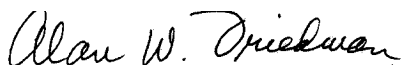


## DOCUMENTS OF THE GENERAL FACULTY

Following are the minutes of the regular Faculty Council meeting of October 10, 2016.



Alan W. Friedman, Secretary of the General Faculty and Faculty Council  
The University of Texas at Austin  
Arthur J. Thaman and Wilhelmina Doré Thaman Professor of English and Comparative Literature

**MINUTES OF THE REGULAR FACULTY COUNCIL MEETING OF  
OCTOBER 10, 2016**

The second regular meeting of the Faculty Council for the academic year 2016-17 was held in the Main Building, Room 212 on Monday, October 10, 2016, at 2:38 PM, which immediately followed the annual meeting of the General Faculty.

**ATTENDANCE.**

**Present:** Ronald J. Angel, Lucinda Jane Atkinson, Blake R. Atwood, Christina Bain, Darrell L. Bazzell, David I. Beaver, Carolyn M. Brown, Christopher P. Brown, William "Wills" Kerby Brown, Barry Brummett, Jorge Canizares, Cindy I. Carlson, Benjamin H. Carrington, Sergio M. Cavazos, Allan H. Cole, Juan J. Colomina-Alminana, Elizabeth Cullingford, Janet M. Davis, Glenn P. Downing, David J. Eaton, Gregory L. Fenves, Alan W. Friedman, Philip M. Gavenda, Linda L. Golden, Laura I. Gonzalez, Andrea C. Gore, Marvin L. Hackert, Tracie C. Harrison, Hillary Hart, Kevin S. Helgren, Martha F. Hilley, Steven D. Hoelscher, Coleman Hutchison, Brent L. Iverson, Vishwanath R. Iyer, Jody L. Jensen, Christine L. Julien, Jonathan Kaplan, Susan L. Kearns, Harrison Keller, Prabhudev C. Konana, John C. Lassiter, Sanford V. Levinson, Blinda E. McClelland, Maurie D. McInnis, Julie A. Minich, Jennifer Moon, Martha G. Newman, Robert A. Olwell, Dennis S. Passovoy, Edward R. Pearsall, Pengyu Ren, Austin B. Reynolds, Jonathan L. Sessler, Christen Smith, D. Max Snodderly, Vincent S. (Shelby) Stanfield, Pauline T. Strong, Lauren J. Webb, Jennifer M. Wilks.

**Absent:** Alexandra W. Albright (excused), Simon D. Atkinson, Chad J. Bennett (excused), Jay M. Bernhardt, Mark L. Bradshaw, Francesca L. Cicero, Patricia L. Clubb, M. Lynn Crismon (excused), Ann Cvetkovich (excused), Elizabeth A. Danze, Douglas J. Dempster, Randy L. Diehl, Andrew P. Dillon, Jonathan B. Dingwell, Bradley G. Englert (excused), Angela M. Evans, Ward Farnsworth, Benny D. Freeman, Christian S. Glakas, Terrance L. Green (excused), Lauren E. Gulbas (excused), Lorraine J. Haricombe, Jay C. Hartzell, Maya L. Henry (excused), Linda A. Hicke, D. Eric Hirst (excused), Daniel T. Jaffe, S. Claiborne Johnston, Peniel E. Joseph (excused), Manuel Justiz, Binna Kim, Jack C. Lee (excused), Alexandra Loukas, Lauren A. Meyers (excused), Richard A. Morrisett (excused), Sharon Mosher, David A. Nielsen, Patricia C. Ohlendorf (excused), Na'ama Pat-El, Scott A. Rabenold, Soncia Reagins-Lilly (excused), Loriene Roy (excused), Alexa M. Stuijbergen, Jessica R. Toste (excused), James W. Tunnell (excused), Jason P. Urban (excused), Gregory J. Vincent, Sharon L. Wood, Cara Young (excused), Luis H. Zayas (excused).

Voting Members:	51 present,	25 absent,	76 total.
Non-Voting Members:	9 present,	25 absent,	34 total.
Total Members:	60 present,	50 absent,	110 total.

Chair Jody L. Jensen (Professor, Department of Kinesiology and Health Education) invited attendees from the annual meeting of the General Faculty to stay and listen to the Faculty Council discussion.

**I. REPORT OF THE SECRETARY.**

Secretary Hillary Hart (Distinguished Senior Lecturer, Civil, Architectural, and Environmental Engineering) reported that two memorial resolutions had been completed, for Professors Emeriti John Christopher Middleton from Department of Germanic Studies and Joseph John Lagowski from the School of Information, and that one resolution was pending for Professor Emeritus Peter R. Antoniewicz from the Department of Physics. She noted that two proposals to change the *Undergraduate Catalog, 2016-2018* were still pending approval from the Texas Higher Education Coordinating Board. For reference, see D 14836-14839.

**II. APPROVAL OF MINUTES.**

Secretary Hart asked if there were any corrections, additions, or changes to the minutes of the regular Faculty Council meeting of September 19, 2016 (D 14822-14831), which had been distributed to the Faculty Council on October 3, 2016. Hearing none, she announced that the minutes were accepted and approved as posted.

**III. COMMUNICATION WITH THE PRESIDENT.**

A. Comments by the President.

President Fenves opened his remarks by joking that he was “still thinking about the invigorating questions from the last meeting”—there were none. He then discussed the two recent gifts to the University calling them “amazing.” One was a \$20 million gift to the College of Liberal Arts by Bobby Patton Jr. and his wife, Sherri, to support faculty and graduate student endowments, and experiential learning opportunities for undergraduate education, as well as priority programs within the College. President Fenves noted that Mr. Patton had received his undergraduate education here at UT Austin beginning as a Plan II student, then, after having taken an accounting class, he switched his major to business and graduated with a bachelor’s degree in business administration. The President said that Mr. Patton had attributed his success in business and in his personal life to the liberal arts education he received while a Plan II student. President Fenves said it was an affirmation of the importance of the liberal arts, especially in these challenging times. The second gift of \$20 million from the Wong family was given to the Dell Medical School to set up an ophthalmology program. The president described the Wongs as a family of ophthalmologists who are civic leaders in Austin dedicated to education and to giving back to the community. President Fenves said, “They see supporting medical education at UT as one of the most important ways that they can do that.”

President Fenves stated his reasons for announcing the gifts were two-fold. The first was to highlight one of the singular powers of The University of Texas, which is its alumni network and the dedication that alumni like the Pattons and the Wongs have to the University and their willingness to give back to help future generations. The second was that as of September 1, after having been vacant for six years, the University now had a vice president for development, Scott Rabenold. President Fenves commented that, although he has been on campus for just a little over one month, Mr. Rabenold had already made a “huge impression within the campus and especially among our donor and alumni community.” He said that Mr. Rabenold had been working with the deans, the central development and chief development officers and development programs in the schools, colleges, and units to begin rethinking the development strategy for philanthropy at UT Austin. He said that the upcoming legislative session would be tight and that there would be pressures for state funding and on affordability, e.g., the cost of tuition, room and board, etc. Stating an important goal of his administration, President Fenves said, “We are going to need to rely increasingly on philanthropists like the Pattons and like the Wongs to be able to continue to provide high quality education and to support a major flagship research university in Texas.” Having finished the Capital Campaign for Texas two years ago, the President said that there was “donor fatigue” and “portfolio fatigue” and that it would be necessary to increase UT Austin’s

portfolio of donors before the next Capital Campaign, which would not be for another two to three years. During the interim, he said, “We are going to use that time very productively to set the stage for the next era of philanthropy for UT.”

President Fenves’ final remarks focused on the challenges of the upcoming legislative session, which had officially started that very day. The president said that he had presented UT Austin’s legislative budget request to the Legislative Budget Board (LBB) and reiterated that it would be a very tight session. He said that historically, when revenues were tight, higher education was usually at the bottom of the list of needs to be funded, and, therefore, he would be making a very strong case for the importance of investment in higher education and for our students and for research. President Fenves said the appropriation by the legislature per student for the current year is approximately \$5600 as compared to \$5100 in the previous year and \$6400 in 2009. He emphasized that his primary goal would be to not lose any more ground in providing high quality education for our students and that funding and long-term support for education were the most important issues for this legislative session.

President Fenves then opened the floor for comments and questions. Hearing none, he thanked members of the Faculty Council for their time and attention.

B. Questions to the President—None.

#### **IV. REPORT OF THE CHAIR.**

Chair Jody L. Jensen reported that she and Chair Elect Steven D. Hoelscher (Professor, Department of American Studies) had recently attended the UT System Faculty Advisory Council meeting and that the Chair Elect would give an update during his report. Following up on comments from President Fenves during the General Faculty meeting and from Dean Brent Iverson during the annual meeting of the School of Undergraduate Studies—both meetings held just prior to the current one—Chair Jensen reported that she had received a report from the Texas Association of College Teachers in response to a survey on the 2106-17 Legislative agenda. Of the faculty members who responded, results showed that 48 percent said that higher education financing was their top concern; 22 percent were concerned about guns on campus, followed by issues of inadequately prepared students coming into the UT System and dual credit.

Closing her remarks, Chair Jensen asked the Chair Elect to give his report.

#### **V. REPORT OF THE CHAIR ELECT.**

Chair Elect Steven D. Hoelscher reported that two weeks ago, he and Chair Jensen had attended the fall meeting of the UT System Faculty Advisory Council (SysFac), which is one of two organizations that the Chair and Chair Elect participate in. He said that all UT System institutions, including the medical branches, were in attendance and that the meeting provided a forum for the members to learn what was happening at the various campuses and at the System-level, and then to communicate that information back to the institutions’ faculty governing bodies. Chair Elect Hoelscher commented that there had been much discussion on the “Nine Quantum Leaps,” which are at the core of Chancellor McRaven’s strategic planning and can be found at the following URL on the UT System website (<http://www.utsystem.edu/offices/chancellor/chancellors-vision-university-texas-system?src=home>) and in Appendix A. The Chair Elect pointed out two recognitions of the plan that he felt were “terrifically important:” 1) Increasing economic disparity in the United States, and 2) poor health care access across much of the state. He said the Quantum Leap that had the most discussion was on student success as it relates to affordability, belonging, and advising, and faculty members’ role in that initiative, which he said varies from campus to campus and from department to department.

Chair Elect Hoelscher reported that Vice Chancellor for Government Affairs Barry McBee spent one hour discussing the upcoming legislative session in which he focused on four main points: 1) the budget, 2) maintaining tuition spending authority, 3) support of the Top 10 Percent Law, and 4)

maintaining status quo on Campus Carry particularly in relation to exclusion zones enacted by UT Austin. On the budget, McBee echoed President Fenves' remarks on the tight economic budget and expressed concern about student growth on campuses that would require additional funding. Given that the allocation of funds from the 84<sup>th</sup> Legislature translated to an increase of only 1 percent from the previous session, which had fallen short of the 2009 allocation, UT System's goal for this legislative session was to maintain funding levels.

The final topic of discussion by SysFac was shared governance. Chair Elect Hoelscher reported that three documents developed by the Shared Governance Committee had been uploaded to the Faculty Council's website under Spotlight and Events. One was a white paper that outlined best practices for shared governance within the UT System; another was an executive summary statement for the Chancellor; and the third was a statement from the Chancellor. The Chair Elect remarked that it had become evident to him that not all campuses experience the same relationship of shared governance that UT Austin has with its administration. He encouraged members to take time to view the posted documents, also appearing in Appendix B, since the Shared Governance Committee from System would be visiting campus sometime in the academic year. He asked members to get involved and to be thinking of ways that shared governance could be improved on campus and to provide feedback to the FCEC.

**VI. UNFINISHED BUSINESS—None.**

**VII. REPORTS OF THE GENERAL FACULTY, COLLEGES, SCHOOLS, AND COMMITTEES—None.**

**VIII. NEW BUSINESS.**

**A. Report on Project 2021.**

James W. Pennebaker (Project 2021 director and professor, Psychology) thanked Faculty Council members for inviting him to talk about Project 2021, which he said "is kind of a vague concept here on campus." Referring to remarks by President Fenves, Professor Pennebaker said not only is the University under tremendous pressure from the legislature, it is also dealing with cultural realities that significantly impact our campus because "we are in a new world than we were ten or fifteen years ago." He suggested that if President Faulkner or President Powers had said, "In the next ten years, we will get rid of all of the books in the libraries," faculty members would have stood up in revolution because it would have seemed like a ludicrous idea. Nevertheless, the director declared, "The reality is we're there... the entire conception of a library has changed because of Wi-Fi." He said the libraries are now places where hundreds of students are actively engaging with one another and studying. And, because we have access to new technologies, he said faculty members can begin thinking about alternative ways of teaching, which do not have to be giant MOOCs (massive open online courses) or SMOCs (synchronous Massive Online Course); instead, he said they could be small, intimate classes with students from around the world. Professor Pennebaker said, "One of the ideas of Project 2021 is to help the University move in this direction so that we're ahead of the curve rather than behind it." He credited President Fenves with the idea of Project 2021 and acknowledged Provost McInnis, Judith Langlois (Past Dean of the Graduate School and Professor, Psychology) and Harrison Keller (deputy to the president for strategy and policy and clinical professor, Public Affairs) for being actively involved in its conception. He explained that the idea behind Project 2021 was to bring about changes in teaching that would "change the very definition of what a class is; what a semester is; what a calendar is; and even what a student is," and would require profound transformations in the very infrastructure of the University. He said it would take time to implement many of the ideas, but after five years, the project would be dissolved, hence the name Project 2021.

Professor Pennebaker asked, "What do we mean by changing what a class is?" and "Why do we have three-hour classes?" Pertaining to the latter question, he explained that the three-hour unit

system was calculated in the late 1800s before air-conditioning and had been kept over time largely due to the expense of modifying modern Student Information Systems. However, because of advances in computer technology, he said,

We are now able through Herculean efforts to twist the iron bar of the Student Information System in ways that we hadn't before and now start to think about having what we call fractional credit. We have the ability to go outside the traditional semester. And, once you start thinking about this, you start to realize that we can start to redefine what a class is, and what a semester is, and how we can think about a calendar.

Professor Pennebaker said an important feature of Project 2021 is to analyze what teaching methods actually work and to identify the best ways of getting students actively engaged. He spoke of his own experience using the technology-enhanced education approach referring specifically to a SMOC he developed with Professor Sam Gosling (Department of Psychology). Unlike teaching a traditional class of 500 students, they found that, with the online class, they could give a quiz every day and, in place of a textbook, students were given readings from online open sources, which gave the instructors flexibility to change the way the course was put together. When Professors Pennebaker and Gosling began analyzing how their students were doing, they found that attendance throughout the semester was steady at 95 percent as compared to the traditional classroom where attendance would start off at 95 percent and decrease to 65 percent mid-semester, and then decrease to 55 percent by the end of the semester. Not only did attendance improve with daily quizzes, Professor Pennebaker said that students in the online course did about one letter grade better than the students in the traditional class, and they also did better in their later classes. With the new approach, Professors Pennebaker and Gosling also discovered reduced grade disparity between upper-middle-class students and lower-middle-class students, and their analyses provided evidence that students who read through all of the test questions before answering them did better in the class. So, by using technology, the professors were able to get a better sense of how their students were learning. Professor Pennebaker acknowledged that it would be foolish to think all classes should be online, though for some it is an efficient system.

Professor Pennebaker said the idea of technology-enhanced education was just a minor part of a broader approach, namely curriculum redesign. He said that across departments, "We need to be rethinking how we should be training our students; how we should be thinking about students; we need to rethink the curriculum." He said that in most departments there is essentially a "flunk-out" course that students must suffer through before they can register for upper-division courses. He said we need to bypass that and come up with alternative ways of getting students to learn what they need to know in the methods classes. As an example, he said in Psychology, the weed-out course is statistics. He said faculty hate teaching it and students hate taking it. If asked what students needed to know from a statistics course to advance to upper-division coursework, Professor Pennebaker said most faculty members in his department would say, "It would be nice if they know at least what a correlation is and some of the basic means, standard deviation, some of the really elementary parts of statistics." Professor Pennebaker pointed out that "that is not a three-hour class; it is at most a .6-hour class," and suggested that students could save time by taking a downloadable .6-hour course. His point was that there are alternative ways to think about the curriculum.

Professor Pennebaker said that one of the people central to curriculum redesign was Dr. Hillary Hart, Director of the Faculty Innovation Center. He said she had been speaking with the deans to identify departments in various colleges that would benefit from a serious curriculum redesign. As part of the curriculum redesign, he said Project 2021 is working with departments to come up with surveys to send to graduates to find out what they are doing, what courses helped them most in their careers, and what changes could be made to the curriculum. He said, "The reality is that we need to figure out how we should be encouraging our students so that they get out, and they have

good productive, high quality lives.” In addition to the surveys, Professor Pennebaker said his group is working with UT System to get statistics from the Texas Workforce Commission and from the National Student Clearinghouse to learn what happens to our graduates when they leave the University.

To give a broader perspective of Project 2021, Professor Pennebaker said there were approximately 200 people involved in the project. That included the Faculty Innovation Center; Liberal Arts ITS (LAITS) led by Joe TenBarge (Assistant Dean for Instructional Technology and Facilities and Director of LAITS); the Extended Campus, which includes the University Extension, the Informal Classes, Thompson Conference Center, Center for Continuing and Professional Education, and the Research and Methodology Group. He noted that over the next two to three years, much of LAITS would migrate to the provost’s office because so much of what is happening in education is technology-enhanced learning. Referring to the Extended Campus, Professor Pennebaker said one of the reasons it fell under Project 2021 was because “We need to be rethinking what happens to our students after they get out of here... We need to be thinking of education as a lifelong learning experience.” He said that when students get out of college, life questions arise such as how to run a household and how to raise kids, and one of the places they turn to for answers is universities. He said there are so many different areas that people are interested in. As an example, he referenced the Osher Lifelong Learning Institute where adults fifty or older sign up to take classes that they might not have been interested in at eighteen, such as *Beowulf*, but “when they are sixty-eight, they love *Beowulf*.” He said the point was that the University needs to be pushing our classes out to the “real world.” He noted that there has been increased discussion about how to open up the Option III and online classes to students around the world, to people who are not regular college students but who just want to learn. Professor Pennebaker said the Research and Methodology Group is charged with coming up with hard science to find out what works. He said relying on course instructor surveys to determine whether a given course is successful “is a lousy way to do evaluations.” Instead, he suggested that we start looking at any given course taught by any given teaching strategy to see if the students who took the course do better in the next set of courses and whether or not they stay at the University and become involved. He said this could be done because “there are all of these metrics that we now have access to that we’ve never had access to before.”

Professor Pennebaker closed his remarks by asking, “Why isn’t there a deeply detailed explanation of what Project 2021 is?” His answer was, “Because we’re still very much working on this.” He said every department has a different culture, and what works well in one department would be a disaster in another. He said that the idea behind Project 2021 was not to go in heavy handed telling departments, “You need to do this.” Instead, he said it is more about informing departments of options available to them and helping them with the changes, and in some cases, helping with funding when needed.

Professor Pennebaker then opened the floor for discussion and questions. Prabhudev C. Konana (Chair of Graduate Assembly and Professor, Department of Information, Risk, and Operations Management) asked if the University would co-opt some of what other universities are doing with hybrid and online learning or would it all be developed here at UT Austin? Professor Pennebaker said they were doing a little bit of everything from working with vendors to getting into cooperative ventures with other universities. He said, “The fact is, because this world is changing so quickly, by definition, we have to be very open-minded and see what works really well.” Dr. Hart added that UT Austin would co-opt anything as long as it worked for our campus. She emphasized that whatever changes do happen must come from the faculty members, not the chairs and not the deans. She said that is why the new center was name the Faculty Innovation Center.

Dean Iverson interjected, “This exciting new world we’re hearing about is exactly the reason we need to be thinking about our strategy for what we’re going to allow to transfer in.” He said this was a really important conversation and impacted his domain, which is the core curriculum. He

said just as we can broadcast online courses, UT Austin students can take them and have them transfer in. He opined that the University needs to really understand what that means and to be ready for it and not just react to it. Professor Pennebaker said that they had begun looking at the statistics of how students do once they transfer into UT Austin with their dual credit and AP courses. From his experience in his own department, he said that students who transfer their AP psychology in to UT Austin have a fifty-point higher SAT score but do worse in their later classes because they are not prepared. He said that he expected the same for dual credit courses.

Dr. Laura I. Gonzalez (Lecturer, Department of Integrative Biology) asked how faculty members could get involved? Professor Pennebaker responded that in the first year, they were working with a handful of the largest departments to see what works. If she was not a member of one of those departments, he invited her to send an email message to Dr. Hart or to himself and they would be happy to talk with her about what could be done in the short term that might be beneficial.

Professor Konana asked if there were any way to make the process move faster since there is a lot of demand to take online classes in his department? Professor Pennebaker replied, "I didn't appreciate this, but it turns out The University of Texas is a bureaucratic university. And, it's, the complexity of the issues that we are dealing with are so unbelievably complex." For example, he said to bring in a new online course involved multiple committees to make sure all of the technologies work together. And because we are considering true curriculum reform, we have to consider the impact on the Student Information System (SIS). He said, "It turns out it is not easy to move the iron bar," and that it could take one to two years to get the SIS working effectively.

Chair Jensen said she understood the need to involve technology in the classroom and that the University has the capacity to make it happen, but she wondered how faculty should get ready for the changes? She also thought the changes should be preceded by conversations and instruction on good principles of teaching and education when using the technology-enhanced approach. She opined, "You know this then gets connected with a resistance on the part of at least some faculty to try new things because students don't like new things. And then, we get hammered on course evaluations." Professor Pennebaker agreed with her remarks. He said the problem is that there is not a lot of data that shows that technology-enhanced methods work and that the University will have to do its own research on the matter. On the other hand, he said there was good meta-analysis that showed repeated testing works. In terms of online strategies, Professor Pennebaker said that Mr. TenBerge and his group had done a remarkable job of putting together smart classes, which are expensive and hard to get going. He again acknowledged that these smart classes would not work for many courses. But, he said, there are other smart methods that are coming online. He said the Project 2021 team is working to find out what really works.

Professor Linda L. Golden (Department of Marketing Administration) asked if the scope of the project is big enough to allow the instructor's computer to be networked with the students' so that everyone is seeing the same thing? And, she asked about ideas for new classrooms? She said twenty years ago, there were more innovative classrooms than today "because we've gone so linear with our pedagogy." Professor Pennebaker responded by saying that "the classrooms of the future are going to be wildly different than they are now, and they are going to be quite varied." He said because of online classes, many of the large lecture halls will become vacant, and down the road they will need to be repurposed. He said that if she had a specific need, he would like to know what her ideas are, "Because, we don't even pretend to know what's needed. This is what we do as we march from department to department."

Coleman Hutchison (Associate Professor, Department of English) said that he had taught a SMOC of 800 students this past spring and will teach another for 900 students next semester. He said feedback from the class was mostly good, although there was resistance from students to accepting the online approach because they already felt anonymous in a massive state school and they missed the connection with the faculty that they would have in a classroom setting. He asked,

“How do we get student buy-in on this?” Professor Pennebaker said that another part of Project 2021 was to push a sense of belongingness because the online courses are not effective in making the students feel connected to the faculty. He said that there has been a tremendous amount of research about course innovations, and research shows that “any time a faculty member tries something new, course evaluations almost always drop.” He then shared a “delightful experience” that he had had over the summer when he heard two students talking. One was bemoaning having to go to class in a classroom setting while the other was happy that his classes were all online. He said, “this generation is getting more and more used to this.” Professor Hutchison said that he was 100 percent behind the project, but felt that it was important to get student buy-in and to talk with them about what sort of educational experiences they want and to make sure they are included at “every single stop.” He said, “I just think students have to be a crucial part of any curricular innovation. It’s something that Brent has done beautifully in UGS.” Professor Pennebaker agreed and said that they would not “stuff this down your throat or a department’s throat.” He reiterated that the online approach was not for everyone and that they wanted to give people a really broad selection.

Christen Smith (Assistant Professor, Department of African and African Diaspora Studies) said that she teaches courses that ask tough questions about race and that some students find it difficult to participate in discussions, especially if they are around people who they are uncomfortable with. She asked if those kinds of issues could be addressed within this model? Professor Pennebaker responded by giving an example from his own experience. He said that each semester, he and Professor Gosling invite a guest lecturer who is very provocative. He says the class breaks into small groups of five people so there are 300 chats going on at once. He said the students talked the most when the discussion was on the topic of race or sexuality. He opined that typing online in that context is a really powerful way to get people to start discussing tough issues. He said to think of it as an experiment and see to how it goes.

Chair Jensen thanked Professor Pennebaker and said the Faculty Council would ask him back since Project 2021 had generated a lot of discussion. She encouraged faculty members to follow up with Professor Pennebaker and Dr. Hart if they had other questions.

B. Resolution from the Committee on Financial Aid to Students Concerning Unmet Student Need (D 14832-14835).

Nigel S. Atkinson (Committee Chair and Professor, Department of Neuroscience) thanked the Faculty Council for giving him the opportunity to present a resolution from the Committee on Financial Aid to Students, which he said dealt with a major problem of unmet student need. With regard to student education, the committee chair said there had been a regression of opportunity for people with lower to middle class incomes and that if it were to continue in this way, he could imagine a future where only the wealthy would be able to send their children to college. He added that families and students from lower and middle incomes incur a very large debt that degrades the quality of their life after graduation. Professor Atkinson reported that the average student debt for UT Austin graduates is \$25,000, which is substantial for students graduating with majors whose earning power is reduced for a number of years and could compromise their lives after graduation and probably “plays on their minds while they are in school.” To help relieve some of the student debt for lower and middle income families, the Committee on Financial Aid to Students is asking the Faculty Council to endorse a resolution that would ask President Fenves to make raising funds for scholarships that would help offset unmet student need a principle focus of the next Capital Campaign.

Professor Atkinson then presented the infographic below that shows the average unmet financial need to be \$10,495, even after Pell-eligible students had received financial aid and student loans. He said this burden, in addition to accrued student debt, was likely to hinder student success. He noted that the infographic applied only to Pell-eligible students and pointed out that there are many middle-class students who also have unmet financial need. Commenting on the President’s



new initiative, which would provide \$15 million in student aid over the next two years, Professor Atkinson said that it was an excellent start but that it would cover only 10 percent of unmet need for Pell-eligible students over a one-year period and that it did not factor in funding for other students in need from the middle and upper middle classes.

## THE CASE FOR NEED-BASED SCHOLARSHIPS

HOW DO STUDENTS PAY FOR COLLEGE?

**\$26,538**

AVERAGE YEARLY COST OF ATTENDANCE

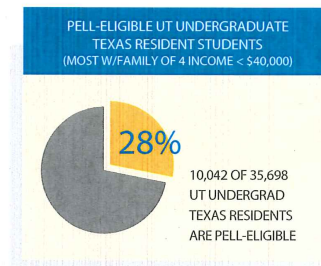
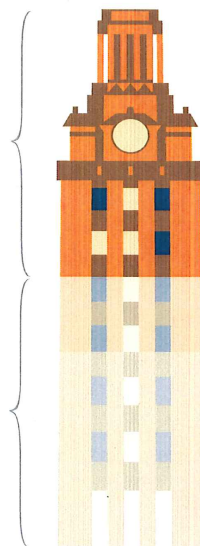
2014-15 TUITION & FEES, ROOM & BOARD, MISCELLANEOUS EXPENSES

**\$12,467**

AVERAGE GRANTS AND  
SCHOLARSHIPS FOR  
PELL-ELIGIBLE STUDENTS

**\$14,071**

AVERAGE ADDITIONAL FUNDS  
NEEDED AFTER FINANCIAL AID  
FOR PELL-ELIGIBLE STUDENTS



**\$3,576**

AVERAGE YEARLY STUDENT LOANS

**\$10,495**

AVERAGE YEARLY UNMET NEED  
BALANCE IS MANAGED WITH WORK  
AND LIFESTYLE CHOICES

IF STUDENTS CAN'T COVER COLLEGE COSTS,  
THEY ARE LESS LIKELY TO:

**GRADUATE AS A LONGHORN  
GRADUATE WITHOUT SIGNIFICANT DEBT**

DERIVED FROM A DOCUMENT PROVIDED BY THE STUDENT SUCCESS INITIATIVE

Professor Atkinson cited the following peer institutions that had made raising funds for unmet student financial need a principle focus of their capital campaigns: University of Georgia, Michigan State University, New York University, and Purdue University. He said Princeton University began a no-loan policy in 2001 in which grants were provided to the majority of their students and resulted in 84 percent of the recent graduating class being debt free while the remaining 16 percent who had taken out loans had encumbered an average debt of only \$8,500.

Referring to the second part of the committee's resolution, Professor Atkinson asked the Faculty Council to endorse funding of a task force that would undertake a comprehensive review of financial aid and would then suggest creative ways to satisfy the unmet financial need of students.

Chair Jensen said the Faculty Council would consider the two parts of the resolution separately beginning with the proposal to make raising of funds for scholarships for unmet student needs a principle component of the Capital Campaign. She asked if there were any questions or discussion on this point? Andrea C. Gore (Past Chair and Professor, College of Pharmacy) questioned whether it made sense to endorse this resolution given that President Fenves had indicated that the Capital Campaign had ended and that it would be another two to three years before he would undertake a new campaign? She suggested making it a priority for all fund raising beginning now. Professor Atkinson agreed with her suggestion. Chair Jensen asked if they were offering a change to the language and suggested waiting for further questions and comments from the floor. Jonathan Kaplan (Assistant Professor, Department of Middle Eastern Studies) remarked that, even if the Capital Campaign were to be deferred two to three years, he thought they would have already begun to plan for it “so, framing this early in the game would be important to help establish priorities for the campaign.” D. Max Snodderly (Committee member and Professor, Department of Neuroscience) said that the committee would prefer not to delay the resolution and that he would be in favor of making the edits suggested by Professor Gore to the language to read, “to include unmet student financial need as a principle component of fundraising at the University.” Secretary Hart, acting as parliamentarian since Vice President for Legal Affairs and General Faculty Parliamentarian Patricia Ohlendorf was absent, noted that the change in the language needed to be written out as an amendment and would have to be voted on. She asked the committee chair what he wanted to do. Professor Atkinson said he wanted the resolution to be put forward as written. Secretary Hart called the question. The Faculty Council unanimously endorsed the language as presented.

Chair Jensen asked for discussion on the second part of the resolution related to the development of a task force. She asked Professor Atkinson to talk a little more about what that would mean. Professor Atkinson said that, during the committee’s research, members found it very difficult to find relevant numbers related to financial aid and unmet financial need. The committee concluded that to collect the information they were seeking would involve data-mining, which would require funding. Secretary Hart asked for clarification about the funding since the Faculty Council did not have the resources to fund a task force? Professor Atkinson responded that the committee would ask the president and/or provost to provide funds for the new task force. Professor Gore opined that she would have difficulty asking the president to fund a task force that seemed so open-ended, “I’m a little uncomfortable about endorsing a resolution to fund something when we don’t know what it’s going to cost.” Pauline T. Strong (Professor, Department of Anthropology) asked if the committee had approached the Office of Institutional Research [Institutional Reporting, Research and Information Systems (IRRIS)]? She suggested that, “If a set of questions about financial aid were posed to the president, and he were asked to provide a report to answer those questions, the Office of Institutional Research would probably be asked to provide that information.” Professor Atkinson said he had not been aware of the services provided by IRRIS. Professor Snodderly clarified that the data the committee had been searching for went beyond reviewing financial aid; it encompassed a wide array of things such as other ways students make money. He said, “There doesn’t seem to be any place that is focused on reducing the debt by whatever means possible. And, so, I think that’s what we’re concerned about.” Dean Iverson spoke in favor of creating a task force to study the problem. He said, “If we don’t have a proactive task force looking at this right now, we’re going to appear to be very tone deaf.” He added, “We need to be taking this in a very positive direction and trying to figure out what we can do, not waiting for others to tell us what we have to do. And, so, I love the idea of having that happen.” Secretary Hart thought it important to clarify that the resolution would not bind the president to act on it if it were to be approved by the Faculty Council. Professor Snodderly suggested changing the language by substituting the word “establishing” for the word “funding.” A motion was made from the floor to vote on the amendment, which was unanimously approved by voice vote. The members then voted on the amended resolution, which read, “The Faculty Council endorses establishing a task force to

undertake a comprehensive review of financial aid in order to understand how to improve financial services to students.” The amended resolution was unanimously endorsed by voice vote.

- C. 2015-2016 Annual Report of the Technology-Enhanced Education Oversight Committee.  
Given the late hour, Jen Moon (2016-17 Committee Chair and Senior Lecturer, Biology Instructional Office) and Robert Crosnoe (2015-16 Committee Chair and Professor, Department of Sociology) agreed to postpone the committee’s report until the November 14 Faculty Council meeting.

**IX. ANNOUNCEMENTS AND COMMENTS.**

- A. Civitatis Award nominations due in the Office of the General Faculty by October 15.
- B. The next Faculty Council meeting will on November 14 in MAI 212 at 2:15 PM.

**X. QUESTIONS TO THE CHAIR—None.**

**XI. ADJOURNMENT.**

The meeting adjourned at 4:00 PM.

## Appendix A

### **Chancellor's Vision and Quantum Leaps for the UT System 2015-2020**

On November 5, 2015, Chancellor McRaven laid out a bold and sweeping path forward for The University of Texas System. One theme that ran through every aspect of his presentation was the need to use the System's size, talent and diversity to collaborate in ways never done before. He harkened back to his experiences over the past 14 years in combat and how the Special Operations community built a “**Team of Teams**” to tackle complex problems.

He began his presentation with a draft Mission Statement, one that captures the essence of what a great university system should provide the people it serves. From there he discussed the Operating Concept—this defines how the system will function to achieve its goals. Next, the Decision Process, which details the disciplined approach the System will take to its daily, weekly, monthly collaboration.

Then Chancellor McRaven laid out the Strategic Assessment, his view of the terrain – both as it exists today and as it will exist five, ten, twenty years from now. Finally, he outlined some bold initiatives, some “Quantum Leaps” in the System's ability to provide the citizens of Texas the very best in higher education, research and health care. These Quantum Leaps will, McRaven said, make the UT System the envy of every system in the Nation.



#### **TEXAS PROSPECT INITIATIVE**

Working with campus leaders, civic leaders, the legislature, community colleges, school districts and other primary and secondary education constituents, the System will use its size and its regional access to actively engage with leaders in pre-K through 12 in a way never before envisioned in higher education. The System will work aggressively to ensure that its college preparatory programs – dual-credits, early college high schools, math and science academies – meet the standards necessary to ensure that their students can successfully enter higher education. The System will develop a program to focus on dramatically improving elementary level literacy through a UT Literacy Institute – a reading version of the highly successful UTeach program -- and offer this program first to the state's largest, urban school districts. It will ensure that high school counselors in Texas have the resources they need to provide advice and direction to each potential college student. And it will shine a spotlight on the System's schools of education to ensure they are graduating the best teachers in the nation.

#### **THE AMERICAN LEADERSHIP PROGRAM**

Because the System is preparing the future leaders of Texas, it will create The American Leadership Program. Over the next several years it will begin to implement a one-hour upper and lower division course that will be required by all students attending a UT institution. The System will leverage the large veteran population, business and civic leaders and a host of others to teach the men and women of our state. Because senior administrators across the system and across the state and the nation need leadership education as well, the System will look to build a brick-and-mortar leadership institute that can provide executive level leadership training to all those who desire to improve the skills necessary to run today's complex organizations. The System will be known nationwide for developing great leaders.

#### **WINNING THE TALENT WAR**

The UT System Board of Regents has shown a willingness to invest in bringing world-class scholars, teachers, and researchers to the UT System. The wisdom of investing in world-class talent is more than apparent. The \$100 million investment in the Science and Technology Acquisition and Retention (STARs) program has yielded a phenomenal return – more than \$650 million to date. The System is going to make an unparalleled

investment in pursuit of the next generation of outstanding faculty. With the approval of the regents, it will increase the STARS investment and recommend a rising stars program that looks to hire clusters of great faculty — as well as an incentive program to retain our best post-doctoral candidates.

### **ENHANCING FAIRNESS AND OPPORTUNITY**

The UT System will aggressively ramp up efforts in driving equal opportunity and fairness in hiring and promotion processes. Education is — and should be — all about opportunity and that includes opportunity for our faculty and staff. The System will implement a “Rooney Rule” — similar to what exists in the NFL for hiring head coaches — for higher education and health care. This will ensure that qualified women and minorities will be considered for every senior level position from dean and above. Additionally, to ensure fairness in faculty compensation, each campus will submit a plan to the Chancellor to close the gender gap within five years.

### **THE UT HEALTH CARE ENTERPRISE**

The UT System will improve the health of Texas by putting the collective power of its institutions to work. It will develop a collaborative Health Care Enterprise that will leverage its size and expertise and connect its regional capabilities to ensure it provides Texas, the nation and the world with the finest health care possible. This will entail collaboration among UT health institutions along all lines of major health care functions — such as shared clinical information, shared service lines, clinical trials and telehealth. The System will incentivize and, where necessary, drive partnering so that it takes full advantage of the phenomenal talent and expertise that exists around the enterprise

### **LEADING THE BRAIN HEALTH REVOLUTION**

The UT System will launch an effort akin to the Manhattan Project to understand, prevent, treat and cure the diseases of the brain. It will tackle the issue in two ways. First, it will make an unprecedented investment in leveraging and connecting all the cutting edge science ongoing at UT institutions. It will drive collaboration, incentivize partnerships and demand scientific and clinical cooperation. Then, the System will add another critical node to the constellation of the UT brain health enterprise at its flagship academic institution in Austin.

### **THE UT NETWORK FOR NATIONAL SECURITY**

The UT System is uniquely positioned to establish itself as a leader in national security because scattered among its institutions are great minds thinking and working on our national security problems. The UT System has more than 40 centers and institutes focusing on national security issues today. The System will establish the UT Network for National Security, a system-wide alliance to address the most vexing problems, raise them to national prominence, convene world forums, write, discuss, debate and present solutions. The UT System will be the national authority on scholarly activities in national security.

### **UT SYSTEM EXPANSION IN HOUSTON**

To broaden access to more of Texas’ brightest students while taking advantage of the talent and expertise of the state’s most populous and international city, the System will expand its footprint in Houston. This effort will be decades in the making, but will provide a venue for UT institutions across the state to have a presence in Houston, which is the brain hub of so many critical industries, such as energy, finance and health care. The System is completing the acquisition of over 300 acres of real estate off Buffalo Point just 3.5 miles from the Texas Medical Center. This will be a game changer, in a very positive way, for Houston, for the UT System, and for the state of Texas.

This expansion of the UT System into the state’s most international city — where sectors such as energy, technology health care, arts and culture fuel the economy — will provide extraordinary opportunities for research and partnerships. It will also address the need to make a UT education possible for a growing and changing population. At the beginning of 2016, Chancellor McRaven will convene a task force of civic leaders, legislators, academic and health presidents, faculty, students, regents and other constituents to begin planning for the development of the Houston property.

### **STUDENT SUCCESS**

Too few young people are going to college, and of those who do, too few graduate. This has dramatic social and economic consequences for our state — and our nation — and the UT System will double down on efforts to

improve student success across all institutions. The UT System will employ innovative partnerships, initiatives and technology to ensure students receive the tools and support they need to stay on the path to graduation. UT System institutions not only will increase graduate rates while keeping education debt in check, they'll produce more career-ready graduates who immediately contribute to the economy and their communities.

## Appendix B

**Shared Governance at the University of Texas System Institutions: A White Paper**

Prepared by the University of Texas System Faculty Advisory Council

Spring 2016

**Introduction**

"Shared Governance" is a concept of collegial, cooperative, and trust-based organizational leadership that enables meaningful combined participation by administration and faculty in the management of an institution's operations. Outstanding universities across the globe practice this form of combined governance.. Though the application of such democratic principles to the governance of a higher education institution in the US was first codified in 1920 and then included in the *American Association of University Professors Policy Documents and Reports*, shared governance in American higher education is almost 200 years old. History, proven practice, and tradition have shown that involving employees in the decision-making processes at institutions allow those organizations to excel in the generation of knowledge and ideas, sustain high quality education, and protect both quality and productivity from short-sighted decisions. Shared governance creates a highly effective team culture of "all-in" on a campus.

Recent developments in the higher education environment in the United States have put this critically important concept at risk. Driven by many factors -- political decisions and reduced sources of funding among them -- the business aspects of running a university often reduce the internal decision-making processes to those found in corporations. More and more frequently the "front line" employees -- the faculty -- are no longer involved in these processes. A routine of faculty exclusion in one area of governance gradually expands to other processes of what should be shared decision-making, and soon the conscience of an institution that provides educational expertise, continuity, and the long view is lost.

We are fortunate here in the UT System to have shared governance codified by Regents' *Rules and Regulations*, Rule 40101, "Faculty Role in Educational Policy Formation." This Regent Rule states that "the faculties of the institutions regularly offering instruction shall have a major role in the governance of their respective institutions." In fact, Regents Rule 20201:4.9.(b) *requires* the campus president to assure that all policies coming under Rule 40101 are reviewed by the elected governance body of the campus *before* they are submitted to the Regents for final approval and then inclusion in the campus Handbook of Operating Procedures.

However, the results of a UT System Faculty Advisory Council (FAC) survey conducted in the 2015/2016 Academic year show cause for concern. Six of our institutions reported serious problems or little-to-no shared governance, and four institutions reported "moderately effective" or mixed results in their shared governance procedures. Only four of our fourteen institutions reported having "very effective" shared governance structures and cultures of communication.

We believe we can do better. As a result we, the FAC, have developed this white paper on shared governance, which focuses on three main goals:

1. We urge the Chancellor to consider establishing a set of "Essential Elements of Effective Shared Governance" as a UT System standard to be met by our institutions.
2. We propose adoption of a Philosophy of Shared Governance for the UT System
3. We propose applying a specific set of best practices tailored to UT System conditions as a starting point for the discussion between faculty and administration at each institution and for the subsequent implementation or enhancement of shared governance on each campus.

Therefore, the UTS Faculty Advisory Council (FAC) respectfully presents this document, "Shared Governance at the University of Texas System Institutions: A White Paper" to the UTS Chancellor. Within the

document we present Six Essential Elements of Shared Governance, a Philosophy of Shared Governance for the UT System, and a list of twelve Best Practices to Enhance Shared Governance with recommended action items. Finally, we end the white paper with our recommendation to the Chancellor that this document can be part of a transformational moment in the history of leadership at the UT System.

### **Six Essential Elements of Shared Governance for the UT System**

This section outlines the FAC-recommended Six Essential Elements of Shared Governance ideally found at each UT System institution. These elements must be present in order for shared governance to function at its most effective and efficient level.

1. An institution-wide commitment to the concept of shared governance linking the president, faculty, and all stakeholders in a well-functioning partnership, purposefully devoted to a clearly defined and broadly affirmed institutional vision.
2. An organizational culture of caring, mutual respect, and trust
3. Consistently open, bidirectional, and transparent communication without threat or fear of reprisal.
4. A standing elected faculty governance organization recognized institution-wide as the voice of the faculty.
5. Partnership, shared responsibility, and shared accountability in decision-making for all academic, clinical, and research matters; shared accountability in all other institutional decision-making. These areas include the following:
  - a. Institutional strategic planning;
  - b. Establishment & review of educational curricula & academic programs (see RR 40307 section 2.2 a, b, c & e)
  - c. Institutional budgets and faculty compensation;
  - d. Faculty and administrative hiring;
  - e. Tenure and promotion;
  - f. Faculty appointments & reappointments;
  - g. Policy formation;
  - h. Selection, evaluation, and retention of administrators; and
  - i. Other institutional & university procedures & committees essential for the mission and success of the university/institution.
6. A proclivity for action and persistent follow-up on all institutional decisions.

### **A Philosophy of Shared Governance at the UT System**

Shared governance at both academic and health institutions requires broad participation from both faculty and administration to ensure that the voice of the faculty is heard and that there is open dialog and communication as well as transparency and accountability for institutional operations and all academic functions. To this end, we offer the following:

Shared Governance at UT System institutions should be based upon:

- A total commitment to collegial, cooperative, and trust-based organizational leadership that enables meaningful combined participation by the administration and the faculty in the management of an institution's operations;
- A devoted partnership among all stakeholders to a clearly defined and broadly affirmed institutional vision;
- A standing elected faculty governance organization recognized as the voice of the faculty;
- Consistently open and transparent communication without threat or fear of reprisal;



- Shared responsibility and accountability in decision making and a proclivity for action and persistent follow-up on all institutional decisions; and
- An organizational culture of caring, mutual respect and commitment to collectively address any challenge.

## **Twelve Best Practices in Shared Governance**

The recommended best practices for shared governance are subsumed below under four broad categories of Leadership, Policy, Communication, and Culture or Work Climate. The practices are numbered and presented in bold face. Corresponding recommended action items and, in some cases, brief discussion, are presented below each best practice.

### **Leadership Roles, Responsibilities, and Structures**

**1. The Faculty Governance Organization should implement or maintain policies that specifically establish, secure and clearly define the role of the institution's Faculty Governance Organization (FGO) in overall institutional governance. Appointments of faculty to committees whose concerns fall under Rule 40101 should be recommended by the elected faculty governance body**

#### **Recommended Action Items:**

- a) The FGO will recommend faculty for appointments to committees that fall under RR 40101, including search committees for both faculty and administrative positions.
- b) FGO leadership shall be included as active members of the President's Council or primary executive committee.
- c) The President shall schedule monthly or bi-monthly meetings between the President and the leadership of the Faculty Governance Organization.
- d) To facilitate communication, meeting schedules and locations that are sensitive to the teaching and clinical schedules of FGO leaders should be considered. If possible, the FGO executive officers (e.g., Chair and Chair Elect) should be given schedules that allow them to attend required meetings.
- e) The President and the Provost should be accessible to consult with the faculty governance leadership. Communication should be bi-directional in order to get quick responses to pressing issues, "bubbling" concerns, etc. FGO leadership should also be available to Administration to offer input on a timely basis.

**2. The Faculty Governance organization should consider establishing a separate Shared Governance Board (SGB) or add that function to existing Faculty Governance Executive Committees/Councils (FGEC) for each campus.**

**Discussion:** The composition of this body may vary from institution to institution, but, at a minimum, it should include the university President, the leadership of the faculty governance organization, and others in staff and administrative executive leadership as deemed appropriate. It is considered a best practice that this SGB/FGEC be the foremost advisory committee to the President and meet regularly, no less than once a month.

#### **Recommended Action Items:**

- a) The SGB or FGEC will function as a way to provide "shared governance" oversight and counsel.
- b) The SGB/FGEC will make recommendations and advise the President on important areas of shared decision making as they pertain to faculty. Minutes should be kept of all meetings. Accountability and follow up are critical components of these meetings.

**3. The Faculty Governance Organization should develop and maintain faculty governance organization website for each institution**

**Recommended Action Items:**

- a) The website should be up-to-date and contain at minimum: agenda, meeting schedule for the academic year, approved minutes, directory of senators, by-laws and/or constitution for the FGO, links to Regents Rules for the UTS, announcements for elections, etc. Other information such as attendance records of Senate representatives may also be posted; HOP policies under review, etc.
- b) A robust election system should be designed that promotes widespread participation; encourages service in the FGO; and provides information to voters regarding the role of a Senator and the responsibilities of his/her position. There may be a need for electronic support in conducting elections on some campuses/institutions whereas others may use departmental procedures to elect/select senate representatives. A message from Administration that supports and encourages service on the FGO is also recommended.

**4. The institution/university administration should provide adequate administrative and financial support, including protected time for faculty governance leaders, and designated space for the faculty governance organization to improve efficiency of communication and transparency.**

**Recommended Action Items:**

- a) The FGO should be granted a defined office space for the Faculty Governance Organization operations. In addition, the FGO should have a line item departmental budget that should be over and above what is allocated by the UTS for travel to FAC meetings. UTRGV may serve as one model for this since the FGO has had its own office space and budget for over 10 years.
- b) FAC recommends having dedicated support staff for the FGO office
- c) FAC recommends administration officials consider giving the FGO departmental status.
- d) The FGO President, at a minimum, should be eligible for protected time/release time.

**Policy Development, Review, and Implementation**

**5. Each campus should develop an evaluation tool for assessment of faculty performance that incorporates all dimensions of faculty workload including faculty participation in scholarly and non-revenue generating activities and service, in addition to teaching and clinical care**

**6. Each campus should review for internal compliance and update as necessary all policies in HOPs and HOOPs regarding promotion and tenure, term-tenure renewal or post-tenure review. Regents' Rule 20201 requires that any changes to the HOP be reviewed and approved by the Faculty Governance Organization prior to implementation.**

**7. Each campus should implement clear faculty appeal and grievance policies, and a mechanism for review and approval of such policies by the Faculty Governance Organization or the institution's Shared Governance Board, if formed. Ensure the medical and health professions faculty has shared decision-making in setting their clinical expectations, and faculty is provided a mechanism to appeal decisions if an increased workload is affecting the safety of patients.**

**Recommended Action Items:**

- a) Administrators and faculty leaders should be required to have a working knowledge of HOP, HOOP, Regents Rules and UTS policies.
- b) Administrators and faculty leaders should adhere to existing policies as vetted and approved by the FGO. When there are differences in what the FGO proposes and what Administration wants, a Blue Ribbon taskforce shall be established to work through the differences and propose solutions that both the FGO and Administration can support.

- c) Policies not vetted by the FGO (or in some cases, departmental faculty) should not be posted on websites and “proclaimed” as official University policies.
- d) A Faculty Salary Review Committee should be established. This committee will analyze salaries across the institution to ensure equity across gender, ethnic and departmental lines. This committee can also be charged with advising on how to address salary compression/inversion issues on a proactive basis.
- e) Each institution should have a Grievance policy that specifies the procedures for faculty who believe that they need to appeal a decision or file a grievance.
- f) Promotion and Tenure Policies
  - i. Tenure track faculty should be reviewed and evaluated by the policies in place at the time of their initial tenure-track appointment. These policies should be given to the candidate as part of the hiring package of materials and should be reviewed yearly with the candidate, especially at the 3<sup>rd</sup> year review mark and 1 year prior to advancing to the final review year.
  - ii. Each institution should develop its own policies for tenure and promotion and these policies will include information on committee composition and evaluation procedures. Any differences between departmental policy expectations and those at other administrative levels need to be vetted at the departmental level for a vote of the faculty. In other words, changes to policies must be agreed upon by departmental faculty and that may require engagement and difficult conversations with the Dean and the Provost.
- g) Faculty Workload:
  - i. A holistic metric for accurately measuring the workload of faculty must be developed. This metric should take into account supervision of labs, music rehearsals, advising, mentoring and coaching students, serving on governance groups (committees and FGOs), research, creative activities, community engagement, outreach, and service to the profession. All dimensions of faculty workload should be measured to more accurately provide data for our faculty productivity reports. Faculty participation in scholarly and non-revenue generating activities should also be included in addition to teaching and clinical care.
  - ii. The business side of the medical and academic institutions while important should not supersede the institution’s commitment to quality care and quality instruction.
  - iii. Academic time for scholarly/creative pursuits must be preserved to give faculty the opportunity to generate new knowledge and creative works.
  - iv. Academic freedom to pursue scholarly interests must be preserved in the interest of advancing the academy and solving pressing societal problems.

### **Bi-Directional Communication, Transparency, and Accountability**

**8. Institutions’ administrators should include faculty-at-large and the faculty governance organization early and often in strategic planning, review of the institutional budget, philanthropic funding distributions, as well as clinical revenue-allocations across the university/institution. Provide transparency to faculty at large and faculty governance organization on budgets and allow their input on budgetary decisions.**

**Recommended Action Item:**

- a) Administrators should contribute to positive faculty morale, transparency and accountability via regular electronic and/or face to face (townhall, etc.) communication with the faculty.

**9. It should be a campus/institution norm that faculty input is sought by the President and other Administrators on major issues that impact faculty per RR 40101. Communication is most effective when it is proactive and not reactive.**

### **Institutional Culture and Work Climate**

**10. Each campus should develop an upward evaluation tool or a “360 degree” type assessment tool for all higher administrators, including but not limited to, Chairs/Directors, Division Directors, Deans, Provosts, Vice Presidents and Presidents that includes participation by the campus Faculty Governance Organization, with a written report to the appropriate U T System Executive Vice Chancellor and the Deputy Chancellor.**

**Discussion:** All UTS institutions strive to be work places with a positive, supportive culture that values integrity, fairness, equity, respect, service and joint responsibility for the mission of the institution. Shared governance can enhance and create this type of culture where top down authoritarian decision making is the exception and not the rule. In addition, Shared Governance can promote trust, collegiality, mutual respect and open dialog while preventing bullying, mobbing, and behaviors that impede gender equity, faculty recruitment and faculty retention. With this in mind, several recommended action items are listed below.

**Recommended Action Items:**

- a) All institutions should have a periodic evaluation of Presidents by faculty, staff and other administrators in addition to periodic evaluations of other top level administrators (Deans and up).
  - i. Administration evaluations should be public information.
  - ii. Administrators should also be evaluated for credibility and level of confidence in their leadership.
  - iii. UTS officials should consider action plans to remediate or remove these leaders. The FGO should be consulted regarding their perceptions of the leadership issues being faced by the institution.
- b) Training and Education on Shared Governance should be available through the UT System. Administrators and FGO members should be trained in: Shared Governance, Servant Leadership, and Conflict Management. The evaluation instrument used for Administration should have items that measure shared governance behaviors.
- c) The principles of shared governance should also be provided to new Chairs at the UTS Leadership Academy.
- d) New Faculty Orientation should also socialize and inform the new faculty to the culture of shared governance.
- e) Academic Affairs and the FGO should partner in hosting shared governance retreats/workshops for members of committees. Staff Senators should also be included in this training.
- f) Training should be provided on how to plan effective meetings. These meetings would not be for information dissemination; instead, participants will be actively engaged in brainstorming solutions for the pressing problems of the institution. This active engagement of stakeholders will revitalize campuses/institutions and help build team work. Accountability/follow up must be built in to the process.
- g) The UTS component institutions/universities should work together to design evaluation instruments/tools that measure shared governance behaviors by administrators (chairs, etc.). When behaviors are operationalized and measured, the expectations are clearer and there is accountability built in to the system.
- h) Each campus should develop its own time table for administrator evaluations.
- i) Instruments used to evaluate administrators should be tested for reliability and validity.
- j) Institutional policies to prevent or deal effectively with cases of bullying, mobbing, and/or retaliation should be developed and adopted at each institution.
- k) Administrators and FGO should be seen as partners in the educational enterprise.

- i. Therefore, they should meet regularly; have open and honest communication; agree to disagree agreeably; focus on solutions and the best interest of the institution as a whole.

**11. Each campus should conduct a culture and climate survey among the faculty and administration within the first 90 days of the arrival of a new president and thereafter on an interval determined with the Faculty Governance Organization.**

**Recommended Action Item:**

- a) Survey results should be released to the public, and the FGO leadership and Administration should meet to discuss any problems or concerns that emerge from the survey and to formulate remedies for these problems. Positive climate results should also be widely communicated.

**12. Each campus should establish a mechanism for institution or administration to bring issues or problems with shared governance that cannot be resolved internally to the UT System Administration.**

**Recommended Action Items:**

- a) Faculty Governance Leaders and Administration who find themselves in a difficult situation should seek to mediate conflicts instead of escalate them. The use of an independent ombudsperson, a mediator or other objective third party (possibly facilitated through the UT System) should be sought. Many grievances and lawsuits may be prevented if there is a mechanism for resolving problems instead of escalating them. There is a perception that the proliferation of legal offices at institutions has served to exacerbate situations instead of resolving them early on. Legal teams should be trained in mediation.
- b) The UTS may want to explore providing training for ombudspersons for the component institutions.

**Concluding Recommendation:**

A strong sense of partnership and shared commitment among faculty and administration is essential to the successful daily operations of our universities. Shared governance as outlined here can help all members of the UT System community sustain excellence in teaching, research, and clinical care and can help us react thoughtfully to the rapidly changing environment in modern higher education.

This is a transformational moment in the history of leadership in the University of Texas System. The UT System Faculty Advisory Council respectfully urges the Chancellor to consider and apply a common standard and set of guidelines for shared governance across the System. These guidelines would serve as a general statement of the expectations for shared governance in the UT System and could be evaluated and adjusted locally as needed on an annual basis.

The FAC strongly recommends that the Chancellor might use this document, with its Six Essential Elements of Shared Governance, Philosophy of Shared Governance, and twelve Best Practices as the starting point for system-wide discussion and implementation of a more enlightened and contemporary leadership model than presently exists on most of our campuses. The model these principles and practices outline is based on “trust, common purpose, shared consciousness, and empowered execution” (McChrystal 7).

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**Shared Governance at the University of Texas System Institutions: A White Paper Executive Summary for the Chancellor**  
*Passed unanimously by the UT System Faculty Advisory Council, April 8<sup>th</sup>, 2016*

"Shared Governance" is a concept of collegial, cooperative, and trust-based organizational leadership that enables meaningful combined participation by administration and faculty in the management of an institution's operations. Outstanding universities across the globe apply this concept that involves a combined governance effort. Though the application of such democratic principles to the governance of a higher education institution in the US was first codified in 1920 in a report by the American Association of University Professors, shared governance in American higher education is almost 200 years old. History, proven practice, and tradition have shown that involving employees in the decision making processes at institutions allow those organizations to excel in the generation of knowledge and ideas, sustain high quality education, and protect both quality and productivity from short-sighted decisions. Shared governance creates a highly effective team culture of "all-in" on a campus.

Recent developments in the higher education environment in the United States put this critically important concept at risk. Driven by many factors -- political decisions and reduced sources of funding among them -- the business aspects running a university often reduce the internal decision making processes to those akin to a corporation. More and more frequently the "front line" employees -- the faculty -- are no longer involved in these processes. A routine of faculty exclusion in one area of governance gradually expands to other processes of shared decision making and soon the conscience of an institution that provides educational expertise, continuity, and the long view is lost.

We are fortunate here in the UT System to have shared governance codified by Regents' *Rules and Regulations*, Rule 40101, Faculty Role in Educational Policy Formation. This Regent Rule states that "the faculties of the institutions regularly offering instruction shall have a major role in the governance of their respective institutions." This is further clarified in Regents Rule 20201:4.9.(b), that requires the campus president to assure that all policies that come under Rule 40101 are reviewed by elected governance body of the campus before they are submitted to the Regents for final approval for inclusion in the campus Handbook of Operating Procedures.

However, the results of a UT System Faculty Advisory Council survey conducted in the 2015/2016 Academic year show cause for concern. Six of our institutions reported serious problems or little-to-no shared governance, and four institutions reported "moderately effective" or mixed results in their shared governance procedures. Only four of our fourteen institutions reported having "very effective" shared governance structures and cultures of communication.

We believe we can do better. As a result we, the FAC, have developed a White Paper on Shared Governance, and this executive summary briefly captures the paper's two main points:

- 1) The Chancellor considers establishing a set of "Essential Elements of Effective Shared Governance" as a UT System standard to be met by our institutions.
- 2) Apply a specific set of best practices tailored to UT System conditions as a start point for the discussion between faculty and administration at each institution for the implementation or enhancement of existing shared governance.

The draft listing of the FAC-recommended Six Essential Elements of Shared Governance ideally found at each UT System institution follow:

- **An institution-wide commitment to the concept of shared governance** linking the president, faculty, and all stakeholders in a well-functioning partnership, purposefully devoted to a clearly defined and broadly affirmed institutional vision.
- **An organizational culture of caring, mutual respect, and trust.**
- **Consistently open, bidirectional, and transparent communication without threat or fear of reprisal.**

- **A standing elected faculty governance organization recognized institution-wide as the voice of the faculty.**
- **Partnership, shared responsibility, and shared accountability in decision-making** for all academic, clinical, and research matters; shared *accountability* in all other institutional decision-making.
- **A proclivity for action and persistent follow-up** on all institutional decisions.

The following are specific recommended “best practices” that would enhance shared governance at institutions across the UT System:

- Implement policies, if not already in place, that specifically establish, secure and clearly define the role of the institution’s Faculty Governance Organization in overall institutional governance. Specific details on membership, procedure, and unique functions are provided in the full White Paper. Appointments of faculty to committees whose concerns fall under Rule 40101 should be recommended by the elected faculty governance body.
- Consider establishment of a separate Shared Governance Board (SGB) *or add that function to existing Faculty Governance Executive Committees/Councils (SGB/FGEC)* for each campus. The composition of this body may vary from institution to institution but at a minimum include the university President, the leadership of the faculty governance organization, and others in staff and administrative executive leadership as deemed appropriate. It is considered a best practice that this SGB/FSEC be the foremost advisory committee to the President and meet regularly, no less than bi-monthly. The full White Paper further outlines recommended areas of shared decision making in detail.
- Include the faculty-at-large and faculty governance organization early and often in strategic planning, review of the institutional budget, philanthropic funding distributions as well as clinical revenue allocations across the university/institution. Provide transparency to faculty-at-large and faculty governance organization on budgets and allow their input on budgetary decisions. Specific details are in the full White Paper.
- Develop an evaluation tool for assessment of faculty performance that incorporates all dimensions of faculty workload including all areas of faculty participation in scholarly and non-revenue generating activities and service, in addition to teaching and clinical care.
- Develop an upward evaluation tool or 360 degree assessment tool for all higher administrators including but not limited to Chairs/Directors, Division Directors, Deans, Provosts, Vice Presidents and Presidents that includes participation by the campus Faculty Governance Organization, with a written report given to the appropriate UT System Executive Vice Chancellor and the Deputy Chancellor.
- Ensure the medical and health professions faculty has shared decision-making in setting their clinical expectations, and faculty is provided a mechanism to appeal decisions if an increased workload is affecting the safety of patients.
- Review for internal compliance and update as necessary all policies in HOPs and HOOPs regarding promotion and tenure, term tenure renewal or post tenure review. It is required by Regents’ Rule 20201 to have any changes to the HOP reviewed and approved by the Faculty Governance Organization prior to implementation. Further details are in the full White Paper.
- Implement clear faculty appeal and grievance policies, and a mechanism for review and approval of such policies by the Faculty Governance Organization or the institution’s Shared Governance Board if formed.
- Conduct a culture and climate survey among the faculty and administration within the first 90 days of the arrival of a new President and thereafter on an interval determined with the faculty governance organization.



- Establish a mechanism for institution faculty or administration to raise issues or problems with shared governance that cannot be resolved internally to the UT System Administration level.
- Provide adequate administrative and financial support, including protected time for faculty governance leaders, and designated space for the faculty governance organization to improve efficiency of communication and transparency.
- Develop and maintain a faculty governance body website for each institution to improve transparency.

A strong sense of partnership and shared collective commitment to the institution among faculty and administration is essential to the successful daily operations of our universities, sustaining excellence for our students and patients, and reacting thoughtfully to a rapidly changing environment. The results of our survey show this critical sense of “team” is inconsistent on most of our campuses and non-existent at a few. We, the FAC, believe the UT System senior leadership should step in and establish a guardrail against the further erosion and loss of true shared governance.

**Recommendation:** the Chancellor applies a common standard, a set of guidelines, for shared governance across the System. These guidelines would be a general statement of the minimum expectations for shared governance and evaluated on an annual basis. The Six Essential Elements of Shared Governance outlined in this executive summary are strongly recommended by the FAC to be the start point for discussion of this common standard.

**THE UNIVERSITY OF TEXAS SYSTEM  
PHILOSOPHY OF SHARED GOVERNANCE**

- Total commitment to collegial, cooperative, and trust-based organizational leadership that enables meaningful, combined participation by the administration and the faculty in the management of an institution's operations.
- A devoted partnership among all stakeholders to a clearly defined and broadly affirmed institutional vision.
- A standing elected faculty governance organization recognized as the voice of the faculty.
- Consistently open and transparent communication without threat or fear of reprisal.
- While recognizing it is the President who is accountable for all the institution does or fails to do, an appropriate level of shared responsibility and accountability in decision-making exists, along with a bias for action and follow-up on all institutional decisions.
- An overall organizational culture of caring, mutual respect, and commitment to collectively address any challenge.