

FACULTY AND THE GOVERNING BOARD: SHARED GOVERNANCE FROM A FACULTY PERSPECTIVE

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Kellie Toon

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Dedication

For Kaleb and Evan,
My sons, my sun, the light of my life.

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Abstract

Shared governance is the foundation of governance in higher education; a process of joint decision-making whereby governing boards, administration, and faculty share a voice in institutional decision-making. The shared governance structure necessitates a relationship among the governing boards, administration, and faculty; however, scholarship on how the three bodies of shared governance interact in the governance process is limited, particularly the relationship between faculty and the governing board. A 2009 Association of Governing Boards (AGB) survey examined the relationship between governing boards and faculty to determine how they collaborate on institutional governance but included no faculty in the study. This study replicated and modified the original survey to examine faculty perceptions of their role in higher education governance and, more specifically, the perceptions of the shared governance relationship between faculty and the governing board. In contrast to the findings from the AGB survey that reported the relationship to be positive and healthy, the findings from the current study determined that faculty perceived trustees to have almost no awareness of the faculty role, to have more influence in decision-making than faculty, and limited direct engagement with faculty. The findings of this study support the literature that points to vast discrepancies in faculty and trustee perceptions of their roles. Additionally, it is reasonable to conclude based on the faculty perceptions that the shared governance structure is a necessary, but fragile model of governance. Despite the frustrations, challenges, and pervading discrepant perceptions, faculty strongly believed that an engaged working relationship between faculty and the governing board is necessary for the effective governance of institutions.

Table of Contents

Chapter 1: Introduction and General Information	1
Statement on Shared Governance of Colleges and Universities	4
Statement of the Problem	8
Purpose of the Study	11
Research Questions	12
Significance of the Study	13
Definitions	14
Organization of the Study	15
Chapter 2: Review of Literature	16
Shared Governance: Roles and Relationships.....	16
Roles and Relationship: Administration and Faculty	16
Roles and Relationship: Governing Board and Administration	23
Roles and Relationship: Faculty and Governing Board.....	30
Conclusion.....	35
Chapter 3: Methods and Procedures	37
Research Design.....	39
Site and Population.....	40
Sources of Data and Instrumentation	41
Procedures	43
Data Analysis	43
Limitations and Delimitations.....	44
Chapter 4: Findings.....	48
Demographic Data.....	49
Findings.....	50
Chapter 5: Summary, Conclusions and Recommendations.....	68
Summary of Findings	69
Discussion and Implications.....	70
Conclusions	79
Recommendations for Future Research	80
A Final Word.....	81

References	82
Appendices.....	97
Vita.....	135

List of Tables

Table 1 Joint Responsibilities	6
Table 2 Data Analysis	45
Table 3 Predicted Analysis	47
Table 4 Participant Demographics.....	51
Table 5 Scale Reliability	53
Table 6 Faculty and Trustee Involvement: Reliability	53
Table 7 Faculty and Trustee Involvement: Factor Loadings	54
Table 8 Faculty Awareness	56
Table 9 Trustee Awareness	58
Table 10 Faculty Influence	60
Table 11 Trustee Influence	62
Table 12 Faculty and Trustee Involvement	65
Table 13 Areas of Involvement.....	65
Table 14 Thematic Responses	67

Chapter 1

Introduction and General Information

Shared governance has a rich and complex history in higher education. Although not formalized as a guiding principle of academic governance until the mid-twentieth century, its complicated historical roots can be traced back to the founding of American colleges. The Carnegie Commission on Higher Education (1973) defines governance as “the structures and the processes of decision making” (p. vii). What differentiates governance in higher education from that of the corporate world is that it is a “...system, composed of structures and processes, through which faculty, administration, and other campus constituents make collective institutional decisions” (Eckel, 2000, p. 16). It is a process of joint decision-making whereby all key participants, governing boards, administration, and faculty ideally share a voice in institutional decision-making. Although it is ostensibly fundamental to the way college and university systems are run, its efficacy in the academic world is complicated by its contentious past, uncertain present, and tenuous future.

The governance structure of American higher education was set in motion with the founding of Harvard in 1636. The early American reformation colleges, frustrated with the distrust of faculty governance at English Oxford and Cambridge universities, adhered to the Scottish model of governance, resting full authority in an external lay board and a strong president (Thelin, 2011). The establishment of the Harvard Charter in 1650 further solidified this structure as it established a governing corporation of seven persons, including a president, five fellows, and a Treasurer. While the Charter granted administrative control to the President and Fellows, it maintained final approval of all decisions to be at the will of the donors and Overseers of the college. The 1650 Harvard Charter set the tone for the shared governance of the

President and the external board and placed the ultimate authoritative power in the external board, a dynamic that exists to this day (Harvard Charter, 1650). Thelin (2011) maintains that the problem with governing boards is that they were (and continue to be) largely political, uninformed on educational matters, and have historically had few checks and balances with regard to their decision-making thus granting them almost exclusive control over all matters academic. Historically, board power was often vested in the university president who served as a representative of the Board which, in many instances, limited even his or her power (Thelin, 2011). During the early establishment of reformation colleges, faculty were relatively young and inexperienced and were granted almost no voice in matters of school governance (Brubacher & Rudy, 1999). Although faculty at Harvard attempted to gain some influence early on, the distrust felt by the lay boards eventually led to faculty being removed from any form of governance at Harvard in the late 18th century. However, by 1826, Overseers issued a new set of statutes that distinguished external from internal control and laid an early, if somewhat vague, foundation for faculty professional authority and shared governance (Brubacher & Rudy, 1999).

Although a strong board/president structure dominated American higher education for more than 200 years, history tells the story of the changing relations between faculty, administration, and the governing boards. An era of significant change within the country's colleges came in the years 1860-1890. Following the Morrill Act of 1862, the number of institutions quadrupled from 200 to over 1,000 in a 30-year span. During this time, faculty began to travel abroad to gain the specialized knowledge needed to develop curricula designed to meet the needs of a more diverse student population. The specialization and professionalization of faculty during this era created a need for faculty inclusion in academic governance (Finkelstein, 1983). Additionally, Brubacher and Rudy (1999) propose that the end of the 19th

century was the greatest period of growth for the office of the President. Movement into the 20th century saw record student enrollment and it was during this time that presidents were less concerned with carrying a teaching load and, out of necessity, became more focused on the administrative oversight of the college. As faculty sought more of a voice in academic matters, it was strongly opposed by the external boards and presidents. Tensions built as faculty were reprimanded, disciplined, and dismissed when their views were not parallel with the administration and governing boards (Finkelstein, 1983). The founding of the American Association of University Professors (AAUP) at the turn of the twentieth century gave faculty the platform they needed to fight the strong administrative establishment and procure their rights and place in the governance structure (Finkelstein, 1983; Lucas, 2006; Gerber, 2010).

Historically, the founding of the AAUP is associated with defending academic freedom and tenure. The landmark 1915 document, *Declaration of Principles on Academic Freedom and Academic Tenure*, was based on the idea that faculty, like doctors or lawyers, must have the autonomy to carry out their mission, to share their knowledge without fear of reprisal. While the 1915 statement laid the foundation for academic freedom, it also laid the foundation for the inclusion of faculty in academic governance. The Declaration insisted that faculty, not external boards, must have judicial say in situations that affect their fields of academic knowledge. The AAUP maintained that while faculty are appointed by trustees, the appointing authorities do not have the competency to intervene in the professional functions of the scholar.

In 1916, an AAUP governance committee was formed (Committee T) to examine the role of faculty in university governance. Shortly after its establishment, they surveyed approximately 100 institutions across the country to determine the extent to which faculty were involved in academic governance. The results, published in 1920, revealed that few institutions had yet to

adopt the idea of shared governance. The first attempt to codify the concept of shared governance came with a formal committee resolution in 1921. The resolution called for direct communication between trustees and faculty, a faculty role in appointing, promoting, and removing teaching staff, as well as in the selection of deans and presidents.

Over the next three decades, subsequent institutional surveys given nationwide revealed a growing acceptance of the shared governance norms sought by the AAUP and “...demonstrated a clear correlation between the extent of faculty governance at an institution and the academic status of that institution” (Gerber, 2015, para. 26). By 1960, the first formal AAUP investigations, focusing specifically on academic governance violations, were conducted. Institutions violating the norms of shared governance as prescribed by the AAUP were placed on sanction lists. The AAUP resolutions, statements, and investigations bolstered the necessity of including faculty in academic governance. By 1966, with the momentum shifting in this direction, the AAUP joined with the American Council on Education (ACE), and the Association of Governing Boards (AGB), to issue the first joint *Statement on Shared Governance of Colleges and Universities*.

Statement on Shared Governance of Colleges and Universities

The 1966 *Statement on Shared Governance of Colleges and Universities* laid the foundation for shared governance as a guiding principle for university governance and was the first formal statement to be adopted by organizations representing faculty, governing boards, and administration. The joint nature of the statement indicated broad acceptance of the AAUP argument for the need for all key participants in higher education to have a voice in the governance process. Although the Statement holds no force of law, it provides a framework for a model of governance in institutions of higher education that calls for shared responsibility among

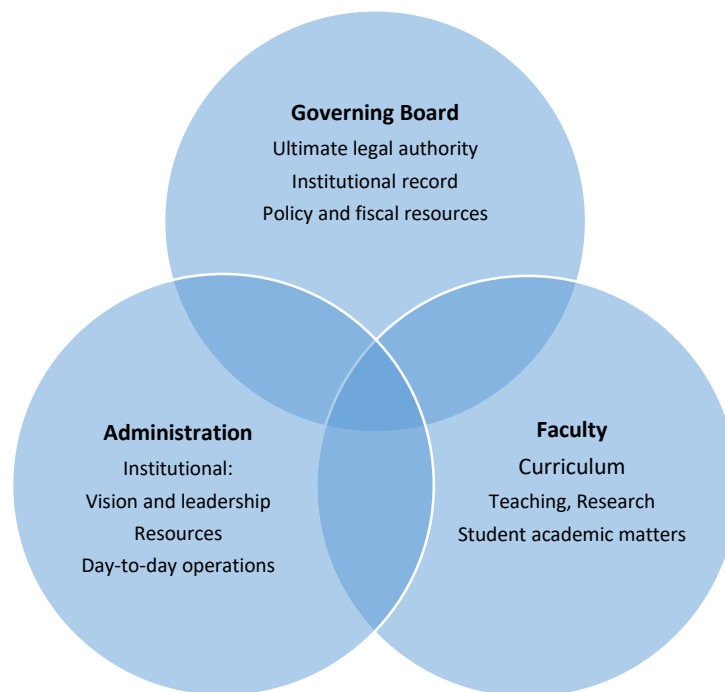
governing boards, administration, and faculty. For the first time, the Statement formally delineated the responsibilities, assigning each body a role in the process of shared governance.

Theoretically, if adhering to the Statement, shared governance would create a governance structure that provided ownership of decision-making among the faculty, governing board, and administration. Shared governance, as explained by the Statement, is a joint effort, however, the decision-making participation of each entity varies by designated responsibility. Table 1 highlights the overlapping responsibilities of each entity. The Statement refers to students as integral “institutional component”, but there is no designated section on student responsibilities in the governance process (AAUP, 1966; Moazen, 2012).

In addition to joint responsibilities in the governance process, the Statement delineates primary responsibilities for each constituent. Figure 1 illustrates the roles of each member of the governance model. As highlighted in Figure 1, the governing board, while preserving the heritage and simultaneously heralding the future of the institution, holds the dominant and ultimate legal institutional authority. The board entrusts the day-to-day leadership and academic enterprise to administration and faculty. The board secures and maintains the capital resources needed to ensure institutional financial stability and has the final authority on key financial and academic policy decisions (Kezar, 2006). The administration of the institution as defined in the AAUP model of shared governance, lies in the Office of the President. As an agent of the board, the president oversees board directives at the institution, manages day-to-day operations, and ensures compliance with federal, state, and local laws as well as campus and community issues (Lane & Kivisto, 2008; Rhoades, 1995). The president is the principal conduit of information between faculty and the governing board as interaction and communication between them is limited.

Table 1: Joint Responsibilities

	Board	Administration	Faculty
General Education Policy	X	X	X
Long-range Planning	X	X	X
Decisions on Physical Resources	X	X	X
Budgeting	X	X	X
Promotion and Tenure	X	X	X
Allocation of resources	Primary	Administrative	Advisory
Presidential Selection	Joint	None	Joint
Selection of Academic Deans	None	Primary	Advisory

**Figure 1: AAUP Delegated Roles of Responsibility**

Furthermore, it is the president's role to help minimize the knowledge gap for board members who have limited experience in academia; they help bridge the divide between what trustees know and what they need to know to manage their board responsibilities (Collins, 2013). The president creates and maintains institutional resources, champions a vision for the institution, and moves others toward seeing that vision to a reality. The president is the voice of the institution and operates within the general support of the board.

The 1966 Statement denotes faculty as the primary professional authority for all matters pertaining to curriculum, subject matter and methods of instruction, research, faculty status, and aspects of student life which relate to the educational policy. Faculty are delegated the right to set the requirements for the degrees offered, determine when those requirements have been met, and authorize the president and the board to grant the degrees. Faculty play the primary role, with approval of the president and board, to determine faculty peer appointments, tenure, and dismissals.

Because not all governance decisions that need to be made fall easily into separate groups the need for joint, collaborative decision-making is essential (Eckel, 2000). The Statement acknowledges five means of communication that connect the faculty, administration, and governing board. The five means of communication as noted in the Statement 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 (American Association of University Professors, 1966, p. 4).

The Statement's reference to these mechanisms for communication among faculty, administration, and the governing board is essential in illustrating the means through which all

entities were designated to interact with and influence one another in a cooperative governance model.

While the 1966 Statement provided a model for academic governance, it was not binding and left open the probability of conflicting interests. If governance is about power and who has a voice in that power structure, the challenge arises when there are competing voices and values to those sharing in the process. While shared governance is the goal, participants are often focused on their own respective agendas complicating the governance dynamic (Del Favero & Bray, 2005; Rosovsky, 1990).

Statement of the Problem

A 2003 national report on the challenges facing academic governance found that while faculty, administrators, and trustees all strongly believed in the concept of shared governance, there was little agreement on what it meant or how to achieve it (Tierney & Minor, 2003). The report's findings categorized varying perceptions of how shared governance might work in three ways: *fully collaborative* where joint decision-making and consensus is the goal; *consultative* which is more of a communicative model whereby faculty opinion is sought but authority remains with the administration and board; and *distributed* which maintains that faculty have rights in certain areas and the administration and board in others. A subsequent report identified similar variations in perceptions on faculty's role in governance, however, it included a viewpoint a bit direr as it suggested that due to unprecedented changes in higher education, faculty should be eliminated from the governance process (Minor, 2003). These discrepant interpretations are important because conflict occurs when people have dissimilar views about how the process should work; differing perspectives yield relationships laden with conflicting interests. Perceptions are important in building a solid relationship. Positive perceptions predict

smooth collaboration; negative perceptions predict hurdles to be overcome (Bess, 1988; Birnbaum, 1988; Del Favero, 2003; Del Favero & Bray, 2005).

The interdependent nature of shared governance makes it difficult to examine the roles and relationships in the context of shared governance independently from one another. Relationships are shared negotiated experiences that are “...created and sustained through contact, conversation, and a common life over long periods of time...” (Finch and Mason, 2000, p. 164). The shared governance structure encourages a relationship among the governing board, administration, and faculty that is supported by trust, respect, and communication, and has a shared purpose to support the mission of the institution (Buck & Highsmith, 2001). Shared governance is a shared responsibility that ultimately serves to connect and balance the governance structures that contribute to institutional decision-making and the relationships within this structure are vital to organizational effectiveness (Johnston, 2003; Wheatley, 1999). Studies that examine structural or role-related analysis of governance often question whether relationships or structure are more important for effective governance (Del Favero, 2003; Del Favero & Bray, 2005; Kaplan, 2004; Kezar, 2004; Kezar & Eckel, 2006; Minor, 2004; Shattock, 2002; Wheatly, 1996; Wheatly, 1999). While some studies suggest that structure is more effective because it can be managed more directly than social interaction, Kaplan (2004) found that “structures of governance do not appear to account, in a significant way, for variance in outcomes among institutions of higher education” and ultimately, organizations only thrive to the extent that relationships are central to the decision-making process (Del Favero, 2003; Kaplan, 2004, p. 31; Kezar, 2004; Wheatly, 1996). Effective governance is not just an efficient structure or allocation of responsibility, it is the understanding and management of meaning that

creates a sense of common purpose that balances the relationships among the governing board, administration, and faculty (Shattock, 2002; Minor, 2004; Trow, 1990).

The relationship between decision-makers is central to academic governance, therefore, understanding the perceived relationships between the three bodies of shared governance is essential. However, scholarship on how groups interact in the governance process is limited. The relationship between faculty and administration is the most tangible and densely documented relationship in the three tiers of shared governance. Faculty and administration have an historically challenging relationship that has led to widely divergent perceptions of their roles within the institutional governing framework (Bensimon, 1991; Blackburn & Lawrence, 1995; Dill, 1991; Leslie, 2003; Peterson & White, 1992). Faculty place high value on academic values, academic freedom, and autonomy within their discipline; however, the desire for autonomy engenders innate resistance to authority and creates a challenging working relationship with institutional administration (Del Favero & Bray, 2005; Etzioni, 2000). Administration views faculty as having more influence in decision-making than faculty believe they have (Minor, 2003). This discrepancy in perception yields a complicated dynamic in shared decision making and effective governance (Del Favero & Bray, 2005, p. 58; Guffey and Rampp, 1998).

The relationship between the governing board and administration is not as clearly documented as the faculty/administrator relationship. Much of the existing literature focuses on the roles and responsibilities as they relate to one another rather than the relationship itself. There is an inherent challenge in studying the relationship between the governing board and administration. Governing boards are difficult to study in isolation and the president, as an agent of the board, often demonstrates reluctance to provide insight into the interworking of the relationship (Dexter, 1970; Holstein & Gubrium, 1995; Kezar, 2006; Seidman, 1991). While

understanding this relationship may be difficult, it should not be assumed that there is not a relationship. What is known is that these two entities of shared governance interact on a regular basis and, if a relationship is created and sustained through shared negotiated experiences and constant contact and conversation over time, then the interactions between the governing board and administration engender an inherent relationship (Finch and Mason, 2000).

While there is limited research on the relationship between administration and governing boards, there is even less empirical research that examines not only the relationship, but any interactive dynamic between faculty and governing boards (AGB, 2009; Kezar, 2006; Larsen, 2001; Tiede, 2013; Tierney, 2005). What does exist is largely anecdotal and published by either the American Association of University Professors, or the Association of Governing Boards (AGB), both of which have the potential for inherent bias in their commentary. What little is known about this relationship is complicated by a lack of understanding, and at times, a lack of interest in one another's roles (AGB, 2009; Kezar, 2006; Larsen, 2001; Tiede, 2013; Tierney, 2005).

If relationships are central to organizational effectiveness, then understanding the perceptions of the existing relationships is paramount. As it stands, there is currently a significant gap in what we know about the perceived relations between faculty and the governing board, specifically when considered from the faculty perspective.

Purpose of the Study

The purpose of the present study was to examine faculty perceptions of the shared governance relationship between faculty and the governing board, specifically faculty attitudes toward their perceived levels of awareness, influence, and involvement with the governing board in academic governance matters.

Research Questions

The research questions that guided this study were:

Question 1: How aware are faculty with the roles and responsibilities of higher education shared governance and how does this perception of faculty awareness differ by years of teaching experience, faculty senate experience, and administrative experience?

Question 2: How do faculty perceive the awareness of trustees with the roles and responsibilities of higher education shared governance and how does this faculty perception of trustee awareness differ by years of teaching experience, faculty senate experience, and administrative experience? How do perceptions of faculty awareness and trustee awareness differ?

Question 3: What do faculty perceive to be their level of influence in higher education governance decisions and how does this perception of faculty influence differ by years of teaching experience, faculty senate experience, and administrative experience?

Question 4: What influence do faculty perceive trustees have in higher education governance decisions and how does this faculty perception of trustee influence differ by years of teaching experience, faculty senate experience, and administrative experience? How do perceptions of faculty influence and trustee influence differ?

Question 5: How do faculty perceive the level of involvement between faculty and the governing board in higher education governance decisions?

Question 6: Do faculty believe a working and engaged relationship is necessary for shared governance to work effectively?

Significance of the Study

While structure in organizational management creates a well-defined hierarchy with clearly delineated roles and responsibilities and efficient decision-making mechanisms, it is the relationships among employees that are formed within the organizational structure that affect morale, trust, employee retention, and subsequent productivity (McFarlin, 2018). When we examine the relationships within the higher education shared governance structure, we learn that governance outcomes are often more directly related to institutional culture than structural arrangements (Kaplan, 2004). “Colleges and universities are not simply the sum of the structural units that produce and disseminate knowledge within them; they are also places where symbolic and abstract cultural meanings are created” (Tierney & Minor, 2004, p. 85). The 2009 Association of Governing Boards study, *Faculty, Governing Boards, and Institutional Governance* investigated the relationship between boards and faculty to determine how faculty and boards collaborate on institutional governance. The study found that governance works well overall at most of the surveyed institutions and reported the relationship between faculty and the governing board as being positive and healthy. One glaring limitation to the study, however, was that it surveyed the perspective of board chairs, presidents, and chief academic officers, but included no faculty in the study. Therefore, the one documented study concerning board-faculty relationships and the role faculty play in system wide decision-making did not include the faculty perspective (AGB, 2009). Understanding perceptions of relationships is critical; when people maintain different perceptions about how a process should or does work, it fuels conflict and negates positive forward movement. With the current gap in knowledge about the perceived relationship between faculty and the governing board, one tier of the shared governance structure is tenuous. The present study attempted to bridge this gap as it examined the perceived relationship that exists between faculty and the governing board as observed by faculty and

provided insight into what faculty know and understand about the governing board. Revealing this knowledge was critical to ensuring that all layers of the higher education governance structure not only understand one another but can work together to create effective institutional and system-wide governance.

Definitions

Administration: As defined in the AAUP *Statement on Shared Governance of Colleges and Universities*, the administration of an institution rests in the Office of the President. The president serves as an agent of the board and the primary source of information exchange between faculty and the governing board. For the purposes of this study, reference to administration will imply the Office of the President.

American Association of University Professors: Principal organization dedicated to protecting the academic freedom of university professors.

Association of Governing Boards: Principal organization dedicated to governance in higher education.

Faculty: As defined in the AAUP *Statement on Shared Governance of Colleges and Universities*, faculty are the primary professional authority for all matters pertaining to curriculum, subject matter and methods of instruction, research, faculty status, and aspects of student life which relate to the educational policy. For the purposes of this study, faculty are or have been full-time, instructional, tenured or tenure-track university employee whose primary responsibilities include teaching, research, and/or service.

Governing Board: As defined in the AAUP *Statement on Shared Governance of Colleges and Universities*, governing boards have the ultimate legal institutional authority to make final decisions on key financial and academic policies.

Trustees: Title given to the members of the University Governing Board.

Organization of the Study

This study was organized into five chapters. The first chapter provided the background and purpose for the study. The second chapter offered the reader an in-depth review of the literature documenting the historical and existing relationships among the governing board, administration, and faculty. The third chapter delineated the methods and procedures used in conducting the study. The fourth chapter presented the findings of the study and the fifth chapter provided a summary of the study and the findings, discussion of the findings, conclusions and recommendations for further research.

Chapter 2

Review of Literature

The purpose of this study was to examine faculty perceptions of the relationship between faculty and the governing boards, in order to glean a clearer understanding of how faculty perceive their level of awareness, influence, and involvement with the governing board in academic governance matters. Although empirical literature supporting relationships in shared governance is limited, a review of the relevant literature follows in this chapter. The chapter is divided into three sections that examine what is known about the roles and relationships that exist between administration and faculty, administration and the governing boards, and the governing boards and faculty.

Shared Governance: Roles and Relationships

Roles and Relationship: Administration and Faculty

The administration of the academic institution, as delegated by the *AAUP Statement on Governance* (1966), falls primarily in the hands of the president who is measured largely by his or her capacity for institutional leadership. The role of administration within the context of shared governance is to work toward the institutional good. The president shares administrative responsibility as he or she works to plan, organize, direct, and represent the interests of the institution. As the designated overseer of the institution, the president holds the legal authority to make final decisions. Administration manages activities, coordinates operations, ensures work is properly performed, and is focused on problem-solving and decision-making at the institutional level (Westmeyer, 1990).

Although governance participation varies among institutions, faculty play a significant role in academic governance (AGB, 2010; Minor, 2003; Waugh, 2003). The *AAUP Statement on Governance* (1966) granted faculty authority over professional matters including curriculum,

subject matter and methods of instruction, research, faculty status, and aspects of student life which relate to the educational policy. With content expertise, faculty were granted professional authority to set the requirements for the degrees offered, determine when those requirements had been met, and authorize the president and the board to grant the degrees. Subsequently, Birnbaum (1991) cited four functions of faculty within academic governance:

- 1) Contribute to the management of a college or university; 2) provide a forum for faculty debate and resolution of institutional policies; 3) develop a shared understanding of or consensus among faculty on educational or institutional goals; 4) symbolize commitment to professional values and authority. (p. 59)

The role granted to faculty in higher education, specifically within the purview of tenure and academic freedom, allows for a freedom of expression virtually unheard of in the corporate world (Larzenon, 1997, p. 12).

The relationship between faculty and administration, within the context of shared governance, is the most widely addressed topic in the governance literature. This is likely because it is the most tangible relationship in the three tiers of shared governance. Shared governance is the means through which faculty professional knowledge becomes functional and operational (Nelson, 2010). Together, administration and faculty engage in daily interaction to keep the institutions operating; therefore, that there is more literature on this dynamic than any other, is really of no surprise. Historically, it was expected that faculty would focus on their specific fields or areas of research and the administration would run the institution; however, the shifting nature of faculty work and responsibilities, the responsibilities of the president, and the types of decisions faced by both made faculty involvement in governance not only necessary, but more complex and shifted the dichotomous view of governance into a blended role of shared governance (Benjamin & Carroll, 1999; Del Favero & Bray, 2005; Keller, 2001; Morphew, 1999). Much of the literature on the faculty/administrator relationship has revolved around the

relational dynamics of faculty and administration and quite often how the dynamics of the relationship impact institutional governance.

Although calls have been made to place value on the faculty-administrator relationship and partnership, emphasizing that "...the relationship between decision-makers is central to the concept of college and university governance" (Del Favero, 2003, p. 906; Lazerson, 1997), much of the literature has largely supported two widely divergent cultures between faculty and administration that highlights a conflicting view of the faculty-administrator relationship within shared governance (Baldrige, Cutis, Ecker & Riley, 2000; Beccher, 1989; Bess, 1988; Birnbaum, 1988; Corson, 1968; Birnbaum, 1988; Clark, 1987, 1991; Del Favero 2003; Del Favero & Bray, 2005; Dill, 1991; Etzioni, 2000; Morpew, 1999; Westmeyer, 1990). Although there is literature that describes the relationship as a two-way street that is functioning and reciprocal with both groups describing their relationship as productive, collaborative, positive and improving (Chronicle of Higher Education, 2013; Thompson, Hawkes, & Avery, 1969; Weingartner, 1996), much of it paints a dire image of a disjointed, conflict laden partnership mired with pervading conflicts of interests, and an absence of shared knowledge that frustrates collaboration and cooperation and facilitates a widening chasm between the two groups (Birnbaum, 2004; Gerber, 1997; Lucas, 2006; Moazen, 2012; Mortimer, 2007; Parker, 1998; Van Ast, 1999; Westmeyer, 1990). These differences complicate shared decision-making and create obstacles to effective governance (Del Favero & Bray, 2005; Guffey and Rampp, 1998). Del Favero and Bray (2005) maintain that "...the partnership between faculty and administrators...is a fragile one, characterized by lack of harmony and large doses of mistrust" (p. 55). Thelin (2001) maintains that the lack of trust is a 'dry rot' that is eroding the campus community (p. 11, as cited in Del Favero & Bray, 2005, p. 55).

Discrepancy in faculty-administrator perceptions of their perceived and actual governance roles within higher education further fuels the complicated relationship. The shared governance model delegates to faculty a significant role in decision-making; however, it is difficult to examine perceptions of faculty participation in governance as there is little agreement on what their role is or should be (Hamilton, 1999; Tierney & Minor, 2003). The literature paints two competing viewpoints concerning faculty's role in shared governance. The traditional viewpoint espouses the idea that faculty involvement in shared governance is essential and that not including them would lead to organizational discord that could 'impair the fundamental function of higher education'. Furthermore, including faculty in the governance structure protects faculty interests and ensures that institutions remain committed to the academic mission as faculty involvement has positive effects on academic freedom and educational quality (Birnbaum, 1988; Floyd, 1985; Gerber et al, 1997; Gerber 2001; Minor, 2003; Gerber, 1997; Tierney & Minor, 2003). "Leaving faculty out of the decision-making process...increases the likelihood that academic values will not be served..." (Waugh, 2001, p. 94).

Conversely, there are those who argue for a more severe restructure of academic governance, one that calls for limited faculty involvement, if not complete removal of faculty from the process. Although increased external pressures and accountability require more faculty participation, the calls for reform suggest that the established structures of governance are not suitable for the current economic and political decision-making environment (AGB, 1996; Del Favero & Bray, 2005; Duderstadt, 2001; Minor, 2003; Tierney & Minor, 2003). The Association of Governing Boards (2010) argue that higher education is a competitive marketplace and the public demands greater accountability. Literature supporting this perspective indicates that institutions must be able to respond quickly to external demands and the time it takes to involve

faculty in the decision-making process is more of a hindrance (AGB, 1996; Birnbaum, 1991; Dimond, 1991; Duderstadt, 2001; Gerber, 2001; Jordan, 2001; Kissler, 1997; Minor, 2003; Gerber, 1997). Further, Bowin and Tobin (2015) argue that although academic programs need faculty support, allocation of resources and pedagogical initiatives will be most successful when centralized and left to administrative leadership. From this perspective, difficulties with change are due to shared governance and faculty participation in this governance structure should be something peripheral if not an obstacle to overcome or avoid all together (Association of Governing Boards, 1996; Benjamin, Carroll, Jacobi, Krop & Shires, 1993; Eckel, 2000; Kennedy, 1994; Schuster, Smith, Corak & Yamada, 1994; Waugh, 2003).

Since the 1966 AAUP *Statement on Governance* was published, literature on both sides has supported the notion that the perceived tension between faculty and administration is either cultural and/or structural (Baldrige, Curtis, Ecker, & Riley, 2000; Clark, 1987, 1991; Dill, 1991; Etzioni, 2000). The root of the structural limitations is attributed to the professionalization of administrative work that formalizes faculty participation in governance. It is argued that the organizational environment exacerbates the existing cultural differences between faculty and administration. Further, complex decision-making structures complicate participation (Birnbaum 1988; Dressel, 1981; Guffey & Rampp, 1998). From a cultural perspective, it is argued that faculty are often more concerned with academic values, academic freedom, and place a high value on autonomy. Faculty see their role as advancing their discipline and, as such, they are often more focused on their discipline than the institution (Del Favero & Bray, 2005; Etzioni, 2000). Within this innate desire for academic autonomy, there is a natural resistance to authority. Barber (1993) maintains that faculty have an unrealistic view of authority and their resistance to it is problematic for effective institutional governance as it disengages faculty from

affairs of the institution (Austin, 1990; Barber, 1993; Bess, 1998; Clark, 1991; O'Brien, 1998; Westmeyer, 1990). Furthermore, a 1968 landmark study by Dykes, later replicated by Moazen in 2012, found that these perceptions have subsisted for more than 40 years. In both the initial and replicated studies, faculty exhibited some reluctance, but a desire nonetheless to participate in governance (Dykes, 1968; Moazen, 2012). However, there was found to be a difference in what they thought their role in governance was and/or should be and the reality of that role (Dykes, 1968; Moazen, 2012; Sheridan, 1995). Although faculty maintain they desire a strong presence in academic governance, they show no real interest in participating (Boruch, 1969; Dykes, 1968; Heimberger, 1964; Moazen, 2012). Subsequent studies found discrepancy in faculty perceptions of how involved they are in the governance decision-making process and the influence they believe they have in those decisions (Abbas, 1986; Dykes, 1968; Moazen, 2012; Schuster & Finkelstein, 2006; Sheridan, 1995; Tierney & Minor, 2003; vanBolden, 1983). To further this, there exists discrepancy in the perceptions administration and faculty have of each other's roles and influence in decision-making. In a national survey of over 2,000 faculty and provosts, Tierney and Minor (2003) found widespread disagreement over the meaning of shared governance and the role faculty play in the process. While academic administrators believed that faculty have influence in decision-making, they also maintained that at times faculty involvement inhibits responsive decision-making. The same survey produced a counter-view by faculty that they believe they do not have substantial influence in decision-making within their institutions and they are dissatisfied with their level of involvement (Minor, 2003; Tierney & Minor, 2003). "Although the majority of respondents believe that shared governance is important and that sufficient trust and communication exists between constituents, there is significant dissatisfaction with how faculty are involved in decision-making" (Minor, 2003, p. 968).

It is argued that faculty must be actively take part in influencing the common good of the institution; however, many studies cite apathy and a lack of trust as barriers to faculty involvement in institutional governance (Braskamp and Wergin, 1998; Boruch, 1969; Dykes, 1968; Moazen, 2012; Tierney & Minor, 2003). Diekhoff (1956) argued that if university administrations limit faculty sovereignty within the governance structure, it will greatly weaken the institutional foundation. Stout et al. (2014) furthered this argument by maintaining that because academics play a key role in determining university affairs, faculty must actively participate in institutional governance. However, if faculty deem the expectations of this participation requires too much energy or places too many demands on them, they will demonstrate hesitancy to become engaged in the process. This in turn is quite problematic for shared governance as it relies on quality faculty leadership (Stout, Neem, Graham, & Andrews, 2014). To balance this, it has been suggested that administration must work toward understanding faculty needs as well as understanding how the organizational culture contributes to the governance process (Birnbaum, 1988; Tierney, 1991). Administrators are most effective when they view faculty as a key component of the governance structure and place value on the academic culture and governance (Johnston, 2003).

Although faculty involvement in academic governance can occur on many levels, “...meaningful involvement is achieved when multiple constituencies are able to communicate with one another across multiple venues” (Tierney & Minor, 2004, p. 92). There are studies that support that both administration and faculty believe shared governance is an important part of an institution’s values and identity and that communication among constituents is making sufficient progress [although it is perceived higher from the administrative point of view] (Minor, 2003). However, continuous discord hinders responsiveness to the changing needs necessary in

governance (Tierney, 1991). There is literature that calls for revitalized governance systems that are forward-looking and relationship-focused and place increased attention on the human dynamic, including establishing a common cause, connection, and community among faculty and administration (Benjamin & Carroll, 1996, 1998; Braskamp & Wergin, 1998; Greer, 1997; Gumport, 2000; Kezar & Eckel, 2004; Peterson & White, 1992; Rhoades, 1995; Schuster, Smith, Corak & Yamada, 1994; Tierney, 1998). Although the empirical literature that shines light on the quality of interactions that produce trusting relationships is limited, understanding the relationship between faculty and administration is necessary to better understand shared governance (Breslin, 2000; Del Favero & Bray, 2005; Westmeyer, 1990).

Roles and Relationship: Governing Board and Administration

According to the AAUP *Statement on Governance* (1966), the governing board upholds the mission of the institution, celebrates its history and champions its future. The board maintains the ultimate legal authority to make final decisions on all matters academic and financial. There exists limited empirical literature related to studying the roles and relationship between governing boards and administration. Outcomes of board performance are difficult to isolate and measure. Many studies that have attempted to study governing board performance examined them in isolation of their environment rather than as a part of a system, or in relation to the institutions they serve, as it is difficult to examine an entire system (Kezar, 2006). Due to Sunshine Laws, many board meetings are ceremonial so even studies that include board observations only provide surface understandings. Subsequently, the president, an agent of the board, demonstrates reluctance to provide open insight into the interworkings of the relationship (Dexter, 1970; Holstein & Gubrium, 1995; Kezar, 2006; Seidman, 1991). Therefore, much of what it is learned in the literature is focused on the roles and responsibilities as they relate to one another, rather than the relationship itself.

The existence of a lay governing board differentiates American higher education from the rest of the world. Since their inception, “governing boards [have been] invested with the ultimate authority to make policy and key decisions for America’s colleges and universities” (Kezar, 2006, p. 968). Although boards vary across the states in terms of structure, all serve the same basic underlying roles including to “...supervise higher education institutions for the public good...” (Kezar, 2006, p. 969). Shared public governing boards are usually appointed by governors and are distinctive in that they are a part of the system of governance, not independent decision-makers (Kezar, 2006). Many of the designated roles and responsibilities of trustees are defined by historically documented charters, bylaws, and organizational guidelines and, while the ever-changing roles and evolving responsibilities are not always codified in these documents, boards have the same basic underlying principles and roles (Collins, 2013; Kezar, 2006). The Association of Governing Boards (AGB) often lays out these roles and responsibilities. In 2007, the AGB published a *Statement on Board Accountability* noting that boards are “...accountable to (1) the institution’s mission and cultural heritage, (2) the transcendent values and principles that guide and shape higher education, (3) the public interest and public trust, and (4) the legitimate and relevant interests of the institutions various constituencies” (p. 2). The board is responsible for defining the educational mission of the institution, as well as determining academic programs and the quality of the learning experience. As such, the AGB recommends that boards should make themselves aware of educational research and service programs of an institution that ensure undergraduates have a comprehensive general education program. They must determine and evaluate assessments of educational quality and understand accreditation.

In 2010, the Association of Governing Boards further delineated the *Statement on Board Accountability* with its publication of the *Statement on Board Responsibilities*. This statement

focuses on a board's responsibility for institutional governance. As noted in the 2007 *Statement on Accountability*, fundamentally, boards are accountable for the mission and heritage of the institution and maintaining the values inherent in higher education. "Board members are responsible for being well-informed about and for monitoring the quality of educational programs and pedagogy" but must also respect the historical culture of decision-making (AGB 2007, p. 4). The board delegates the authority to faculty to make education and curricular based decisions, but they maintain the right to override the decisions. Governing boards should take caution, however, to not negate nor impose decisions for which they may not fully understand the consequences (Shattock, 2002). Boards and presidents should plan and allow time for consultative decision-making, recognizing that effective institutional governance is more likely when there is joint responsibility and collaboration among all parties (AGB, 2010). Thus, the role of all involved in the decision-making process should be made clear.

Additionally, trustees serve as university ambassadors to external community stakeholders (Fisher & Koch, 1996; Keohane, 2006; Collins, 2013; Nason, 1982). Boards serve as buffers between colleges and political structures and act as the bridge to state government leaders. They are accountable to the public and serve as advocates for the university and higher education. As such, they must commit to accountability and transparency with all constituents. Boards are responsible for ensuring open communication and setting an expectation of candor and an open exchange of information.

A governing board is responsible for final administrative policy oversight in academic affairs, strategic planning, budget management, collective bargaining, and facilities planning (AGB, 2007, 2010; Nason, 1982). In addition, boards must maintain accountability for the fiscal integrity of the institution (AGB, 2007). The board approves and establishes guidelines for

resource allocation. While the day-to-day operation and resource allocation decisions are delegated to the president, the board has the ultimate legal responsibility for approving and monitoring institutional annual budgets and its fiscal welfare and are warned not to delegate final budget determinations.

As the economic and political climate directs more power to higher education governing boards, more challenges and criticisms to board performance abound in the literature (Conger, Lawler, and Finegold, 2001; Kezar, 2006; Lazerson, 1997). Boards are faced with increased regulatory requirements that must be met with decreasing funds (Conger, Lawler, and Finegold, 2001; Kezar, 2006; Lazerson, 1997). Trustees often view colleges/universities as entities that can be restructured following corporate models and they have little patience for accommodating president and faculty appeals to move slowly and consider faculty prerogatives. It is argued that governing boards frequently overstep their authority, threaten the historical foundation of shared governance, fuel conflicts of interest, micromanage, make partisan decisions based on divisive politics and focus too much on finances instead of people (Conger, Lawler, and Finegold, 2001; Kezar, 2006).

To balance these challenges and criticisms, there is literature that suggests that boards should move away from an operational focus to a leadership focus (Carver, 1997). Boards should lead rather than manage and focus on strategic leadership, clear communication, and respectful relationships (Carver, 1997; Kezar, 2006). Boards "...[should] be involved in more than a perfunctory way with the institutions they serve" (Kezar, 2006, p. 994). An effective governing board will ensure that there is joint goal setting and decision-making between all key constituents (Kezar, 2006). "...relationships have to be a part of the work of the board like budget allocations

or decision-making...successful boards...engage the entire system of governance” (Kezar, 2006, p. 998).

The hiring and sanctioning of the university president is unquestionably one of the most important duties entrusted to the board (AGB, 2006, 2007, 2010; Collins, 2013; Nason, 1982). The selection of the university’s president is “a responsibility that unites the governing board and the president in an intricate partnership... board and presidential effectiveness are interdependent” (Collins, 2013, p. 5-6). Faculty are a part of the process for selecting the new president, but the decision is made by the board. The president serves as an agent of the board and its most essential partner (Collins, 2013). The president/board chair relationship is critical. “The relationship affects how board recommendations are received by the institution as well as the quality of information given to boards to make policy” (Kezar, 2006, p. 993).

As an agent of the board, the president implements board directives, manages day-to-day operations, and oversees compliance with federal, state, and local laws as well as campus and community issues (Lane & Kivisto, 2008; Rhoades, 1995). The 1984 AGB report, *Presidents Make a Difference: Strengthening Leadership in Colleges and Universities*, presidents are provided anecdotal advice on how to effectively work with the governing board. They are encouraged to “...never promise too much, spend time with individual board members, never surprise the board, convince the board to keep their eyes and ears open while keeping their hands off, and consider themselves lucky if they have a good governor or board chair to work with...” (AGB, 1984, p. 94-95).

The Association of Governing Boards of Universities and Colleges (AGB) states, “The nature of the board’s initial charge to the president, as well as the quality and consistency of support it provides, contribute to a president’s success or failure in meeting the range of

responsibilities effective governance requires” (AGB, 2006,p. 11). A board relies on the president as its ‘window’ on the institution and therefore, the Board Chair should “establish and maintain regular and candid communication with the president...” (AGB, 2007, p. 9).

A 2006 AGB Task Force on the *State of the Presidency* recommended that presidents and governing boards embrace “integral leadership” whereby presidents “exert a presence that is purposeful and consultative, deliberative yet decisive, and capable of course corrections as new challenges emerge” (p. 1). The Task Force called on the presidents and governing boards to “partner in leadership with the support and involvement of faculty...” (AGB, 2006, p. 1).

One of the key responsibilities the president has is to serve as the primary conduit ferrying information between faculty and the governing board (AGB, 1984; Collins, 2013; Kezar, 2006; Tiede, 2013). “The university is held together by talk and communication. Presidents cannot command anything...it is important for them to use their power of influence and personality to move the university forward” (Collins, 2013, p. 8). It is the responsibility of the president to help lessen the knowledge gap that can exist for board members as their experiences and backgrounds often lie outside academic parameters. The president must bridge the divide between what trustees know and what they need to know to manage their responsibilities effectively (Collins, 2013). More importantly, an effective administrator understands the academic culture and translates that culture to board members and other constituents outside of the institution (Johnston, 2003). Without this understanding an administrator’s success will be limited (Johnston, 2003, Tiede, 2013). If presidents manage the flow of information efficaciously, the institution will be led by an effective board which “contributes to the strength and integrity of presidential leadership by standing firmly behind the president on contentious issues...” and does not interfere in daily institutional operations (AGB,

2006, p. 13). However, while shared governance serves a purpose, presidents “must resist academics insatiable appetite for the kind of excessive consultation that can bring an institution to a standstill” (AGB, 1996, as cited in Shattock, 2002, p. 243).

University presidents face many external pressures for efficient achievement of performance goals that hinder effective shared governance structures. These pressures cause presidents to focus more on institutional management and less on the process of academic decision-making (Waugh, 2003). With Presidents under pressure to meet performance standards, they feel less accountable to faculty and more accountable to political, business, and government leaders who know little about academic traditions or institutions. More and more administrators are hired from outside academia and the day-to-day operations are handled more from business management models. The historical decentralized faculty-driven process is being replaced with a top-down approach. Financial constraints are having a profound effect on the role of faculty and staff in university governance as administrators contend with how to do more with less. Presidents’ staff are principally accountable to the president rather than faculty or the traditions of the institution. As professionalization of administration and their staff become the norm, faculty find themselves left out of the decision-making process. It is “...resulting in more attention to management goals and less to academic goals” (Waugh, 2003, p. 89).

Although the empirical literature specific to this relationship is limited, understanding the relationship is essential to understanding the complexity of university governance. Alone, neither has the power to move an institution; therefore, it is critical that each understand and respect the delegated roles held by one another and work together to advance the mission.

Roles and Relationship: Faculty and Governing Board

The empirical literature that exists on the faculty and governing board relationship within the context of shared governance is exceedingly limited. Save one study, *Faculty, Governing*

Boards, and Institutional Governance, conducted by the Association of Governing Boards of Universities and Colleges (AGB, 2009), no studies examine this relationship directly. The largely anecdotal literature that has emerged discusses the concerns raised by the lack of clarity in one another's roles, the disjointed communication between the two groups, barriers to engagement, and the importance of ameliorating these issues.

One of the pervading themes in the existing literature is the inherent misunderstanding of one another's roles and responsibilities. Traditionally, faculty and trustees bring very different experiences and skill sets to the governance table and often do not understand one another's backgrounds, intentions, and motivations (AGB, 2009). Historically, it has been expected that "faculty are concerned with academic values, governing boards are focused on responsiveness, and administrators make efficiency a priority" (Del Favero & Bray, 2005, p. 60). Although shared governance is the goal, participants are often focused on their own respective agendas which complicates the relationship because "...they are motivated to engage with each other for very different reasons" (Del Favero & Bray, 2005, p. 58). A part of the challenge faced in this relationship is that each has competing cultural visions of the institution and, although they often understand their own roles, they frequently misunderstand the roles of one another (Del Favero & Bray, 2005; Tierney, 2005). Boards are largely composed of individuals coming from business backgrounds and have certain expectations adherent to those experiences (AGB, 2009). The boards serve the collective good of the institution and have the ultimate authority to make policy for colleges and universities (AGB, 2010; Del Favero & Bray, 2005; Kezar, 2006). Faculty, on the other hand, often do not know who sits on the board or what responsibilities board members hold. "...Faculty awareness of trustees and the actions they take is episodic and minimal" (Tierney, 2005, para 1). Faculty are used to autonomy and self-regulation through peer

review. They tend to be discipline rather than institution focused (Del Favero & Bray, 2005; Etzioni, 2000). A 1993 survey found that “...differing personal agendas and a common “we/they” mentality between faculty and trustees harbored distrust and impeded the strengthening of the faculty role in academic and professional matters” (Van Ast, 1999, p 564). In attempting to bridge this gap, the AGB issued a *Statement on Board Responsibility for Institutional Governance* (2010) that provided principles for board responsibility ultimately calling upon the board to establish effective ways to govern while respecting the culture of decision-making (i.e., shared governance). The statement noted, “Board members are responsible for being well informed about and for monitoring the quality of educational programs and pedagogy” (AGB, 2010, p. 4). The statement called for the board to minimize ambiguous, overlapping areas of governance and clearly define who has the responsibility and authority for what. While the board respects the historical faculty roles and responsibilities in decision-making, and grants this autonomy, they nonetheless maintain the right to override any decision (AGB, 2010). When the lines of responsibilities are not clearly communicated and delineated, it becomes difficult to tell where faculty rights end and the board’s legal responsibilities begin (Morrill, 2002). Misunderstandings are critical as this is when conflict occurs (Tierney & Minor, 2003). There must be “...modest and sustained involvement between the board and the faculty so that an understanding is built around what each group does” (Tierney, 2005, p. 40).

Another area of literature addressing the faculty/governing board relationship concerns the necessity of open channels of communication between the governing board and faculty. Without clear communication, misunderstandings arise. In the current governance structure, the president serves as the primary source of information between the governing boards and faculty.

Communication between governing boards and faculty is thus tightly controlled and mediated. What communication occurs between the two is “...ritualized, infrequent, and limited to specific agenda items” and, in some instances, it is even actively discouraged (Tiede, 2013, para. 2). The 2010 AGB *Statement on Board Responsibility for Institutional Governance* notes that boards should maintain open channels of communication with all campus constituencies including, faculty, staff, and students (AGB, 2010; Tiede, 2013). The board is responsible for ensuring voices are heard and all perspectives are considered (AGB, 2010). Furthermore, Shattock (2002) asserts that “...governing bodies should not be remote from the internal academic discourse...” and in order to “re-balance” university governance, there must be dialog between the governing body and the academic community; the president’s interpretation of the state of institutional affairs should not be automatically accepted. (p. 243). Although consultation and conversation are the root of academic governance, the critical element of communication in governance is too often underestimated and ignored (Mayhew, 1974; Tierney & Minor, 2004). “...The culture of the organization determines communication, and that communication helps constitute governance” (Tierney & Minor, 2004, p. 86). If shared governance is to be effective, open dialog must bridge the gap between lay boards and the academic community (AGB, 2009; AGB, 2010; Shattock, 2002; Tiede, 2013). Association of Governing Boards Director, Andy Louder, describes shared governance as “...an equal distribution between consultation, rules of engagement, and a system of aligning priorities...” (as cited in Arnett, 2018, para 3). Not all governance decisions fall neatly into separate groups, therefore there exists a need for joint, collaborative decision-making (Eckel, 2000). Although faculty alone are not well equipped to govern an institution, they are the most qualified to regulate academic matters; therefore, they must be aptly included in governance decisions that involve their purview (Shattock, 2002;

Tierney & Minor, 2003). If faculty are not meeting their responsibilities, the governing boards have the right, and legal authority, to step in (Tierney, 2005). Shared governance works when the many voices and perspectives inherent in higher education are heard, thus ensuring that changes will be institutionalized (Curry, 1992).

A significant portion of the literature addressing the changing tides of American higher education, sheds light on some existing barriers to effective faculty engagement with the board governance process. External economic and political pressures are calling for a restructuring of academic governance to be more efficient and timelier, with greater levels of productivity (Tierney & Minor, 2003; Waugh, 2003; Del Favero & Bray, 2005; Mortimer & Sathre, 2007). With more accountability to external constituencies, there is less accountability to faculty and internal constituencies (Waugh, 2003). While academic administration traditionally has come from within the faculty ranks (Blackburn & Lawrence, 1995; Cohen & March, 1986; Dill, 1991), this economic shift is encouraging boards to recruit more top-level administrators in from outside the ranks of academia. Day-to-day academic planning, budgeting, and operations are being addressed from a business management model as "...economic constraints are focusing on efficiency and accountability..." (Waugh, 2003, p. 86). Some of the many challenges faced by governing boards and administrators include issues of access, cost to students, program quality, cost to taxpayers, decreasing state support, and a rising cost of tuition. These challenges, fueled by demands to do more with less, place both governing boards and presidents under pressure to meet extreme performance standards arising from politicians, businessmen, and government leaders who know little about academic traditions or institutions. There is a shift with increasingly more attention directed toward management goals and less attention toward academic goals (Tierney & Minor, 2003; Waugh, 2003; Mortimer & Sathre, 2007).

There is literature that supports structured orientations to educate both faculty and trustees on one another's respective roles, the expectations of each regarding those roles, as well as the traditions of higher education and academic shared governance. This literature provides insight into ways to overcome the barriers to faculty/board engagement and to further mutual understanding and respect. One specific study, published by the AGB in 2009, directly examined the relationship between faculty and the governing board in more than an anecdotal or peripheral way. The purpose of the study, *Faculty, Governing Boards, and Institutional Governance* was to investigate the relationship between boards and faculty to determine how faculty and boards collaborate on institutional governance. The study revealed barriers to faculty and board collaboration that substantiate the anecdotal literature. For example, the study found that the relationship was often hindered by a lack of understanding of one another's roles, insufficient time to interact, lack of clarity in governance policies and initiatives, and a general lack of interest in interaction. Amidst the hurdles, however, the study also provided recommendations on way ways to address the barriers. Specifically, the study recommended providing training and orientation on shared governance to both new faculty and new trustees to help to them glean a clearer understanding of both their role as well as the roles and responsibilities of one another (AGB, 2009). According to the study, although 70% of new faculty orientations include a review of the roles and responsibilities of faculty in institutional governance, only 30% of these orientations cover the roles and responsibilities of the governing board (AGB, 2009). Similarly, 88% of new trustee orientations include roles and responsibilities of the governing board and 56% include an orientation into the roles and responsibilities of faculty in institutional governance (AGB, 2009). The 2009 study found that just over 50% of institutions reported that their policies and practices were very similar to the AAUP's stated concept of shared

governance. The 1966 statement described shared governance as “...the principle that final institutional authority resides ultimately in the governing board, and that the board entrusts day-to-day administration to the president who then delegates specific decision-making power to the faculty in their areas of expertise...” (AGB, 2009, p. 7). The reality they reported however, was that few faculty were effectively oriented or prepared to participate substantially in the shared governance process (Birnbaum, 1991; Lee, 1991; Johnston, 2003). Following the AGB report, recommendations were made for ongoing orientations for both entities rather than one-time introductions at the beginning of their tenures.

Although the 2009 AGB report offered the most direct insight into the relationship between faculty and the governing boards, a deeper examination into the study reveals a glaring limitation. Given the reported barriers, the study described overall academic governance as working well at most of the surveyed institutions and the relationship between faculty and the governing board as being positive and healthy. Although the relationship between faculty and the governing board was reported as being positive, faculty were not invited to be participants in the survey. The survey results, therefore, represented the perspective of board chairs, presidents, and chief academic officers, but not faculty, leaving a significant gap in the understanding and perceptions of this relationship.

Conclusion

A review of the shared governance literature highlights examples of challenges in this blended system of higher education governance (Benisom, 1997; Birnbaum, 2004; Carnegie Commission, 1973; Crippen, 2010; Del Favero, 2005; Gerber, 1997, 2001; Moazen, 2012; Mortimer, 2007; Nelson, 2010). A focused literature review draws attention to the often intricate relationship between faculty and administration and focuses on reasons why this strained relationship is detrimental to effective governance (Birnbaum, 2004; Carnegie Commission,

1973; Del Favero, 2003, 2005; Drew, 2010; Gerber, 1997, 2001; Moazen, 2012; Mortimer, 2007; Nelson, 2010). While the dynamic between faculty and administration is well documented in the academic governance literature (Benisom, 1997; Birnbaum, 2004; Crippen, 2010; Del Favero, 2005; Gerber, 1997, 2001; Moazen, 2012; Mortimer, 2007; Nelson, 2010;), the dynamic between faculty and the governing board is only marginally addressed. This is a more difficult relationship to examine as the interaction between the two parties is more tangential. While the existing literature addressing faculty-board relations acknowledges the challenges that exist between the two factions, empirical literature is limited (AGB, 2009; Kezar, 2006; Larsen, 2001; Tiede, 2013; Tierney, 2005).

Amidst the considerable literature detailing the relationship between faculty and administration, there exists studies that examine faculty perceptions of their role in institutional governance. These measures show that there is discrepancy between what faculty believe their role is in institutional governance and the actuality of that role (Dykes, 1968; Moazen, 2012; Sheridan, 1995). The gap in the literature occurs when one considers faculty perceptions of their role in governance with the governing boards at the system level. There is no direct empirical research that examines the relationship dynamic between faculty and the governing boards, or the role faculty perceive they play in system wide decision-making. A 2009 survey published by the Association of Governing Boards of Universities and Colleges (AGB) attempted to offer insight into the dynamic between faculty and governing boards. While the study provided insight into this relationship, a significant limitation of the survey was that it measured the perceptions of governance between faculty and governing boards based on the perspectives of board chairs, presidents, provosts, and chief academic officers. No faculty perceptions were obtained or included in the results; therefore, this study aimed to inform the literature on faculty perceptions

of engagement in governance, with an emphasis on the shared governance relationship between faculty and the governing board.

Chapter 3

Methods and Procedures

The purpose of the present study was to determine the perceptions of faculty regarding their role in higher education governance and, more specifically, their perceptions of the shared governance relationship between faculty and the governing board. The research questions that guided the study were as follows:

Question 1: How aware are faculty with the roles and responsibilities of higher education shared governance and how does this perception of faculty awareness differ by years of teaching experience, faculty senate experience, and administrative experience?

Question 2: How do faculty perceive the awareness of trustees with the roles and responsibilities of higher education shared governance and how does this faculty perception of trustee awareness differ by years of teaching experience, faculty senate experience, and administrative experience? How do perceptions of faculty awareness and trustee awareness differ?

Question 3: What do faculty perceive to be their level of influence in higher education governance decisions and how does this perception of faculty influence differ by years of teaching experience, faculty senate experience, and administrative experience?

Question 4: What influence do faculty perceive trustees have in higher education governance decisions and how does this faculty perception of trustee influence differ by years of teaching experience, faculty senate experience, and administrative experience? How do perceptions of faculty influence and trustee influence differ?

Question 5: How do faculty perceive the level of involvement between faculty and the governing board in higher education governance decisions?

Question 6: Do faculty believe a working and engaged relationship is necessary for shared governance to work effectively?

The methods and procedures used in this study are detailed in this chapter, including the research design, site and population, sources of data, and data analysis.

Research Design

The study used a quantitative survey design. While survey research affords the researcher many advantages, there are also limitations to this methodology. Surveys provide a great breadth of information, but not always depth when it comes to interpreting the underlying meaning behind the data (Gable, 1994). Furthermore, according to Kaplan and Duchon (1988), survey research is inflexible; once disseminated, the questions cannot be modified. Adding to these limitations is the potential for a low response rate, particularly with online surveys when there is little, if any, incentive, and the survey comes through an already overloaded email delivery system (Fricker & Schonlau, 2002). Keeping these challenges in perspective, however, this study utilized a quantitative research design for the advantages it affords, including the breadth of information it can provide. Specifically, survey design gains a wider range of perceptions than would be possible with more in-depth qualitative research and permits the researcher to easily collect and analyze a large amount of representative data (Creswell, 2003; Evans & Mathar, 2005; Gable, 1994; Wilson & Laskey, 2003). The representative sample collected through survey research permits a more generalizable statement about the studied population (Jick, 1983; Gable, 1994). Furthermore, online surveys allow for a timely, efficient means of data collection at times convenient for the respondent (Evans & Mathar, 2005).

The survey design used in this study was based on the Association of Governing Boards survey, *Faculty, Governing Boards, and Institutional Governance* (2009), that examined how the relationship between faculty and governing boards affected their collaboration on institutional governance. The AGB survey obtained data from governing board chairs, presidents, and chief academic officers, but included no faculty in the study. With permission granted by the original AGB researchers, the AGB survey was replicated and modified in this study to include the faculty perspective.

Site and Population

The research was conducted at a large, southeastern, multi-campus system of state public institutions. The University system is governed by a 12-member Board of Trustees, including one non-voting student member. Board membership consists of business and community leaders from across the state, each appointed by the governor. The University system is comprised of four primary academic institutions and three institutes. There is a system presence in every county in the state. For the purposes of this research faculty at the four academic institutions and two of the three institutes were surveyed. These sites were selected as they are dedicated to teaching and research and have an active faculty senate governance structure in place. The remaining institute was not surveyed as its primary function is for advocacy and training; no degrees are conferred.

The largest campus is in the eastern part of the state. It is the state's flagship, land grant university, founded in 1794. It is a Carnegie Classified Research 1 institution. There are 1,567 full-time instructional faculty instructing more than 900 programs of study and serving 28,321 undergraduate and graduate students. The faculty senate governance on the flagship campus is also comprised of faculty from two of the three institutes.

The second largest campus is in the western most part of the state. There are 1,490 full-time faculty serving 3,199 students. This institution, opened in 1911, is the state's public academic health system focused on health science education and research.

The third largest campus is in the southeastern part of the state. It was founded in 1886, and officially became a part of the larger state system in 1969. It holds a Master's L Carnegie Classification awarding 200 or more Master's level degrees. There are 466 full-time instructional faculty who teach more than 11,000 undergraduate and graduate students in approximately 100 programs.

The smallest of the state's academic institutions is in the western part of the state. Founded in 1900 as a private institution, it officially became a part of the larger system in 1927. The institution is a Carnegie Classified M2 awarding between 100 and 199 Master's level degrees. It serves approximately 6,800 undergraduate and graduate students. There are 300 full-time instructional faculty who instruct in the 100 academic programs and areas of study offered by the university.

This study surveyed 2,915 full-time, tenured or tenure-track, instructional faculty across all disciplines, at all four academic institutions and two institutes. Adjunct and part-time faculty were not surveyed. The study aimed for a 10% survey response rate to allow for a greater breadth of faculty perspectives on their relationship with the governing board.

Sources of Data and Instrumentation

With permission granted by the Association of Governing Boards, the survey used in this study was a replicated and modified version of the original AGB survey on *Faculty, Governing Boards, and Institutional Governance* published in 2009. The purpose of the Faculty Governance Perception Survey (FGpS), and subsequently the purpose of this study, was to measure faculty

perception of engagement in higher education governance matters and, more specifically, their perceptions of the shared governance relationship between faculty and the governing board.

The purpose of original 2009 Association of Governing Boards survey was to examine how the relationship between faculty and governing boards affected their collaboration on institutional governance. It consisted of three parts, *Faculty and Governing Boards*, *Engagement/Interaction between Governing Boards and Faculty*, and *Shared Responsibilities for Institutional Governance*. All sections combined had a total of 17 closed-ended questions, each with sub-set questions. Some of the closed-ended questions were blended with open-ended follow up questions that examined the respondents' perceptions of faculty and governing board institutional presence, awareness, and familiarity with one another, respondents' perceptions of the way(s) the two parties interact, and their perceptions of faculty and governing board's interactions through shared governance. The analysis of the original survey was scored on individual items and there was no documented validity or reliability assessment. A copy of the survey may be seen in Appendix D.

The modified Faculty Governance Perception Survey (FGpS), which may be seen in Appendix C, assesses faculty perceptions of engagement in governance. Perception of engagement was defined as an attitude toward one's perceived level of awareness, influence, and involvement in governance matters. Perception of awareness examined faculty familiarity with the governing board, perceived influence examined the degree to which faculty believe they have the capacity to produce an effect in a direct or indirect way, and perceived involvement examined the degree to which faculty believe they have direct interaction and/or active engagement with the governing board.

The FGpS was divided into three parts: *Perceived Levels of Awareness*, *Perceived Levels of Influence*, and *Perceived Levels of Involvement*. Combined, the three parts consisted of 30 closed-ended questions, several with sub-set questions, and five open-ended questions. There were 14 questions omitted from the original survey, 19 questions added to the modified survey that focused specifically on faculty perception of roles held by both faculty and governing board members, and four similar questions with modified language (See Appendix B for Survey Comparisons). The survey concluded with five demographic questions that identified faculty rank, years of teaching experience, tenure status, and whether the respondent had ever served on faculty senate or held an administrative position while maintaining faculty rank.

Procedures

Prior to conducting the study, IRB approval was sought from the Institutional Review Board at each of the four academic universities. A courtesy letter was emailed to each university's Chancellor informing them of the study. A Qualtrics web-based survey was emailed to full-time, tenured or tenure-track, instructional faculty at all four academic campuses and two institutes. The email outlined the parameters of the survey and invited the faculty to participate in the study. Informed consent to participate was included in the survey and return of the survey constituted informed consent (See Appendix A for Informed Consent). Data collection was terminated four weeks after the survey was disseminated. The collected data were exported from Qualtrics to SPSS for item analysis.

Data Analysis

Once the data were exported into SPSS for analysis, data cleaning was performed to determine incomplete data. Omitted surveys included those with non-consent, respondent was not a full-time, tenured or tenure track faculty, or respondent did not complete at least a two-thirds of the survey. An exploratory factor analysis was run on each sub-scale and a Cronbach's

alpha was run to determine the reliability of the scales. Individual questions were analyzed using descriptive statistical analysis to summarize patterns in the data set. A Spearman's rho was run to assess correlation between faculty perceptions and years of teaching experience. An Independent Sample t-test assessed if faculty perceptions differed by those with and without faculty senate and administrative experience. A Paired Sample t-test determined how faculty and trustee perceptions differed. Open-ended responses were thematically analyzed using NVivo. Table 2, Data Analysis, illustrates the sources of data and analysis for each research question.

It was expected that faculty who have held a faculty senate or administrative role would perceive higher levels of faculty and trustee awareness and influence than those faculty who have not served in these roles. It was expected that as faculty years of teaching experience increased, faculty perception of faculty and trustee awareness and influence would also increase. Table 3, Predicted Analysis, illustrates the stated predictions.

Limitations and Delimitations

This study was limited to four public academic institutions within the same state system. With the limited research focus, the findings cannot be generalized. The study utilized a quantitative survey instrument for data collection. No documented reliability or validity testing was done on the original survey, or the modified survey, thus limiting the reliability and validity of the modified survey. While a qualitative study would have allowed for more in-depth perspective and a deeper understanding, the quantitative data collection research method selected provided a wider range of faculty perspectives. This study was limited all faculty who are or have been full-time, tenured or tenure-track instructional faculty. Part-time and/or adjunct faculty were not included as participants in this survey as the nature of their employment is more transient and their interactions with institutional shared governance more limited.

Table 2: Data Analysis

Research Question	Sources of Data	Proposed Analysis
Question 1: How aware are faculty with the roles and responsibilities of higher education shared governance and how does this perception of faculty awareness differ by years of teaching experience, faculty senate experience, and administrative experience?	Perceived Levels of Faculty Awareness: Questions on Awareness Scale 1-8	Descriptive Analysis
	Faculty Awareness by years of teaching experience.	Spearman's rho
	Faculty Awareness by faculty senate experience.	Independent Sample t-test
	Faculty Awareness by administrative experience.	Independent Sample t-test
Question 2: How do faculty perceive the awareness of trustees with the roles and responsibilities of higher education shared governance and how does this faculty perception of trustee awareness differ by years of teaching experience, faculty senate experience, and administrative experience? How do perceptions of faculty awareness and trustee awareness differ?	Perceived Levels of Trustee Awareness: Questions on Awareness Scale 9-14	Descriptive Analysis
	Trustee Awareness by years of teaching experience.	Spearman's rho
	Trustee Awareness by faculty senate experience.	Independent Sample t-test
	Trustee Awareness by administrative experience.	Independent Sample t-test
	Faculty and Trustee Awareness	Paired Sample t-test
Question 3: What do faculty perceive to be their level of influence in higher education governance decisions and how does this perception of faculty influence differ by years of teaching experience, faculty senate experience, and administrative experience?	Perceived Levels of Faculty Influence: Questions on Influence Scale 1-4	Descriptive Analysis
	Faculty Influence by years of teaching experience.	Spearman's rho

Table 2 Continued

Research Question	Sources of Data	Proposed Analysis
Question3 Continued	Faculty Influence by faculty senate experience.	Independent Sample t-test
	Faculty Influence by administrative experience.	Independent Sample t-test
Question 4: What influence do faculty perceive trustees have in higher education governance decisions and how does this faculty perception of trustee influence differ by years of teaching experience, faculty senate experience, and administrative experience? How do perceptions of faculty influence and trustee influence differ?	Perceived Levels of Trustee Influence: Questions on Awareness Scale 5-9	Descriptive Analysis
	Trustee Influence by years of teaching experience.	Spearman's rho
	Trustee Influence by faculty senate experience.	Independent Sample t-test
	Trustee Influence by administrative experience.	Independent Sample t-test
	Faculty and Trustee Influence	Paired Sample t-test
Question 5: How do faculty perceive the level of involvement between faculty and the governing board in higher education governance decisions?	Faculty and Board Involvement: Questions on the Involvement Scale 1-2	Descriptive Analysis
Question 6: Do faculty believe a working and engaged relationship is necessary for shared governance to work effectively?	Faculty and Board Involvement: Question 2 on the Involvement Scale	Descriptive Statistics
	Faculty and Board Involvement: Question 3 on the Involvement Scale	Thematically Coded with NVivo

Table 3: Predicted Analysis

Predictions	
Respondents with faculty senate experience and administrative experience will have:	• Higher levels of perceived faculty awareness in governance matters; • Higher levels of perceived trustee awareness in governance matters; • Higher levels of perceived faculty influence in academic governance decisions; • Higher levels of perceived trustee influence in academic governance decisions.
As respondent's years of teaching experience increase:	• Perceived faculty awareness in governance matters will increase; • Perceived trustee awareness in governance matters will increase; • Perceived faculty influence in academic governance decisions will increase; • Perceived trustee influence in academic governance decisions will increase.

Chapter 4

Findings

The purpose of the present study was to determine the perceptions of faculty regarding their role in higher education governance and, more specifically, their perceptions of the shared governance relationship between faculty and the governing board. Select faculty from a large southeastern university system participated in an electronic survey. The quantitative survey results were statistically analyzed in order to answer the following research questions guiding this study:

Question 1: How aware are faculty with the roles and responsibilities of higher education shared governance and how does this perception of faculty awareness differ by years of teaching experience, faculty senate experience, and administrative experience?

Question 2: How do faculty perceive the awareness of trustees with the roles and responsibilities of higher education shared governance and how does this faculty perception of trustee awareness differ by years of teaching experience, faculty senate experience, and administrative experience? How do perceptions of faculty awareness and trustee awareness differ?

Question 3: What do faculty perceive to be their level of influence in higher education governance decisions and how does this perception of faculty influence differ by years of teaching experience, faculty senate experience, and administrative experience?

Question 4: What influence do faculty perceive trustees have in higher education governance decisions and how does this faculty perception of trustee influence differ by

years of teaching experience, faculty senate experience, and administrative experience?

How do perceptions of faculty influence and trustee influence differ?

Question 5: How do faculty perceive the level of involvement between faculty and the governing board in higher education governance decisions?

Question 6: Do faculty believe a working and engaged relationship is necessary for shared governance to work effectively?

The findings of the study are presented in this chapter. Following the demographic description of the study population, the findings are presented in terms of the six research questions.

Demographic Data

Two thousand, nine hundred and fifteen surveys were distributed to full-time, tenured or tenure track faculty across the four academic campuses and two institutes that make up one large land grant university system in the southeastern part of the United States. Of this population, 297 surveys were returned, yielding a 10% response rate. Of the 297 responses, 8%, or 222 surveys, were complete enough for data analysis. Surveys that were omitted were a result of non-consent, respondent was not a full-time, tenured or tenure track faculty, or respondent did not complete at least a two-thirds of the survey.

Most survey respondents reported a faculty rank of Professor (96; 46.8%), followed by Associate Professor (54; 26.3%), Assistant Professor (30; 14.6%), Professor Emeritus (7; 3.4%), and finally Instructor/Clinical Instructor (4; 2%). Fourteen faculty responded Prefer not to answer (14; 6.8%).

Most survey respondents were tenured (154; 74.8%), followed by tenure-track faculty (currently non-tenured) (38; 18.5%). Fourteen faculty chose Prefer not to answer (14; 6.8%). The participant responses showed that nearly 40% of faculty had been teaching in higher education for more than 21 years, 21-29 (46; 22.3%), followed by 30+ years (38; 18.5%). Faculty who had been teaching in higher education for 11-15 years equaled the faculty who have been in higher education for more than 30 years (38; 18.5%). This was followed by 6-10 years (33; 16%), 16-20 years (23; 11.2%), and 0-5 years (14; 6.8%). Fourteen faculty chose Prefer not to answer (14; 6.8%).

The final two demographic questions asked faculty if they had experience serving on faculty senate or any faculty senate committees and whether they had held an administrative position while maintaining faculty rank. The majority of faculty responded that they had served on faculty senate or a faculty senate committee (124; 60.5%). Those who had not served accounted for 32% of faculty respondents (65; 31.7%). Sixteen faculty chose Prefer not to answer (16; 7.8%). The divide between faculty who have held an administrative position while maintaining faculty rank (100; 48.8%) and those who have not (91; 44.4%) was split almost evenly. Fourteen faculty chose Prefer not to answer (14; 6.8%). (See Table 4 for Participant Demographics)

Findings

The survey questions were presented in sub-scales that separately examined faculty and trustee awareness, influence, and involvement. A factor analysis was run on each sub-scale to determine if the questions measured a single concept or would result in multiple factors. All but one sub-scale collapsed into a single factor. The factor analysis on each set of

Table 4: Participant Demographics

<u>Rank</u>	<u>N</u>	<u>%</u>
Instructor/Clinical Instructor	4	1.95%
Assistant Professor	30	14.63%
Associate Professor	54	26.34%
Professor	96	46.83%
Professor Emeritus	7	3.41%
Prefer not to answer	14	6.83%
Total	205	100%
<u>Tenure Status</u>	<u>N</u>	<u>%</u>
Yes	154	74.76%
No	38	18.45%
Prefer not to answer	14	6.80%
Total	206	100%
<u>Years Experience</u>	<u>N</u>	<u>%</u>
0-5 years	14	6.80%
6-10 years	33	16.02%
11-15 years	38	18.45%
16-20	23	11.17%
21-29	46	22.33%
30+	38	18.45%
Prefer not to answer	14	6.80%
Total	206	100%
<u>Faculty Senate Experience</u>	<u>N</u>	<u>%</u>
Yes	124	60.49%
No	65	31.71%
Prefer not to answer	16	7.80%
Total	205	100%
<u>Administrative Experience</u>	<u>N</u>	<u>%</u>
Yes	100	48.78%
No	91	44.39%
Prefer not to answer	14	6.83%
Total	205	100%

questions showed the questions were moving in the same direction and thus likely measuring the same concept. As it was unlikely any additional information would have been garnered by breaking the questions out individually, the average mean scores for each scale were used. This approach also helped control for Type 1 error. A Cronbach's alpha was run to determine the reliability for each scale. (See Table 5, Scale Reliability)

The faculty and trustee involvement scale was a more extensive scale. The exploratory factor analysis on this scale resulted in five factors: Institutional and Community Involvement, Non-curricular Involvement, Administrative Involvement, Curricular Involvement, and Board Involvement. A Cronbach's alpha indicated the resulting sub-scales were reliable (See Table 6, Faculty and Trustee Involvement Reliability). The factor analysis reduced the dimensionality of the data and helped yield a more compressed analysis. Factor loadings all above .40 indicated a strong relationship among the variables. The five sub-scales allowed a deeper examination into the faculty perceptions of faculty and trustee involvement (See Table 7, Faculty and Trustee Involvement Factor Loadings).

Research Question 1: *How aware are faculty with the roles and responsibilities of higher education shared governance and how does this perception of faculty awareness differ by years of teaching experience, faculty senate experience, and administrative experience?*

As may be seen in Table 8, the mean awareness score for perception of faculty awareness indicated that faculty perceive themselves to be moderately aware of the roles and responsibilities of higher education shared governance ($M = 3.04$, $SD = .879$). Faculty indicated they were familiar with the American Association of University Professor (AAUP) concept of shared governance ($M = 3.37$, $SD=1.092$), and that policies and practices of shared governance are known, understood, and accepted by faculty at their home institution ($M=3.19$, $SD=1.178$).

Table 5: Scale Reliability

Scale	N	Cronbach's Alpha
Faculty Awareness	8	.839
Trustee Awareness	6	.922
Faculty Influence	8	.873
Trustee Influence	8	.848

Table 6: Faculty and Trustee Involvement Reliability

Scale	N	Cronbach's Alpha
Institutional and Community Involvement	7	.887
Non-curricular Involvement	9	.893
Administrative Involvement	4	.861
Curricular Involvement	4	.901
Board Involvement	4	.857

Table 7: Faculty and Trustee Involvement: Factor Loadings

	1	2	3	4	5
Public/community needs	.885				
Campus safety	.795				
Student diversity and access	.775				
Organizational restructuring	.699				
Student conduct	.658				
Intercollegiate athletics	.620				
Meals, receptions, and other social events held in conjunction with board meetings	.493				
Faculty membership on president-established organizations	.469				
Trustee classroom/laboratory/studio visitation		.817			
Faculty and Trustee membership on foundation committees, including board of directors		.766			
Faculty and Trustee attendance at the same professional meetings		.697			
Faculty and Trustee involvement in admissions, enrollment activities		.674			
Faculty presentations to Board of Trustees		.649			
Trustee membership on school/college advisory entities		.632			
Academic ceremonies, athletic contests and other social events		.630			
Faculty and Trustee involvement in alumni activities		.602			
Faculty and Trustee involvement in fund raising		.590			
Presidential assessment			.887		
Presidential search			.880		
Budget and/or financial matters			.746		
Enrollment management			.672		
Degree requirements				.873	
Curricula				.836	
Online teaching and learning				.794	
Student outcome assessments				.545	
Faculty membership on governing board					.902
Head of a faculty governing body serves as a member on the Board of Trustees					.868
Faculty membership on Board of Trustees committee(s)					.598
Faculty membership on board-established organizations					.532

However, faculty results show that they are not provided a new faculty orientation that includes an introduction and/or review of the roles and responsibilities of the Board of Trustees ($M=2.17$, $SD=1.116$) or the AAUP concept of shared governance ($M=1.90$, $SD=1.016$).

A Spearman's rho was run to assess whether there was a correlation between perceptions of faculty awareness and years of teaching experience. The correlation was not statistically significant ($\rho = .075$, $p = .310$).

An Independent Sample t-test was performed to determine if the perception of faculty awareness differed by those with and without faculty senate experience. It was determined that this was not statistically significant ($t = .325$, $df = 181$, $p = .746$); faculty perception of awareness does not differ by those with and without faculty senate experience. The same test was run to assess whether this perception varied by those with and without administrative experience. This was also found to be not statistically significant ($t = .908$, $df = 183$, $p = .365$); faculty perception of awareness does not differ by those with and without administrative experience.

Research Question 2: How do faculty perceive the awareness of trustees with the roles and responsibilities of higher education shared governance and how does this faculty perception of trustee awareness differ by years of teaching experience, faculty senate experience, and administrative experience? How do perceptions of faculty awareness and trustee awareness differ?

The mean awareness score for faculty perception of trustee awareness indicated that faculty perceive trustees to be less aware of the roles and responsibilities of higher education shared governance ($M = 2.18$, $SD=.996$). Faculty disagreed that trustees were familiar with the AAUP concept of shared governance ($M=2.03$, $SD=1.060$) and they strongly disagreed that

Table 8 Faculty Awareness

	<u>N</u>	<u>Min</u>	<u>Max</u>	<u>M</u>	<u>Std.</u> <u>Deviation</u>
Faculty are familiar with AAUP concept of shared governance.	199	1	5	3.37	1.092
Faculty are aware of the responsibilities and authority of the Board of Trustees.	209	1	5	3.19	1.165
Policies and practices of shared governance are known, understood, and accepted by faculty.	197	1	5	3.19	1.178
The AAUP concept of shared governance describes the policies and practices at your institution.	190	1	5	3.17	1.286
Faculty are aware of the structure and makeup of the Board of Trustees.	211	1	5	3.10	1.181
Your institution has a new faculty orientation that includes an introduction of the roles and responsibilities of the faculty senate.	142	1	5	3.07	1.412
Your institution has a new faculty orientation that includes an introduction of the roles and responsibilities of the Board of Trustees.	128	1	5	2.17	1.116
Your institution has a new faculty orientation that includes an introduction of the AAUP concept of shared governance.	116	1	5	1.90	1.016
Valid N (listwise)	94				

trustees were aware of and understood the roles and responsibilities of the typical faculty member ($M=1.75$, $SD=1.009$). The majority of faculty, however, indicated that they Do not know if trustees were familiar with the AAUP concept of shared governance (119; 53.9%) and 40.3% ($n = 89$) responded that they did not know if the policies and practices are known, understood, and accepted by trustees. (See Table 9, Trustee Awareness)

A Spearman's rho was run to assess whether there was a correlation between faculty perceptions of trustee awareness and years of teaching experience. The test found a significant positive correlation. As years of faculty experience increased, faculty perception of trustee awareness increased ($\rho = .252$, $p = .002$).

An Independent Sample t-test was performed to determine if the faculty perception of trustee awareness differed by those with and without faculty senate experience. It was determined that this relationship was not statistically significant ($t = .695$, $df = 149$, $p = .488$); faculty perception of trustee awareness does not differ by those with and without faculty senate experience. The same test was run to assess whether this perception varied by those with and without administrative experience. This was also found to be not statistically significant ($t = -3.26$, $df = 150$, $p = .745$); faculty perception of trustee awareness does not differ by those with and without administrative experience.

A Paired Sample t-test was used to test if perceptions of faculty awareness and trustee awareness differed. A significant difference was found ($t = 11.513$, $df = 172$, $p < .001$). Although faculty perception of faculty awareness was not high, faculty perceive trustee awareness to be lower than their own (Faculty $M = 3.08$, $SD=.855$; Trustee $M = 2.18$, $SD=.998$).

Table 9: Trustee Awareness

	<u>N</u>	<u>Min</u>	<u>Max</u>	<u>M</u>	<u>Std.</u> <u>Deviation</u> <u>n</u>
New Trustees are provided an orientation of the roles and responsibilities of faculty.	42	1	5	2.64	1.206
Trustees are aware of the structure of faculty governance.	144	1	5	2.62	1.218
New Trustees are provided an orientation that includes an introduction of the AAUP concept of shared governance.	38	1	4	2.16	.973
Trustees are familiar AAUP concept of shared governance.	98	1	5	2.03	1.060
Policies and practices of shared governance are known, understood, and accepted by Trustees.	128	1	5	1.98	1.065
Trustees understand the roles and responsibilities of faculty	165	1	5	1.75	1.009
Valid N (listwise)	36				

Research Question 3: *What do faculty perceive to be their level of influence in higher education governance decisions and how does this perception of faculty influence differ by years of teaching experience, faculty senate experience, and administrative experience?*

As seen in Table 10, the mean score for perception of faculty influence indicated that faculty perceive their level of influence in higher education governance decisions to be moderately low ($M = 2.39$, $SD=.791$). Faculty perceived they have the most influence in the areas of Promotion and Tenure ($M=3.68$, $SD=1.190$) and General Education Policy ($M=3.43$, $SD=1.228$). Faculty perceived their level of influence to drop greatly in the remaining categories with the lowest level of influence in the areas of Budgeting ($M = 1.63$, $SD=.858$) and Presidential Selection ($M = 1.54$, $SD=.823$).

A Spearman's rho was run to assess whether there was a correlation between perceptions of faculty influence and years of teaching experience. The correlation was not statistically significant ($\rho = .115$, $p = .120$).

An Independent Sample t-test was performed to determine if the perception of faculty influence differed by those with and without faculty senate experience. It was determined that this was not statistically significant ($t = -1.06$, $df = 179$, $p = .291$); faculty perception of influence does not differ by those with and without faculty senate experience. The same test was run to assess whether this perception varied by those with and without administrative experience. This was also found to be not statistically significant ($t = .508$, $df = 181$, $p = .612$); faculty perception of influence does not differ by those with and without administrative experience.

Table 10: Faculty Influence

	<u>N</u>	<u>Min</u>	<u>Max</u>	<u>M</u>	<u>Std. Deviation</u>
Promotion and Tenure	208	1	5	3.68	1.190
General Education Policy	196	1	5	3.43	1.228
Selection of Academic Deans	195	1	5	2.49	1.119
Long-range Planning	199	1	5	2.29	1.140
Allocation of resources	192	1	5	1.84	.942
Decisions on Physical Resources	193	1	4	1.79	.877
Budgeting	192	1	5	1.63	.858
Presidential Selection	193	1	5	1.54	.823
Valid N (listwise)	170				

Research Question 4: *What influence do faculty perceive trustees have in higher education governance decisions and how does this faculty perception of trustee influence differ by years of teaching experience, faculty senate experience, and administrative experience? How do perceptions of faculty influence and trustee influence differ?*

The mean score for faculty perception of trustee influence indicated that faculty perceive levels of trustee influence in higher education governance decisions to be moderately high ($M = 3.89$, $SD = .78$). In an almost complete reversal from perceptions of faculty influence, faculty perceived trustees have the most influence in the areas of Presidential Selection ($M = 4.71$, $SD=.738$) and Budgeting ($M = 4.28$, $SD=1.018$) and least influence in Promotion and Tenure ($M = 3.25$, $SD=1.227$) and Selection of Academic Deans ($M = 2.82$, $SD=1.285$). (See Table 11, Trustee Influence)

A Spearman's rho was run to assess whether there was a correlation between faculty perceptions of trustee influence and years of teaching experience. The correlation was not statistically significant ($\rho = -.112$, $p = .142$).

An Independent Sample t-test was performed to determine if the faculty perception of trustee influence differed by those with and without faculty senate experience. It was determined faculty perception of trustee influence does differ by those with and without faculty senate experience ($t = -2.141$, $df = 168$, $p = .034$). Faculty with faculty senate experience ($M = 3.80$, $SD=.777$) perceive trustees to have less influence than faculty who do not have faculty senate experience ($M = 4.08$, $SD=.792$).

The same test was run to assess whether this perception varied by faculty with and without administrative experience. It was determined faculty perception of trustee influence does differ by those with and without administrative experience ($t = -2.707$, $df = 170$, $p = .007$).

Table 11: Trustee Influence

	<u>N</u>	<u>Min</u>	<u>Max</u>	<u>M</u>	<u>Std. Deviation</u>
Presidential Selection	184	1	5	4.71	.738
Budgeting	176	1	5	4.28	1.018
Decisions on Physical Resources	174	1	5	4.24	1.063
Long-range Planning	181	1	5	4.23	1.021
Allocation of resources	176	1	5	4.07	1.104
General Education Policy	169	1	5	3.34	1.263
Promotion and Tenure	186	1	5	3.25	1.227
Selection of Academic Deans	162	1	5	2.82	1.285
Valid N (listwise)	140				

Faculty with administrative experience ($M = 3.74$, $SD=.820$) perceived trustees to have less influence than faculty who do not have administrative experience ($M = 4.05$, $SD=.693$).

A Paired Sample t-test was used to determine if perceptions of faculty influence and trustee influence differed. A significant difference was found ($t = 18.984$, $df = 189$, $p<.001$). Overall, faculty perceived trustee influence to be greater than their own (Faculty $M = 2.37$, $SD=.762$; Trustee $M = 3.91$, $SD=.770$).

Research Question 5: How do faculty perceive the level of involvement between faculty and the governing board in higher education governance decisions?

The mean scores for faculty perception of faculty and trustee involvement indicated that faculty perceive the most involvement emanates from faculty at the institutional governance level ($M = 3.34$, $SD = 1.139$). Faculty disagreed that faculty were engaged with trustees ($M = 2.02$, $SD = .983$) and strongly disagreed that trustees were engaged with faculty ($M = 1.59$, $SD = .759$). Mean scores also indicated that faculty strongly disagreed that joint communication was carried out in an atmosphere of good faith and trust ($M = 1.92$, $SD = .933$). (See Table 12, Faculty and Trustee Involvement)

As seen in Table 13, Areas of Involvement, mean scores indicated faculty perceive faculty and trustees to have low levels of involvement in all five areas. The highest perceived areas of involvement were in institutional/community issues ($M = 2.066$, $SD = .658$) and administrative concerns ($M = 2.04$, $SD = .802$). The lowest levels of perceived involvement were in noncurricular ($M = 1.95$, $SD = .680$), curricular ($M = 1.89$, $SD = .759$), and direct faculty/board involvement ($M = 1.82$, $SD = .712$).

Research Question 6: Do faculty believe a working and engaged relationship is necessary for shared governance to work effectively?

Although the perception was that faculty and trustee involvement in most areas was low, faculty agreed that it is necessary for there to be an engaged working relationship between faculty and trustees ($M=5.86$, $SD=1.721$). In a follow-up question faculty were asked to explain why they believe it is or is not necessary for trustees and faculty to have an engaged working relationship for shared governance to work effectively.

One hundred and twenty-five faculty provided an open response. Responses were thematically analyzed using NVivo. The most commonly cited responses indicated that faculty believe it is necessary for there to be an engaged and working relationship, but they do not believe it is happening. Fifty-one percent of the responses fell under the category, Understanding. Board Disconnect, Need for Understanding, and Lack of Understanding were the three sub-categorical responses. Although the three sub-categories overlapped in many instances, they were still distinctly independent. Board disconnect was the most commonly cited response with 31 responses. These respondents felt that the Board of Trustees, as primarily political and business appointees, were incredibly disconnected from not only faculty, but also the history and traditions of higher education. Twenty faculty cited a need for mutual understanding between faculty and trustees, and 13 responses highlighted the lack of understanding as a reason for why it is necessary for there to be an engaged and working relationship.

Trust was the second main category of responses with 32 responses. The two sub-categories were Relationship and Communication. These respondents felt that relationships and communication build trust which is essential for an engaged and working relationship.

Many of the responses in the two main categories overlapped, with Communication, Need for Understanding, and Trust being cited together most often.

Table 12: Faculty and Trustee Involvement

	<u>N</u>	<u>Min</u>	<u>Max</u>	<u>M</u>	<u>Std. Dev.</u>
Faculty are actively involved in institutional governance at your institution.	201	1	5	3.34	1.139
Trustees and faculty demonstrate collegiality, respect, tolerance, and civility toward one another.	159	1	5	2.59	.982
Faculty are engaged with Trustees.	185	1	5	2.02	.983
Discussion and communication among Trustees and faculty are open and carried out in good faith and in an atmosphere of trust.	172	1	5	1.92	.933
Trustees are engaged with faculty.	181	1	4	1.59	.759
Valid N (listwise)	142				

Table 13: Areas of Involvement

	<u>N</u>	<u>Min</u>	<u>Max</u>	<u>M</u>	<u>Std. Dev.</u>
Institutional	172	1.00	4.00	2.0661	.65752
Administrative	150	1.00	4.00	2.0417	.80191
Noncurricular	170	1.00	4.00	1.9507	.68032
Curricular	149	1.00	4.00	1.8926	.75866
Board	171	1.00	4.00	1.8246	.71200
Valid N (listwise)	123				

A small subset of faculty responses indicated that they believe an engaged and working relationship is necessary as it is the Foundation of Shared Governance (8 responses). Finally, 8 faculty indicated that a working and engaged relationship is an Impossible Relationship for faculty and Trustees to have. Several of these faculty highlighted the difficulty of this relationship and noted faculty and trustees are simply too far removed from one another for there to be an effective working relationship. (See Table 14, Thematic Responses)

In summary, faculty were moderately aware of the roles and responsibilities of higher education and they perceived trustees to have almost no awareness of the roles and responsibilities of the typical faculty member. The more years' experience faculty had, the more awareness they perceived trustees to have. Faculty perceived they had little influence in shared governance decision-making, while they perceived trustees to have substantially more influence. Faculty who serve in institutional governance roles perceived trustees to have less influence than faculty who had not served in these roles. Finally, although faculty perceived low levels of awareness, influence, and involvement between faculty and trustees, they strongly believed that it is necessary for there to be an engaged working relationship.

Table 14: Thematic Responses

Category	# of responses
Understanding	
Board Disconnect	31
Need for Understanding	20
Lack of Understanding	13
Trust	
Relationship	16
Communication	16
Shared Governance	
Foundation of Shared Governance	8
Not Possible	
Impossible Relationship	8

Chapter 5

Summary, Conclusions and Recommendations

The purpose of the present study was to examine faculty perceptions of the shared governance relationship between faculty and the governing board, specifically faculty attitudes toward their perceived levels of awareness, influence, and involvement with the governing board in academic governance matters. Select faculty from a large southeastern university system voluntarily participated in an electronic survey. The quantitative survey data were analyzed using a variety of statistical procedures, including descriptive statistics, Independent and Paired Sample t-tests. The analysis helped answer the research questions that guided this study:

Question 1: How aware are faculty with the roles and responsibilities of higher education shared governance and how does this perception of faculty awareness differ by years of teaching experience, faculty senate experience, and administrative experience?

Question 2: How do faculty perceive the awareness of trustees with the roles and responsibilities of higher education shared governance and how does this faculty perception of trustee awareness differ by years of teaching experience, faculty senate experience, and administrative experience? How do perceptions of faculty awareness and trustee awareness differ?

Question 3: What do faculty perceive to be their level of influence in higher education governance decisions and how does this perception of faculty influence differ by years of teaching experience, faculty senate experience, and administrative experience?

Question 4: What influence do faculty perceive trustees have in higher education governance decisions and how does this faculty perception of trustee influence differ by

years of teaching experience, faculty senate experience, and administrative experience?

How do perceptions of faculty influence and trustee influence differ?

Question 5: How do faculty perceive the level of involvement between faculty and the governing board in higher education governance decisions?

Question 6: Do faculty believe a working and engaged relationship is necessary for shared governance to work effectively?

The chapter includes a summary of the findings, a discussion of the findings with implications, conclusions, and recommendations for future research.

Summary of Findings

1. Faculty are moderately aware of the roles and responsibilities of higher education shared governance. Years of teaching experience, faculty senate, and/or administrative experience did not influence faculty's perception of awareness.
2. Faculty perceive trustees to have little awareness of the roles and responsibilities of shared governance in higher education, and they perceive that trustees have almost no awareness of the roles and responsibilities of the typical faculty member. Years of teaching experience had an impact on faculty perception of trustee awareness; the more years' experience faculty had, the more awareness they perceived trustees to have.
3. Faculty perceive they have little influence in shared governance decision-making. Years of teaching experience, faculty senate, and/or administrative experience did not have an impact on faculty's perception of influence.
4. Faculty perceive trustees to have more influence in governance decision-making than the typical faculty member. Those with faculty senate and/or administrative

experience perceive trustees to have less influence than faculty who have not served in these roles.

5. Faculty perceive they are most actively involved in governance at their home institution, but they do not believe that faculty and trustees are directly engaged with one another. Faculty do not believe that the interactions that do occur between faculty and trustees are collegial, respectful, or tolerant, nor is the joint communication carried out in an atmosphere of good faith and trust.
6. Although faculty perceive low levels of awareness, influence, and involvement between faculty and trustees, they strongly believe that it is necessary for there to be an engaged working relationship.

Discussion and Implications

Before engaging in the discussion around the study's findings, it is prudent to disclose some difficulties encountered in the course of this research that may have limited the findings. One was a protocol technicality that prevented a reminder email from going out to participants. Unfortunately, not sending a reminder limited the opportunity for more responses. Secondly, the survey was administered to all full-time tenured and tenure track faculty within the university system. Although adjunct and part-time faculty perceptions are relevant, given the more potentially transient nature of their employment, and their more limited involvement in day-to-day university processes and subsequently shared governance, the research population was limited to full-time tenured and tenure track faculty. However, I was unaware of a university employment structure that included full-time nontenure track faculty. I was made aware when several of the full-time nontenure track faculty reached out to express frustration and concern that their voice was not valued. Although the mistake was made from inexperience and

unfamiliarity on my part, it nonetheless was a significant gap as it left out a portion of faculty voices that should have been heard in this research.

Keeping the above limitations in mind, the current study was undertaken to provide insight into the faculty perspective of the working relationship between faculty and the governing board. The findings of the study not only substantiated much of the existing anecdotal literature, including the lack of understanding of one another's roles and limited channels of communication, but also overwhelmingly confirmed the literature that highlights the discrepancy in faculty and trustee perceptions regarding their working relationship (AGB, 2009; AGB, 2010; Del Favero & Bray, 2005; Eckel, 2000; Kezar, 2006; Mayhew, 1974; Shattock, 2002; Tiede, 2013; Tierney, 2005; Tierney & Minor, 2003; Tierney & Minor, 2004). Despite the discrepancy in faculty and trustee perspectives, however, the current study revealed that faculty believe there does need to be an engaged working relationship for shared governance to work effectively.

With permission, the current study replicated and modified a 2009 Association of Governing Boards survey, *Faculty, Governing Boards, and Institutional Governance*. The original survey attempted to gain insight into how faculty and boards collaborate on institutional governance and reported that overall academic governance at the surveyed institutions worked well. While some findings from the original survey revealed challenges in this relationship, they nonetheless reported that the relationship between faculty and the governing boards was positive and healthy. The perspectives, however, were provided only by senior level administrators and governing board chairs; no faculty were included in the study. To accurately portray a relationship, all viewpoints must be known. With the faculty perspective omitted, the represented relationship was one-sided with administrators speaking on behalf of faculty. This omission speaks volumes and supports the current study's findings that reveal faculty believe their views

are unknown, unheard, and inconsequential. Indeed, the current study found that faculty were not optimistic about the nature of the relationship and strongly suggested that faculty perceived faculty and trustees to have very different levels of awareness, influence, and involvement in the relationship.

The current findings corroborated much of the literature surrounding the faculty and governing board dynamic that addresses the pervading misunderstanding each has of the other (AGB, 2009; Del Favero & Bray, 2005; Tierney, 2005; Van Ast, 1999). Disparate roles and limited opportunity for engagement promote a ubiquitous lack of awareness that sustains dissimilar perceptions. While faculty believed they had some understanding of the role of a typical trustee, they perceived trustees to have almost no understanding of the roles and responsibilities of faculty. The faculty perceptions from the current research are in sharp contrast to the administrator and board chair perceptions in the original 2009 AGB survey whereby respondents perceived “...the typical trustee’s understanding of the role of faculty in institutional governance [to be] comparable to that of the typical faculty member’s understanding of the role of the governing board...”, perceiving both to understand one another fairly well (AGB, 2009, p. 5). Furthermore, senior administrators and governing board chairs in the 2009 survey felt that they understood and accepted the policies and practices of shared governance; however, faculty in this study perceived the opposite to be true. These oppositional findings between the two studies are a perfect illustration of why the relationship between faculty and the governing board may be so strained. If faculty believe that board members do not understand nor respect their professional roles, yet board members believe that they do understand faculty, this is a problematic discrepancy in perception. Most trustees have never been faculty, and many faculty have never been in the business and/or political world and this may be where the lack of

understanding emerges. Neither fully understand the roles of the other. Honest, transparent, and open faculty responses in the current study offered a great depth of support to the current findings and gave voice to faculty feelings beyond the quantitative data. In these responses, one faculty member spoke of the importance of mutual understanding as a critical component of an engaged, working relationship. *“It is possible that if I had a greater understanding about the board, and they had a greater understanding about faculty, I would understand (and therefore accept) changes they propose...”* Without understanding, there can be no forward movement in institutional governance. To make truly informed decisions regarding academic matters, governing board members must heed faculty experience, knowledge, and input, and subsequently, faculty must be willing to learn about those who govern them.

One of the most common barriers to developing true understanding in the relationship came from what many faculty felt was board disconnect. *“In most cases, Trustees have only an undergraduate degree and are making decisions regarding thousands of faculty with PhDs. That's a problem.”* Primarily political and business appointees, trustees are subject to legislative and external influences. These external influences leave them disconnected not only from faculty, but from the history and traditions of higher education. The disconnect impedes their ability govern effectively. As one faculty member noted, *“...More engagement with faculty (assuming good faith listening on their part) has the potential to help them have a better, more nuanced understanding of what higher education is.”*

Most interestingly, perhaps, are the 40% of faculty respondents who indicated they simply do not know if trustees are aware of the practices of shared governance. This finding is incredibly significant and quite disconcerting. What is *not* known is just as noteworthy as what is perceived to be known. How can there be genuine participation in shared governance, how can it

truly exist, when they do not know about one another? This is more than just a lack of awareness; this speaks to much larger inherent problem. This lack of knowledge implies there has been no training, no discussion, no involvement. While collaboration in shared governance is the goal, pervading misperceptions can continue to yield the misunderstandings that intensify frustration, create conflict and engender mistrust. Because faculty and trustees come from such different backgrounds, they must intentionally and actively work toward acknowledging, understanding, and respecting one another's experiences in order to move forward in establishing a strong working relationship and effectively governed institutions. If not, with their widely divergent backgrounds and experiences, the ubiquitous lack of awareness will continue to sustain misunderstandings and misperceptions until they are able to bridge the divide in what each knows and understands about the other.

Further discrepancy in faculty and trustee perceptions was seen when examining faculty perception of influence. Influence, as defined in this study, is having the capacity to produce an effect in a direct or indirect way. Findings from the current study corroborated the existing literature cited around perceived faculty influence that highlights discrepancy in the perceptions administrators and faculty have of each other's roles and influence in decision-making (Abbas, 1986; Dykes, 1968; Moazen, 2012; Schuster & Finkelstein, 2006; Sheridan, 1995; Tierney & Minor, 2003; vanBolden, 1983). The 1966 *Statement on Shared Governance* identifies clear areas of joint responsibility for each entity in the shared governance model, however, faculty in the current study perceived themselves to have little influence compared to trustees in the shared areas of decision-making. The only section in the 1966 statement designated for faculty and trustees to work directly together was the selection of an institution's president. While the final legal authority rests with the governing board to select the president, by designation of the 1966

statement faculty were intended to share this responsibility directly with trustees. Senior administrators and board chairs from the 2009 AGB survey believed this was where the most substantive interaction with faculty occurred. However, the current study suggested faculty at the surveyed institution perceived themselves to have almost no influence in presidential selection while they perceived trustees to have complete influence in this vital decision. This is a crucial discrepancy in perceptions. The selection of an institution's president directly impacts faculty. To perceive that they have no voice in the decision, undermines the concept of shared governance, devalues the faculty perspective and the essential role faculty are intended to play in their home institution.

Not only did faculty perceive themselves to have limited influence in shared decision-making, they also perceived they had limited involvement with trustees. Involvement, as defined in this study, is having direct interaction and/or active engagement with one another. Comparing the 2009 AGB report to the current survey findings again showed a discrepancy in faculty and trustee perceptions about the nature of their interactions. Nearly half of the senior administrators and trustees in the AGB study characterized the interactions as positive and felt the "climate for interaction...[was] generally good" (p. 6). In contrast, the current study found faculty perceived they had limited direct involvement with trustees, and they were not positive about the nature of the involvement. In open responses, faculty described the interactions with trustees as adversarial, mutually suspicious, extremely problematic, full of misunderstandings and deep distrust. The characterization of these interactions again emphasizes how differently each perceive the nature of the relationship.

While involvement in academic governance can occur in many ways, one area of meaningful involvement often addressed in the literature is the need for open, respectful

communication between governing boards and the academic community (AGB, 2009; AGB, 2010; Shattock, 2002; Tiede, 2013; Tierney & Minor, 2004). The findings from this study, however, suggested faculty do not perceive the communication between faculty and trustees to be open, respectful, or carried out in an atmosphere of trust. The current study findings support the literature that describes the state of communication between faculty and trustees as episodic, tightly controlled, and at times discouraged (Tiede, 2013). The importance of communication in this relationship has been clearly defined since the earliest 1921 AAUP committee resolution which called for direct communication between trustees and faculty. The 1966 joint *Statement on Shared Governance* further reiterated the need for communication with a clearly outlined plan to directly connect faculty, administration, and the governing board. Despite the calls from the earlier 1921 resolution, and the subsequent clarity of the 1966 joint statement, faculty in this study did not believe the channels of communication were open between the two shared governance partners, as expressed in the open responses. “*The right hand needs to know what the left hand is doing...communication is vital, and we have NOT had that.*” Faculty perceived they had limited involvement on administrative bodies and on the governing board, and this level of involvement was the means by which they were intended to communicate. One faculty member echoed the critical need for communication in shared governance noting, “*Shared governance cannot exist without communication...*” Without some level of direct involvement, true shared governance is unlikely. Faculty and trustees must be on the same page, working together toward the same goals and the only means to accomplish this is with open lines of communication.

The faculty’s perceptions of disconnection may well have been enhanced by the state governing board’s recent restructuring of the system which removed faculty from board membership. The means of interaction with faculty can now occur only on smaller sub-

committees. While the small sub-committees will allow for some faculty voice, without direct board involvement the opportunity for open communication with the governing board is all but eliminated. Genuine involvement, and subsequent communication, are essential to link the disconnect between faculty and trustees. Clear, transparent communication and active engagement are the only means for a healthy and productive relationship; the only means to bridge the divide. Communication is the path to trust and trust is the most essential remedying factor in establishing a strong working relationship between faculty and trustees.

The current faculty perceptions of disparate influence and limited engagement brought to light concerns with the 1966 *Statement on Shared Governance*. Although the Statement is often touted as the ruling authority in the governance of higher education, the findings from the current study remind us that the 1966 *Statement on Shared Governance* is merely a blueprint for the concept. While the Statement codifies the concepts and puts a frame around a shared governance model, no institution of higher education is legally bound to its edicts. The AAUP can issue public sanctions on institutions who violate the stated recommendations of the Statement, but they remain, nonetheless, only recommendations. The discrepancies in the expectations of the Statement and the realization of the practice of shared governance strongly implies that shared governance responsibilities as designated by the *Statement on Shared Governance* are not enforced and, perhaps the more accurate implication, are not enforceable.

Despite the discrepancies and difficulties in the relationship, faculty in the current study felt that it is necessary for there to be an engaged, working relationship between faculty and trustees. This was perhaps one of the most telling findings to emerge from the study. This finding suggested that faculty who have been immersed in the world, history, and traditions of higher education understand the need for and value of shared governance. As such, they understand the

essential role of the faculty and trustee relationship. As one faculty member noted, the relationship is the foundation of shared governance, “...a *bedrock principle for academic freedom*”. Despite the stated difficulties, faculty exhibited cautious optimism that the relationship can, and should, work. This is only possible, however, if faculty and trustees are *willing* to engage and work together in a way that respects the different perspectives each bring to the relationship.

This study sought to determine whether years of teaching experience, participation on faculty senate and/or holding or having held an administrative position affected the respondent’s perceptions of the faculty/trustee relationship. The original AGB survey recommended new trustee and faculty orientations as a means of establishing a base of understanding about the roles of one another. The original study also suggested that continued professional development would work best when delivered over time. In considering these recommendations, I was interested in knowing if a faculty member’s institutional experience played a role in understanding. It was expected the more experience a faculty member had, both in terms of years teaching and institutional governance roles, the more aware they would be of the concept of shared governance, how it integrated into their home institutions, and how knowledgeable and influential trustees were in the process. The study found the longer faculty had been teaching in higher education, the more aware they perceived trustees to be about shared governance and the faculty role. It makes sense the longer faculty have been in the world of higher education, the more awareness they would have (or perceive to have) about those who govern them. It would also make sense, however, that faculty in institutional governance roles would perceive trustees to have more awareness as well. It was determined, however, these faculty perceived trustees to have less awareness and, subsequently, less influence than those faculty who had not served in

these capacities. While it would make the most sense for the two findings to coalesce, they did not. Perhaps this suggests that just because faculty have many years teaching experience, does not mean they have direct involvement in governance interactions, and therefore may have perceptions around what they believe should be rather than what is. Consequently, faculty who serve in institutional governance roles may perhaps more directly interact with trustees and the shared governance process, and therefore have a better understanding of the true limited nature of trustee awareness and influence. When considering the perceptions of faculty from this perspective we can determine where to place the focus of future orientations and/or training. While orientation for new faculty and trustees is critical in establishing the foundation for understanding in shared governance, these findings also affirm the original AGB recommendations that continued professional development, regardless of faculty status, is essential as we anticipate ways to build the relationship.

Conclusions

If the findings are at all representative, it is reasonable to conclude:

1. Discrepancy in trustee and faculty perceptions of one another's roles in the relationship is existent and widespread. If perception is reality, it is critical that these divergent perceptions be mitigated for shared governance to operate effectively.
2. Shared governance, as defined by the 1966 *Statement on Shared Governance*, is a fragile model of governance. Shared governance is only possible if faculty and trustees communicate, forge a sincerely engaged, trusting relationship, and work together to close the discrepancy gap.

3. Faculty believe there should be an engaged working relationship among faculty and trustees, and they exhibit cautious optimism that the relationship can work.

Recommendations for Future Research

One recommendation for future research is to replicate the study within the same context and system to extend to the full-time nontenured faculty who did not have a voice in the study, as well as any other faculty who might have missed the opportunity to participate. Additionally, given the very recent restructuring of the Board of Trustees, it would be pertinent to replicate the study with faculty within the same system after there has been time to see the new board structure in action. The replication in the same context and system would allow the data found in current study to be either confirmed or refuted.

Another recommendation for future research is to administer the replicated, modified survey to the board chair, presidents, and chief academic officers within the same governing system as faculty in this study. Replicating the study in this way would reveal the perceptions of the system administrators and trustees and allow a comparison of perceptions to the faculty perceptions within the same institution.

The quantitative nature of the study provided a breadth of insight into faculty perceptions of the faculty and trustee relationship; however, this study easily lent itself to a more in-depth qualitative study. One recommendation for future research is to follow-up on the quantitative data with qualitative faculty interviews. This would allow more intimate insight and understanding of faculty perceptions of awareness, influence, and involvement in this shared governance relationship.

The survey from this study was replicated and modified from an Association of Governing Boards survey administered in 2009 to senior level administrators and chairs of

governing boards, but no faculty. The original survey was conducted nationally ten years ago across multiple governance systems (2,007 AGB member institutions). Given the significant time that has passed since the original survey, and the original limited participant pool, a recommendation for future research is to again administer the original AGB survey nationally not only to senior level administrators and board chairs, but also faculty. This would give the most accurate insight into the collaborative relationship between faculty and the governing board on a much broader scale.

A Final Word

Given the nature of the work of higher education, the shared model of governance is reasonable; however, the nature of higher education is also what makes shared governance inherently complicated. Faculty and trustees are far removed from one another not only by physical distance, but also their world views and daily working roles. Shared governance is only as strong as its individual parts. It relies not only on the trustee/administrator and faculty/administrator relationship, but it requires faculty and trustee engagement. Without open, honest, well intentioned engagement, the foundation of true shared governance is weakened. Understanding the dynamics in this understudied relationship is critical. This research substantiated much of the anecdotal literature and brought even more light to the discrepancy in the perceptions each have of the other. Faculty perceive a limited, opaque relationship whereby their experiences and knowledge are neither respected nor valued. Conversely, trustees perceive a mutually respectful relationship with open communication carried out in an atmosphere of trust. These differences in expressed perceptions are a significant barrier in building a strong, trusting relationship. A relationship rooted in trust is essential and the only key to moving the institution forward.

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Appendices

Appendix A

Consent for Research Participation

Research Study Title: Faculty and the Governing Board: Shared Governance from a Faculty Perspective

Researcher(s): Principle Investigator: Kellie Toon, University of Tennessee, Knoxville
Faculty Adviser: Norma Mertz, University of Tennessee, Knoxville

We are asking you to be in this research study because you are currently, or have been, a full time, tenured or tenure-track instructional faculty member within the University of Tennessee system. You must be 18 or older to participate in the study. The information in this consent form is to help you decide if you want to be in this research study. Please take your time reading this form and contact the researcher(s) to ask questions if there is anything you do not understand.

Why is the research being done?

If you have ever considered how you might help improve, enhance, or give voice to your concerns regarding the relations and interactions between faculty and the University Board of Trustees, we would appreciate fifteen minutes of your time to complete a survey of your current perceptions regarding your role in higher education shared governance.

The purpose of the present study is to examine faculty perceptions of the shared governance relationship between faculty and the governing board, specifically faculty attitudes toward their perceived levels of awareness, influence, and involvement with the governing board in academic governance matters.

In 2009, the Association of Governing Boards conducted a study that examined how the relationship between faculty and governing boards affected their collaboration on institutional governance. The AGB survey obtained data from governing board chairs, presidents, and chief academic officers, but included no faculty in the study. While the study found that governance, with some exception, works well overall at most of the surveyed institutions, and reported the relationship between faculty and the governing board as being positive and healthy, the omission of faculty perspective presents a significant limitation to the findings. Through this study it is our intention to garner a clearer understanding of faculty perspective, your perspective, of the collaborative working relationship that exists between faculty and the University Board of Trustees.

If you agree to be in this study, you will complete an online survey. The survey includes questions about your perceived levels of awareness, influence, and involvement with the governing board in academic governance matters and should take you about 15 minutes to complete. You can skip questions that you do not want to answer.

Can I say “No”?

Being in this study is up to you. You can stop until you submit the survey. After you submit the survey, we cannot remove your responses because we will not know which responses came from you. Either way, your decision won't affect your employment at The University of Tennessee.

Are there any risks to me?

The survey is completely anonymous and we don't know of any risks to you from being in the study.

Are there any benefits to me?

While we do not expect you to benefit directly from being in this study, your participation may help us to learn more about the working relationship that exists between faculty and the University Board of Trustees and its value in our current higher education system.

What will happen with the information collected for this study?

The survey is anonymous, and no one will be able to link your responses back to you. Your responses to the survey will not be linked to your computer, email address or other electronic identifiers. Please do not include your name or other information that could be used to identify you in your survey responses. Information provided in this survey can only be kept as secure as any other online communication.

Information collected for this study will be published and possibly presented at scientific meetings.

Who can answer my questions about this research study?

If you have questions or concerns about this study, or have experienced a research related problem or injury, contact the researchers,

Kellie Toon

The University of Tennessee, Knoxville

A315 Jane and David Bailey Education Complex
1126 Volunteer Boulevard
Knoxville, TN 37996-3400
Phone: 865-539-7053
Email: ktoon1@vols.utk.edu

Norma T. Mertz

The University of Tennessee, Knoxville
A315 Jane and David Bailey Education Complex
1126 Volunteer Boulevard
Knoxville, TN 37996-3400
Phone: 865-974-6150
Email: nmertz@utk.edu

For questions or concerns about your rights or to speak with someone other than the research team about the study, please contact:

Institutional Review Board

The University of Tennessee, Knoxville
1534 White Avenue
Blount Hall, Room 408
Knoxville, TN 37996-1529
Phone: 865-974-7697
Email: utkirb@utk.edu

Statement of Consent

I have read this form, been given the chance to ask questions and have my questions answered. If I have more questions, I have been told who to contact. By clicking the “I Agree” button below, I am agreeing to be in this study. I can print or save a copy of this consent information for future reference. If I do not want to be in this study, I can close my internet browser.

Appendix B

Faculty, Governing Boards, and Institutional Governance Survey (AGB Survey)	Faculty Governance Perception Survey (FGpS)
Questions Omitted on FGpS	Questions Added to FGpS
Part I: Faculty and Governing Boards 1) Is there a faculty governing body at your institution? 2) Which statement best describes the faculty governing body role in policy-making for those matters for which it has not been delegated final authority? 3) How important and influential is this faculty governing body to overall institutional governance? 4) Is the granting of promotion and/or tenure a governing board decision? 5) Please indicate the role the governing board plays on promotion and tenure decisions. 6) Not including the president or other employees of your institution, how many members of the governing board have experience working in higher education? Part II: Engagement/Interaction between Governing Boards and Faculty 1) How might the interactions between the faculty and governing board be improved? 2) Is faculty involvement in institutional governance determined or affected by a collective-bargaining agreement? 3) How are faculty typically selected for service on the most prominent institution-wide committees/councils? 4) How are faculty acknowledged for participation in institutional governance? Part III: Shared Responsibilities for Institutional Governance	Part I: Perceived Levels of Awareness 1) Faculty at your institution are familiar with the American Association of University Professors (AAUP) concept of shared governance. 2) Faculty at your institution are aware of the structure and makeup of the governing board. 3) Your institution has a new faculty orientation that includes an introduction and/or review of the AAUP concept of shared governance. 4) Trustees are familiar with the American Association of University Professors (AAUP) concept of shared governance. 5) Trustees are aware of the structure and makeup of the governing board. 6) New Trustees are provided an orientation that includes an introduction and/or review of the AAUP concept of shared governance. Part II: Perceived Levels of Influence 1) What do you perceive to be faculty's level of influence in making policy, i.e. proposing and voting on policies and formal decisions? 2) What do you perceive to be faculty's level of influence in recommending policies to the governing board that might be declined or accepted? 3) What do you perceive to be faculty's level of influence in advocating for the general welfare of the faculty to the state governing board?

1) Please provide examples of ways in which faculty engagement in institutional governance has affected the quality of major policy decisions and their implementation, positively or negatively. In what ways has this been consequential? 2) How would the institution benefit—if at all—from increased faculty engagement in institutional governance? 3) What structures, policies and practices work for faculty, the administration, and the governing board to successfully involve faculty in institutional decision making with the board? What do you consider best practices for engaging faculty in institutional decision making with the board? 4) What are the greatest obstacles to engaging faculty in institutional decision making with the governing board?	4) What do you perceive to be the overall level of influence of the Board of Trustees at your institution? 5) What do you perceive to be the level of influence of the Board of Trustees in affecting policy at your institution, i.e., recommending policies to the administration and/or faculty senate that might be declined or accepted? 6) What do you perceive to be the level of influence of the Board of Trustees in making policy at your institution, i.e., proposing and voting on policies and financial decisions? 7) What do you perceive to be the level of influence of the Board of Trustees in shaping faculty decisions at your institution? Part III: Perceived Levels of Involvement 1) It is necessary for Trustees and faculty to have an engaged working relationship in order for shared governance to work effectively. 2) Please explain why you believe it is or is not necessary for Trustees and faculty to have an engaged and working relationship in order for shared governance to work effectively. 3) How would you characterize the interactions between the faculty and Board of Trustees at your institution? 4) What do you believe are the strengths regarding shared governance at your institution? 5) What do you believe are the challenges regarding shared governance at your institution? 6) Please note anything else you would like to add regarding shared governance at your institution or in general.
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Questions on both surveys with modified language	
Faculty, Governing Boards, and Institutional Governance Survey (AGB Survey)	Faculty Governance Perception Survey (FGpS)
Policies and practices of shared governance are known, understood and accepted by trustees, administrators, and the faculty.	Broken into two questions separated by faculty and Trustees: - Policies and practices of shared governance are known, understood and accepted by faculty at your institution. - Policies and practices of shared governance are known, understood and accepted by Trustees.
- Roles and responsibilities of faculty in institutional governance are included in orientation for new faculty. - Roles and responsibilities of faculty in institutional governance are included in orientation for new trustees.	Broken into two questions separated by faculty and governing board: - Your institution has a new faculty orientation that includes an introduction and/or review of the roles and responsibilities of the faculty senate at your institution. - New Trustees are provided an orientation that includes an introduction and/or review of the roles and responsibilities of faculty.
- Please indicate the extent to which the AAUP concept of shared governance describes your institution's policies in regard to board and faculty participation in governance. - Please indicate the extent to which the AAUP concept of shared governance describes your institution's practice in regard board and faculty participation in governance.	Broken into three questions, one general, two separated by faculty and Trustees: - The AAUP concept of shared governance describes the policies and practices at your institution in regard to faculty participation in governance. - What do you perceive to be faculty's level of influence for each of the following areas delegated by the 1966 <i>AAUP Statement on Share Governance of Colleges and Universities</i>? - What do you perceive to be the Trustees' level of influence for each of the following areas delegated by the 1966 <i>AAUP Statement on Share Governance of Colleges and Universities</i>?
How engaged are your faculty in institutional governance at present?	Broken into three parts evaluated on a Likert scale:

	• Faculty are actively involved in institutional governance at your institution. • Faculty are engaged with Trustees. • Trustees are engaged with faculty.
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Appendix C

Faculty Governance Perception Survey

Are you currently, or have you ever been, a full-time, tenured or tenure-track faculty member at the University of Tennessee?

☐ Yes (1)

☐ No (2)

Skip To: End of Survey If Are you currently, or have you ever been, a full-time, tenured or tenure-track faculty member at... = No

Consent for Research Participation

Research Study Title: Faculty and the Governing Board: Shared Governance from a Faculty Perspective

Researcher(s):

Principle Investigator: Kellie Toon, University of Tennessee, Knoxville

Faculty Adviser: Norma Mertz, University of Tennessee, Knoxville

We are asking you to be in this research study because you are currently, or have been, a full time, tenured or tenure-track instructional faculty member within the University of Tennessee system. You must be 18 or older to participate in the study. The information in this consent form is to help you decide if you want to be in this research study. Please take your time reading this form and contact the researcher(s) to ask questions if there is anything you do not understand.

Why is the research being done?

If you have ever considered how you might help improve, enhance, or give voice to your concerns regarding the relations and interactions between faculty and the University Board of Trustees, we would

appreciate fifteen minutes of your time to complete a survey of your current perceptions regarding your role in higher education shared governance.

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In 2009, the Association of Governing Boards conducted a study that examined how the relationship between faculty and governing boards affected their collaboration on institutional governance. The AGB survey obtained data from governing board chairs, presidents, and chief academic officers, but included no faculty in the study. While the study found that governance, with some exception, works well overall at most of the surveyed institutions, and reported the relationship between faculty and the governing board as being positive and healthy, the omission of faculty perspective presents a significant limitation to the findings. Through this study it is our intention to garner a clearer understanding of faculty perspective, your perspective, of the collaborative working relationship that exists between faculty and the University Board of Trustees.

If you agree to be in this study, you will complete an online survey. The survey includes questions about your perceived levels of awareness, influence, and involvement with the governing board in academic governance matters and should take you about 15 minutes to complete. You can skip questions that you do not want to answer.

Can I say “No”?

Being in this study is up to you. You can stop until you submit the survey. After you submit the survey, we cannot remove your responses because we will not know which responses came from you. Either way, your decision won't affect your employment at The University of Tennessee.

Are there any risks to me?

The survey is completely anonymous and we don't know of any risks to you from being in the study.

Are there any benefits to me?

While we do not expect you to benefit directly from being in this study, your participation may help us to learn more about the working relationship that exists between faculty and the University Board of Trustees and its value in our current higher education system.

What will happen with the information collected for this study?

The survey is anonymous, and no one will be able to link your responses back to you. Your responses to the survey will not be linked to your computer, email address or other electronic identifiers. Please do not include your name or other information that could be used to identify you in your survey responses. Information provided in this survey can only be kept as secure as any other online communication. Information collected for this study will be published and possibly presented at scientific meetings.

Who can answer my questions about this research study?

If you have questions or concerns about this study, or have experienced a research related problem or injury, contact the researchers,

Kellie Toon The University of Tennessee, Knoxville
A315 Jane and David Bailey Education Complex 1126 Volunteer Boulevard Knoxville, TN 37996-3400
Phone: 865-539-7053 Email: ktoon1@vols.utk.edu

Norma T. Mertz The University of Tennessee, Knoxville

A315 Jane and David Bailey Education Complex 1126 Volunteer Boulevard Knoxville, TN 37996-3400
Phone: 865-974-6150 Email: nmertz@utk.edu

For questions or concerns about your rights or to speak with someone other than the research team about the study, please contact:

Institutional Review Board The University of Tennessee, Knoxville 1534 White Avenue Blount Hall, Room 408 Knoxville, TN 37996-1529 Phone: 865-974-7697

Email: utkirb@utk.edu

Statement of Consent I have read this form, been given the chance to ask questions and have my questions answered. If I have more questions, I have been told who to contact. By clicking the “I Agree” button below, I am agreeing to be in this study. I can print or save a copy of this consent information for future reference. If I do not want to be in this study, I can close my internet browser.

Do you wish to participate?

☐ Yes (1)

☐ No (2)

Skip To: End of Survey If Do you wish to participate? = No

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Faculty Governance Perception Survey

For the purposes of this survey the following definitions apply:

Shared Governance: The American Association of University Professors (AAUP) definition of shared governance, as cited in the *Statement on Government of Colleges and Universities* (1966), defines shared governance as the principle that final institutional authority resides in the governing board, and that the board entrusts day-to-day administration to the president who then delegates specific decision-making power to the faculty in their areas of expertise, including “curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process.”

Board of Trustees refers to the overarching governing body that holds the ultimate legal authority for a given institution.

Trustees refers to the members of the Board of Trustees.

Faculty refers to full-time, tenure or tenure-track employees of a given institution.

Home Institution refers to the school or college to which the individual taking the present survey is employed.

Perception refers to your understanding or interpretation of the roles and responsibilities of shared governance at your home institution.

Awareness refers to your knowledge and/or understanding of the given scenario.

Influence refers to having the capacity to produce an effect in a direct or indirect way.

Involvement refers to having direct interaction and/or active engagement with one another.

Page Break

Perceived Levels of Awareness

Based on your perceptions, please indicate your level of agreement with the statements below. Choose the response Don't know if you are unsure.

Faculty Awareness

	Strongly disagree (1)	Somewhat disagree (2)	Neutral (3)	Somewhat agree (4)	Strongly agree (5)	Don't know (6)
Faculty at your institution are familiar with the American Association of University Professors (AAUP) concept of shared governance.	☐	☐	☐	☐	☐	☐
The AAUP concept of shared governance describes the policies and practices at your institution in regard to faculty participation in governance.	☐	☐	☐	☐	☐	☐
Policies and practices of shared governance are known, understood, and accepted by faculty at your institution.	☐	☐	☐	☐	☐	☐
Faculty at your institution are aware of and understand the responsibilities and authority of the Board of Trustees.	☐	☐	☐	☐	☐	☐
Faculty at your institution are aware of the structure and makeup of the Board of Trustees.	☐	☐	☐	☐	☐	☐
Your institution has a new faculty orientation that includes an introduction and/or review of the roles and responsibilities of the faculty senate at your institution.	☐	☐	☐	☐	☐	☐
Your institution has a new faculty orientation that includes an introduction and/or review of the roles and responsibilities of the Board of Trustees.	☐	☐	☐	☐	☐	☐
Your institution has a new faculty orientation that includes an introduction and/or review of the AAUP concept of shared governance.	☐	☐	☐	☐	☐	☐

Trustee Awareness

For each of the following questions, please indicate how aware you perceive Trustees to be with the roles and responsibilities in higher education governance using the following scale. Choose the response Don't know if you are unsure.

	Strongly disagree (1)	Somewhat disagree (2)	Neutral (3)	Somewhat agree (4)	Strongly agree (5)	Don't know (6)
Trustees are familiar with the American Association of University Professors (AAUP) concept of shared governance.	☐	☐	☐	☐	☐	☐
Policies and practices of shared governance are known, understood, and accepted by Trustees.	☐	☐	☐	☐	☐	☐
Trustees are aware of and understand the roles and responsibilities of the typical faculty member.	☐	☐	☐	☐	☐	☐
Trustees are aware of the structure and makeup of faculty governance at your institution.	☐	☐	☐	☐	☐	☐
New Trustees are provided an orientation that includes an introduction and/or review of the roles and responsibilities of faculty,	☐	☐	☐	☐	☐	☐
New Trustees are provided an orientation that includes an introduction and/or review of the AAUP concept of shared governance.	☐	☐	☐	☐	☐	☐

Perceived Levels of Influence

Influence is defined as having the capacity to produce an effect in a direct or indirect way.

Faculty Influence

Please indicate the level of influence you perceive faculty to have with each of the following areas as delegated by the 1966 AAUP Statement on Shared Governance of Colleges and Universities. Choose the response Don't know if you are unsure of the level of influence on that topic.

	Not at all Influential (1)	Slightly influential (2)	Influential (3)	Moderately influential (4)	Extremely influential (5)	Don't know (6)
General Education Policy	☐	☐	☐	☐	☐	☐
Long-range Planning	☐	☐	☐	☐	☐	☐
Decisions on Physical Resources	☐	☐	☐	☐	☐	☐
Budgeting	☐	☐	☐	☐	☐	☐
Promotion and Tenure	☐	☐	☐	☐	☐	☐
Allocation of resources	☐	☐	☐	☐	☐	☐
Presidential Selection	☐	☐	☐	☐	☐	☐
Selection of Academic Deans	☐	☐	☐	☐	☐	☐

Page Break

Please indicate the level of influence you perceive faculty to have in each of the following areas. Choose the response Don't know if you are unsure.

	Not at all influential (1)	Slightly influential (2)	Influential (3)	Moderately Influential (4)	Extremely influential (5)	Don't know (6)
What do you perceive to be faculty's level of influence in making policy, i.e. proposing and voting on policies and financial decisions?	☐	☐	☐	☐	☐	☐
What do you perceive to be faculty's level of influence in recommending policies to the Board of Trustees that might be declined or accepted?	☐	☐	☐	☐	☐	☐
What do you perceive to be faculty's level of influence in advocating for the general welfare of the faculty to the state governing board?	☐	☐	☐	☐	☐	☐

Page Break

Board of Trustee Influence

Please indicate the level of influence you perceive Trustees to have with each of the following areas as delegated by the 1966 AAUP Statement on *Shared Governance of Colleges and Universities*. Choose the response Don't know if you are unsure of the level of influence on that topic.

	Not at all influential (1)	Slightly influential (2)	Influential (3)	Moderately influential (4)	Extremely influential (5)	Don't know (6)
General Education Policy	☐	☐	☐	☐	☐	☐
Long-range Planning	☐	☐	☐	☐	☐	☐
Decisions on Physical Resources	☐	☐	☐	☐	☐	☐
Budgeting	☐	☐	☐	☐	☐	☐
Promotion and Tenure	☐	☐	☐	☐	☐	☐
Allocation of resources	☐	☐	☐	☐	☐	☐
Presidential Selection	☐	☐	☐	☐	☐	☐
Selection of Academic Deans	☐	☐	☐	☐	☐	☐

Page Break

Please indicate the level of influence you perceive Trustees to have in each of the following areas. Choose the response *Don't know* if you are unsure.

	Not at all influential (1)	Slightly influential (2)	Influential (3)	Moderately influential (4)	Extremely influential (5)	Don't know (6)
What do you perceive to be the overall level of influence of the Board of Trustees at your institution?	☐	☐	☐	☐	☐	☐
What do you perceive to be the level of influence of the Board of Trustees in affecting policy at your institution, i.e., recommending policies to the administration and/or faculty senate that might be declined or accepted?	☐	☐	☐	☐	☐	☐
What do you perceive to be the level of influence of the Board of Trustees in making policy at your institution, i.e. proposing and voting on policies and financial decisions?	☐	☐	☐	☐	☐	☐
What do you perceive to be the level of influence of the Board of Trustees in shaping faculty decisions at your institution?	☐	☐	☐	☐	☐	☐

Perceived Levels of Involvement

Involvement is defined as having direct interaction and/or active engagement with one another.

Based on your perceptions, please indicate your level of agreement regarding the involvement of faculty and Trustees at your home institution. Choose the response Don't Know if you are unsure of the level of involvement on that topic.

	Strongly disagree (1)	Disagree (2)	Neutral (3)	Agree (4)	Strongly agree (5)	Don't know (6)
Faculty are actively involved in institutional governance at your institution.	☐	☐	☐	☐	☐	☐
Faculty are engaged with Trustees.	☐	☐	☐	☐	☐	☐
Trustees are engaged with faculty.	☐	☐	☐	☐	☐	☐
Trustees and faculty demonstrate collegiality, respect, tolerance, and civility toward one another.	☐	☐	☐	☐	☐	☐
Discussion and communication among Trustees and faculty are open and carried out in good faith and in an atmosphere of trust.	☐	☐	☐	☐	☐	☐

Page Break

Based on your perceptions, please indicate the level of involvement between faculty and Trustees at your home institution. Choose the response Don't Know if you are unsure of the level of involvement on that topic.

	No involvement (1)	Low involvement (2)	Moderate involvement (3)	High involvement (4)	Don't know (5)
Faculty membership on governing board	☐	☐	☐	☐	☐
Head of a faculty governing body serves as a member on the Board of Trustees	☐	☐	☐	☐	☐
Faculty membership on Board of Trustees committee(s)	☐	☐	☐	☐	☐
Faculty membership on board-established organizations	☐	☐	☐	☐	☐
Faculty membership on presidential search committee	☐	☐	☐	☐	☐
Faculty advice on presidential search	☐	☐	☐	☐	☐
Faculty participation in assessment of president	☐	☐	☐	☐	☐

Page Break

Based on your perceptions, please indicate the level of involvement between faculty and Trustees at your home institution. Choose the response Don't Know if you are unsure of the level of involvement on that topic.

	No involvement (1)	Low involvement (2)	Moderate involvement (3)	High involvement (4)	Don't know (5)
Faculty membership on president-established organizations (planning, budget/resources, accreditation, facilities)	☐	☐	☐	☐	☐
Faculty involvement in new Trustee	☐	☐	☐	☐	☐
Faculty presentations to Board of Trustees (such as assessment of student learning or exemplary teaching, research, or other academic work)	☐	☐	☐	☐	☐
Faculty and Trustee attendance at the same professional meetings	☐	☐	☐	☐	☐
Trustee membership on school/college advisory entities	☐	☐	☐	☐	☐
Trustee classroom/laboratory/studio visitation	☐	☐	☐	☐	☐
A 'body' (committee, task force, council) of faculty, trustees, and administrators established for the purpose of improving, maintaining, communications among the parties	☐	☐	☐	☐	☐

Page Break

Based on your perceptions, please indicate the level of involvement between faculty and Trustees at your home institution. **Choose the response Don't Know if you are unsure of the level of involvement on that topic.**

	No involvement (1)	Low Involvement (2)	Moderate involvement (3)	High involvement (4)	Don't know (5)
Faculty and Trustee membership on foundation committees, including board of directors	☐	☐	☐	☐	☐
Faculty and Trustee involvement in fund raising	☐	☐	☐	☐	☐
Faculty and Trustee involvement in admissions, enrollment activities	☐	☐	☐	☐	☐
Faculty and Trustee involvement in alumni activities	☐	☐	☐	☐	☐
Meals, receptions, and other social events held in conjunction with board meetings	☐	☐	☐	☐	☐
Academic ceremonies, athletic contests and other social events	☐	☐	☐	☐	☐

Page Break

Based on your perceptions, please indicate the level of involvement between faculty and Trustees at your home institution. **Choose the response Don't Know if you are unsure of the level of involvement on that topic.**

	No involvement (1)	Low involvement (2)	Moderate involvement (3)	High involvement (4)	Don't know (5)
Budget and/or financial matters	☐	☐	☐	☐	☐
Campus safety	☐	☐	☐	☐	☐
Curricula	☐	☐	☐	☐	☐
Degree requirements	☐	☐	☐	☐	☐
Enrollment management	☐	☐	☐	☐	☐
Intercollegiate athletics	☐	☐	☐	☐	☐
Online teaching and learning	☐	☐	☐	☐	☐
Organizational restructuring	☐	☐	☐	☐	☐
Presidential assessment	☐	☐	☐	☐	☐
Presidential search	☐	☐	☐	☐	☐
Public/community needs	☐	☐	☐	☐	☐
Student conduct	☐	☐	☐	☐	☐
Student diversity and access	☐	☐	☐	☐	☐
Student outcome assessments	☐	☐	☐	☐	☐

Page Break

Indicate your level of agreement with the following statement:

It is necessary for Trustees and faculty to have an engaged working relationship in order for shared governance to work effectively.

- ☐ Strongly disagree
- ☐ Disagree
- ☐ Somewhat disagree
- ☐ Neutral
- ☐ Somewhat agree
- ☐ Agree
- ☐ Strongly agree
- ☐ Don't know
-

Please explain why you believe it is or is not necessary for Trustees and faculty to have an engaged working relationship in order for shared governance to work effectively.

How would you characterize the interactions between the faculty and Board of Trustees at your institution?

Page Break

Please provide your candid response to the following questions according to your perceptions regarding shared governance at your institution.

What do you believe are the strengths regarding shared governance at your institution?

What do you believe are the challenges regarding shared governance at your institution?

Please note anything else you would like to add regarding shared governance at your institution or in general.

Please provide the following demographic information. This information is completely anonymous and will be used to determine if faculty rank and experience affect perceived levels of awareness, influence, and involvement with the Board of Trustees. You may choose *Prefer not to Answer* on any question.

What is your faculty rank?

- ☐ Instructor/Clinical Instructor
- ☐ Assistant Professor
- ☐ Associate Professor
- ☐ Professor
- ☐ Professor Emeritus
- ☐ Prefer not to answer

How many years teaching experience do you have at an institution of higher education?

- ☐ 0-5 years
- ☐ 6-10 years
- ☐ 11-15 years
- ☐ 16-20
- ☐ 21-29
- ☐ 30+
- ☐ Prefer not to answer

Do you currently have tenure at your home institution?

- ☐ Yes
- ☐ No
- ☐ Prefer not to answer

Page Break

Do you currently, or have you ever, served on Faculty Senate or any Faculty Senate Committees? This may include, but is not limited to, Undergraduate Council and/or Graduate Council.

- ☐ Yes
 - ☐ No
 - ☐ Prefer not to answer
-

Do you currently, or have you ever, held an administrative position while maintaining faculty rank? This may include, but is not limited to, Dean, Department Chair, Program Coordinator, etc.

- ☐ Yes
- ☐ No
- ☐ Prefer not to answer

Please note any additional comments you may have.

End of Block: Default Question Block

Appendix D

Olympic College Foundation

AY 2008-09 Board Chairs' Survey on Faculty, Governing Boards & Governance

Part 1: Faculty and Governing Boards

1. Is there a faculty governing body (such as a faculty senate or faculty/staff organization) at your institution? If there is more than one, answer in regard to the one most prominent.

a. Faculty governing body?	☐ Yes ☐ No
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If you answer No, skip ahead to question 2.

Which statement best describes the faculty governing body role in policy-making for those matters for which it has not been delegated final authority:

b. Faculty governing body role in policymaking	☐ Advisory body that conveys faculty opinion to administration and/or governing board ☐ Policy-influencing body which recommends to administration and/or governing board policies they may decline or accept ☐ Policy-making body which proposes and votes on policies or financial decisions that administration & governing board almost always adopt
--	--

c. How important and influential is this faculty governing body to overall institutional governance?

c. How important and influential	☐ Very important ☐ Important ☐ Neither important nor unimportant ☐ Unimportant
----------------------------------	---

2. Is the granting of promotion and/or tenure a governing board decision?

a. Are promotion or tenure board decisions?	☐ Yes ☐ No ☐ Don't know/Not applicable
---	--

If you answer No, skip ahead to question 3.

Please indicate the role the governing board plays on promotion and tenure decisions.

	☐ Check All That Apply
--	---

b. Board (or board committee) routinely approves promotion/tenure on recommendation of administration	
c. Board (or board committee) confines review to resource implications of promotion/tenure decisions	
d. Board (or board committee) considers qualifications of candidates in making promotion/tenure decisions	
e. Other	
f. If Other, please specify	

3. Is there an orientation for new faculty?

a. New faculty orientation?	☐ Yes ☐ No ☐ Don't know/Not applicable
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If you answer No, skip ahead to question 4.

Which of the following are included in the orientation?

	Check All That Apply
b. Roles and responsibilities of the governing board	
c. Roles and responsibilities of faculty in institutional governance	
d. Opportunities for faculty to participate in institutional governance	

4. How well does the typical faculty member at your institution understand the responsibilities and authority of your governing board?

Faculty understands governing board?	☐ Not at all ☐ Slightly ☐ Fairly well ☐ Well ☐ Very well
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5. Is there an orientation for new trustees?

a. New trustee orientation?	☐ Yes ☐ No ☐ Don't know/Not applicable
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If you answer No, skip ahead to question 6.

Which of the following are included in the orientation?

	Check All That Apply
b. Roles and responsibilities of the governing board	
c. Roles and responsibilities of faculty in institutional governance	
d. The culture of academic decision making	
e. Promotion and tenure	
f. Academic freedom	

6. How well does the typical member of your governing board understand the work and responsibilities of faculty?

Governing board member understands faculty work?	☐ Not at all ☐ Slightly ☐ Fairlywell ☐ Well ☐ Very well
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7. Not including the president or other employees of your institution, how many members of the governing board have experience working in higher education? If unsure, please estimate or leave blank.

Exclusive of employees, how many governing board members have worked in higher education?	
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Part II: Engagement / Interaction between Governing Boards and Faculty

1. In which of the following ways do members of the governing board and faculty at your institution interact?

	Check All That Apply
a. Faculty membership on governing board	
b. Head of faculty governing body serves as a member of governing board	
c. Faculty membership on board committee(s)	
d. Faculty membership on board-established organizations	
e. Faculty presentations to boards (such as assessment of student learning or exemplary teaching, research, or other academic work)	
f. Faculty membership on presidential search committee	
g. Faculty advice on presidential search	
h. Faculty participation in assessment of president	
i. Faculty involvement in new trustee/regent orientation	
j. Meals, receptions, and other social events held in conjunctions with board meetings	
k. Academic ceremonies, athletic contests and other social events	

l. Trustee classroom/laboratory/studio visitation	
m. Trustee membership on school/college advisory entities	
n. Faculty membership on president-established organizations (planning, budget/resources, accreditation, facilities)	
o. Faculty and trustee membership on foundation committees, including board of directors	
p. A "body" (committee, task force, council) of faculty-trustees, administrators established for the purpose of improving, maintaining communications among parties	
q. Faculty and trustee involvement in fund raising	
r. Faculty and trustee involvement in admissions, enrollment activities	
s. Faculty and trustee involvement in alumni activities	
t. Faculty and trustee attendance at same professional meetings	

2. How would you characterize interactions between the faculty and governing board of your institution?

a. Quality of interactions between faculty and governing board?	
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How might those interactions be improved?

b. How to improve interactions?	
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3. Is faculty involvement in institutional governance determined or affected by a collective-bargaining agreement?

Role of any faculty collective bargaining agreement on faculty involvement in governance	o Yes o No o Doesn't apply, no collective bargaining
--	--

4. How are faculty typically selected for service on the most prominent institution-wide committees/councils (e.g., planning, budgeting, search)? Check all that apply, recognizing the selection process may vary.

	Check All That Apply
a. Election by faculty governance organization	
b. Appointment by faculty governance organization	
c. Election by collective bargaining organization	
d. Appointment by collective-bargaining organization	
e. Nomination by senior administrator with faculty consultation	
f. Nomination by senior administrator	
g. Nomination by faculty governance organization	
h. Nomination by collective-bargaining organization	
i. Appointment by senior administrator with	

faculty consultation	
j. Appointment by senior administrator	
k. Other	
l. Not applicable	
m. If Other, please specify	

5. How are faculty acknowledged for participation in institutional governance?

	Check All That Apply
a. Release time from workload	
b. Additional compensation	
c. Recognition for service	
d. Considered positively in promotion or tenure decisions	
e. Not recognized	
f. Not applicable	
g. Other	
h. If Other, please specify	

6. To what extent do you agree with the following statements?

a. Typically, trustees, the administration and the faculty demonstrate collegiality, respect, tolerance, and civility towards each other.	☐ Strongly Agree ☐ Agree ☐ Don't know, can't say ☐ Disagree ☐ Strongly Disagree
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b. Typically, discussion and communication among trustees, the administration and the faculty are open and carried out in good faith and in an atmosphere of trust.	☐ Strongly Agree ☐ Agree ☐ Don't know, can't say ☐ Disagree ☐ Strongly Disagree
c. Policies and practices of shared governance are known, understood and accepted by trustees, administrators, and the faculty.	☐ Strongly Agree ☐ Agree ☐ Don't know, can't say ☐ Disagree ☐ Strongly Disagree

Part III: Shared Responsibilities for Institutional Governance

- One way by which governing boards and faculty can interact is through shared governance. There is little agreement on precisely what "shared governance" means, but the term is widely used and typically used positively.

One of the more frequently cited definitions is that of the American Association of University Professors (AAUP) in the Statement on Government of Colleges and Universities (1966). Shared governance may be understood as the principle that final institutional authority resides ultimately in the governing board, and that the board entrusts day-to-day administration to the president who then delegates specific decision-making power to the faculty in their areas of expertise, namely "curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process."

a. Please indicate the extent to which the AAUP concept of shared governance describes your institution's policies in regard to board and faculty participation in governance.	☐ Very similar ☐ Similar ☐ Same ☐ Different ☐ Very different
b. Please indicate the extent to which the AAUP concept of shared governance describes your institution's practice in regard to board and faculty participation in governance.	☐ Very similar ☐ Similar ☐ Same ☐ Different ☐ Very different

- How important and influential is the recognized faculty governing body in those areas for which it has been delegated responsibility?

How important and influential is the recognized faculty governing body?	☐ Very important ☐ Important ☐ Neither important nor unimportant ☐ Unimportant
---	--

3. How engaged are your faculty in institutional governance at present?

How engaged?	☐ Not enough ☐ Enough ☐ Too much
--------------	--

4. Are your board and faculty actively engaged with one another in addressing any of the following specific issues?

	Check All That Apply
a. Budget and/or financial matters	
b. Campus safety	
c. Curricula	
d. Degree requirements	
e. Enrollment management	
f. Intercollegiate athletics	
g. Online teaching and learning	
h. Organizational restructuring	
i. Presidential assessment	
j. Presidential search	
k. Public/community needs	
l. Student conduct	
m. Student diversity and access	
n. Student outcomes assessments	
o. Other	

p. If Other, please specify	
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5. Please provide examples of ways in which faculty engagement in institutional governance has affected the quality of major policy decisions and their implementation, positively or negatively. In other words, in what ways has this been consequential?

6. How would the institution benefit - if at all - from increased faculty engagement in institutional governance?

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7. What structures, policies and practices work for faculty, the administration and the governing board to successfully involve faculty in institutional decision making with the board? What do you consider best practices for engaging faculty in institutional decision making with the board?

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8. What are the greatest obstacles to engaging faculty in institutional decision making with the governing board?

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9. Any additional comments?

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Vita

Kellie Lyn Toon was born in Bryan, Texas. A Texas native, she attended college at the University of Texas at Austin where she obtained her Bachelor of Arts in Political Science and Spanish in 1996. She began teaching Spanish and U.S. Government at Van High School in Van, Texas before moving to Amarillo, Texas where she taught all levels of Spanish at Highland Park High School. In 2001, she began working on her Master's degree in Mass Communication at the University of North Carolina Chapel Hill. It was at UNC where she first had a taste of teaching in higher education when she was offered an opportunity to teach a Communication Studies class. Following graduation in 2003, she moved with her family to Bentonville, Arkansas and then back to Amarillo, Texas. In early 2006, she opened a franchise of Club Z! In-Home Tutoring serving the Amarillo community. In this venture, she learned the operations behind the administrative and business side of education. When her family relocated to Knoxville, Tennessee in 2007, she went back into the classroom at Pellissippi State Community College as a Communication Studies instructor. She was hired full time in 2010 and currently holds the rank of Associate Professor of Communication Studies. She began her doctoral pursuit in fall 2013 and, in spring 2014, she assumed the position of the Director of the Pellissippi State's Quality Enhancement Plan. She led the QEP initiative through its conclusion in 2017. In 2016, she was instrumental in obtaining a \$2 million Title III Department of Education grant to establish the College's first teaching and learning center, the Pellissippi Academic Center for Excellence (PACE). She currently serves as the Director of PACE.