 'Budgetary policies and decisions directly affecting those areas for which the faculty has primary responsibility such as, but not limited to, curriculum, subject matter and methods of instruction, research, faculty status, admission of students and those aspects of student life that relate to the educational process shall be made in concert with the faculty.'¹⁶

In Bullying:

1. Bullying of others is tolerated if not cultivated.
2. The climate is one of intimidation, retaliation, and cronyism.
3. Faculty are pressured not to dissent and those who do are marginalized.

In Hiring:

According to the UM Senate Assembly: 'The governing faculty of each academic unit shall establish the policies and procedures of each academic unit governance entity in relation to: [...] faculty appointments.'¹⁷

1. Boundaries are blurred by having faculty and administrative seats on faculty searches.

Excerpt from Best Practices in Hiring from Indiana State:

¹⁵ Regents Bylaws Sec. 6.04.

¹⁶ Principles of Faculty Involvement in Institutional and Academic Unit Governance at the University of Michigan, Part A, 6 <http://facultysenate.umich.edu/wp-content/uploads/sites/22/2015/02/Faculty-Senate-Principles-and-Regent-bylaws-updated-.pdf>.

¹⁷ Principles of Faculty Involvement in Institutional and Academic Unit Governance at the University of Michigan, Part B, 3.

¹³ 'Governance in Academe,' Regents Communication, 2007.

¹⁴ See <C:\Users\owner\Desktop\sac12-02-13.pdf>.

As a general policy, campus and University-wide administrators with hiring authority should refrain from serving on search committees charged with hiring personnel whose appointments are principally as faculty members. To do otherwise would blur distinctions between the purviews of executive authority. . . , thus jeopardizing the ability of departments and programs to screen candidates and make hiring recommendations independent of administrative influence and control.

2. *Ranking*: Judgment shifts from experts to individual administrators, such as if units are prohibited from ranking candidates.
3. *Faculty exclusion*: Faculty are excluded from setting standards and reviewing qualifications, while those with less expertise take on these tasks, such as when an administrator rather than the discipline's supervisor negotiates directly when making an offer.
4. *Changing policies*: Deans and executive committees change hiring policies without faculty approval thereby shifting authority over unit procedures away from the governing faculty.¹⁸ [Executive committees may propose policy changes for the faculty to consider—they do not simply impose policies.]¹⁹
5. *Resources are leveraged*: Resources are threatened pending compliance with administrative priorities/demands.
6. *Minority experts*: Faculty committees unnecessarily put disciplinary experts in the minority.
7. *Shifting post priorities*: Post allocation priorities are set according to administrative rather than governing faculty criteria.
8. In administrative or staff searches, appointed faculty are recruited almost exclusively through other administrators rather than through open calls for nomination.

In Policies:

1. Faculty and administrative leaders cultivate a culture of contempt for policies and procedures.
2. There is no accountability for following procedures.

In Promotion and Tenure:

1. *Changing procedures*: Policies for review are changed without governing faculty approval.
2. *Documentation*: Reviews and votes are not adequately documented, increasing the opportunity for misrepresentation and administrative opinions to take precedence.
3. *Displacement*: Approval over-emphasizes administrative rather than faculty judgment.

In Faculty Compensation:²⁰

¹⁸ As previously cited: 'The governing faculty of each academic unit shall establish the policies and procedures of each academic unit governance entity in relation to: [...] faculty appointments.

¹⁹ Per the Bylaws of the Board of Regents, Sec. 5.06.

²⁰ See the Principles of Faculty Involvement in Institutional and Academic Unit Governance at the University of Michigan, Part A.

Unarticulated standards: Units lacks review criteria (like a rubric) approved by their governing faculty to assess merit compensation. Instead, administrators set merit pay criteria, which can be influenced by cronyism, favoritism, and retaliation.

In Staffing:

1. *Shifting supervision*: Staff responsible for departments/programs are supervised by an administrator instead of faculty supervisors, shifting loyalty and obligation to the administrator instead of the faculty.
2. *External review*: Staff are reviewed by an administrator instead of the department that they serve.
3. *Redistribution of staff*: Staff are redistributed to disrupt loyalty and discipline/department-specific training that otherwise strengthen relationships between staff and faculty and staff and students.
4. *Staff reporting*: Administrators ask staff to report on faculty or departments without their knowledge.
5. *Staff expertise*: Staff are prevented from developing a sense of belonging and expertise within a department (disrupting loyalty and effectiveness).

In Advancement:

1. *Cronyism*: Opportunity for advancement is based on favor.
2. *Elections only as 'recommendations'*: Administrators or executive committees disregard leadership elections and other departmental decisions.
3. *'At the pleasure of'*: Positions of authority are defined by administrators as being at their pleasure instead of at the pleasure of the faculty.
4. *Limited access*: Faculty professional development is controlled by a single administrator, instead of having multiple avenues for resources.
5. *Administrator-selected committees*: Elections for standing committees, leadership positions, and recommendations for task forces, special committees, are controlled through an administrator or his/her staff instead of governing faculty representatives.
6. *Conflict of Interest*: Centralization of authority can also occur through exploitation of conflict of interest, such as if those who depend upon an administrator or faculty supervisor for position, privilege, or title serve on committees, boards, or in other roles that are otherwise supposed to ensure accountability for that administrator or supervisor.

In Committee Governance:

- I. *Cliques and over zealous leaders*: Committee chairs go beyond their powers as described in Robert's Rules or committee standing rules and exclude members from committee business.
- II. *Lack of Transparent Communication*: Committee group messages do not go to the whole group on a regular basis, or meetings of leaders with executive officers are not accurately

4. 'The faculty shall participate in the determination of policies and procedures governing compensation of faculty.'

reported upon or routinely have exclusive participants. Information between administrative leaders and committee members or the governing faculty is tightly controlled and not verifiable.

III. *Acting for*: Committees or their leaders take action without proper procedure.

In Departmental Governance:

1. *Chairs/directors exceed powers*: Powers of departmental leaders are expanded or defined without the approval of the faculty in the department/program.
2. *Appointments*: Chairs/directors are appointed through administrative favor rather than faculty support.
3. *Pretence of representation*: Chairs, directors, and other leaders are consulted on school/college-wide matters instead of the governing faculty. Input from supervisors is often taken to constitute consultation of the faculty.
4. *Tenure in office*: Chairs/directors are promised indefinite terms, eliminating accountability to faculty.
5. *Refusal to participate in parliamentary procedure*: Governing faculty in departments and programs are prevented from following parliamentary procedure (Roberts Rules) or are obstructed from drafting, ratifying, and practicing their own bylaws (such as through inappropriate imposition of decanal or executive committee approval).
3. *Disregard for expertise*: Decisions of departmental faculty are regularly overturned by the executive committee and/or administration.

For questions or comments about the newsletter contact the UM-Flint AAUP Chapter: flintaup@umflint.edu.

The information provided by contributors is accurate and up-to-date to their best ability and based on the information available to them. Comments regarding additional information on a subject or alternative perspectives are welcome. Please also direct these to the address above.