

Whereas the Constitution of the Faculty of the University of Northern Iowa, *Policy and Procedures* of the University of Northern Iowa, and policy statements adopted by the American Association of University Professors (see Appendices) assert a meaningful understanding of shared governance and open communication when it comes to all important matters affecting the mission of the university, the budgeting of its resources, and the selection of academic officers;

And whereas the Faculty Senate of the College of Humanities & Fine Arts asked the University Faculty Senate to recommend adequate procedures for any future mergers or reorganizations of academic units.

The *ad hoc* committee designated by the Senate to draft recommendations for future academic reorganization moves that the University Faculty Senate adopt the following recommendations and forward them to the President, Provost, Deans, and Department Heads.

Recommended Procedures for Academic Reorganization

A. Definition of Academic Reorganization

Academic reorganization occurs whenever an administrative unit within the Division of Academic Affairs, including, but not necessarily limited to, all colleges and academic departments, is eliminated, split, merged, all or in part, with another internal or external unit, or moved, all or in part, from one internal or external unit to another. (Academic administrative units are not the same as academic majors, minors, or other curricular programs. Curricular programs are not considered in these recommendations.)

B. Proper Consultation for All Types of Reorganization

The University Faculty Senate recommends that the President, Provost, and Deans seek information, perspectives, and reasons for and against any proposed academic reorganization (as defined above) before such reorganizations are announced and/or executed; and that those consulted include

- The Academic Affairs Council
- Affected Dean(s) of college(s)
- Affected Department heads and/or directors
- Affected College Senates
- University Faculty Senate
- Chair of the University Faculty

Further, the University Faculty Senate recommends that all data collected about academic units by those outside the affected unit(s) be shared with the affected department head(s), dean(s), and/or director(s) during the consultation process for the purpose of comparing that data with data collected from within the affected units.

C. Budgetary Rationale for All Types of Reorganization

The University Faculty Senate recommends that if the rationale for reorganization consists completely, or in part, of projected financial savings, that a projected and detailed budget for the reorganization be presented at

the beginning of the consultation process. A detailed budget includes both savings and costs of the changes. Savings might include salaries, lower physical plant expenses, etc. Costs might include salary increases for administrators; new administrative and staff positions; remodeling of administrative space; purchase of furniture and other equipment, moving expenses, etc; developing and producing new promotional and recruitment materials, new website design, and other such items; and the faculty and staff time in working out the reorganization

D. Definition of a New Academic Unit in the Case of Mergers or Moves from One Unit to Another

Sometimes a new academic unit may be created without a name change. In this case, the University Faculty Senate recommends that an existing academic unit be considered a “new” academic unit whenever tenured or tenure-track faculty numbering 50% or more of the same in that existing unit are merged with or moved into it. (This 50% mark would result in a new unit that is two-thirds existing unit, and one-third new members.)

E. Leadership for New Academic Units in the Case of Mergers or Moves from One Unit to Another

The University Faculty Senate recommends that when academic reorganization results in a new academic unit(s), (defined in D. above), search(es) be conducted for the department head (s), director(s), or dean(s) or the new unit(s) in a timely manner, ideally by the end of the first academic year after the reorganization, and according to policies and procedures that guarantee that all faculty in the new unit have input in the appointment process. If the reorganization is extensive, and several department heads, directors and/or deans need to be hired, then it may take longer to complete all searches.

F. Leadership for New Academic Units in the Case of Splits

The University Faculty Senate recommends that, where needed, searches for new department heads, directors, or deans be conducted according to policies and procedures that guarantee faculty in new units have input in the appointment process.

Appendix A: University of Northern Iowa Policy & Procedures

Shared Governance

0.00.1 Policy: *...faculty bodies have traditionally assumed a major role in the development of educational policy. Educational policy is understood to embrace all matters affecting the curriculum as well as other academic related areas. Faculty groups may also participate in the creation or review of personnel policies concerning the appointment and review of academic administrators.*

Regarding Appointments of Deans

6.03.1 Deans Recruitment/Appointments: *Recruitment and hiring for these positions shall be in accordance with Affirmative Action policy and procedures and other applicable personnel policies....*

6.03.2.1: Membership, Dean Search and Screening Committees. Dean of Academic College: *The committee shall be composed of five (5) faculty members, two (2) appointed students, three (3) department heads and a representative of the Council of Deans. The administrative members shall be appointed by the Vice President and Provost and will include three (3) department heads and one representative from the Council of Deans. The faculty members shall be selected by the College Faculty Senate, or other representative body, by a method to be determined by that body. The committee will select its own chairperson.*

13.01.II Affirmative Action. Authority and Responsibility for Affirmative Action: *The University community has the responsibility to abide by the spirit of affirmative action and to achieve its implementation. Individuals having recurring or ad hoc responsibilities for personnel decisions are concomitantly responsible for achieving affirmative action goals and objectives and complying with established affirmative action procedures.*

13.01.V. Affirmative Action. Position Search and Selection Policy: *Vacant positions at the University of Northern Iowa shall be filled by the customary search and selection procedures. Exceptions to this process will be authorized by the Assistant to the President for Compliance and Equity Management, as outlined in this Policy for Affirmative Action in the following employment categories: Faculty and Staff, Temporary, Part-time, Emergency, and Term Appointments, and in the instances where internal promotion is proposed. No employment offer shall be extended in the absence of "good faith" compliance with the University's affirmative action policies as determined by the Assistant to the President for Compliance and Equity Management or designee, in consultation with the appropriate Vice President.*

Regarding Appointments of Department Heads

6.02.1 Academic Department Head Recruitment/Appointments: *Academic department head recruiting shall be in accordance with Affirmative Action policy and procedures and other applicable personnel policies. Affirmative Action policy and procedures as well as the Affirmative Action Guide-Faculty are to be reviewed and applied.*

6.02.2 Membership, Department Head Search and Screening Committees: The Committee shall be composed of a maximum of five tenured/probationary faculty members selected by the department. One student or alumnus/alumna, one department head from within the college, and one faculty member, also from within the colleges, maybe appointed by the dean if so desired. Any committee member electing to become an active candidate shall be replaced on the committee according to procedures above.

6.02.3 The committee shall meet with the dean of the college to develop the position description and to discuss the search policies and procedures.

6.02.4 Recruitment Procedures: The committee shall pursue applications and nominations from a wide variety of sources including the teaching faculty, administrative staff, professional associations, and other colleges and universities.

6.02.5 The committee shall provide comparable opportunities for applications, interviews, etc., for off-campus and on-campus candidates.

6.02.6 The committee shall screen the applications and nominations and, in consultation with the dean, make arrangements for interviews by the committee, departmental faculty, and appropriate university officials for a reasonable number of candidates. The candidate list is to be reviewed and approved by the Director of Affirmative Action Programs before arrangements are made for on-campus interviews.

6.02.7 The committee will forward the names of at least three candidates whom it endorses to the dean.

6.02.8 The committee should submit evaluation comments for each candidate interviewed. The candidates shall not be numerically ranked. The dean will consult with the committee and the department faculty prior to making a recommendation to the vice president and provost. The dean will inform the faculty and others at an appropriate time about the president's recommendation to the Board for an appointment.

6.02.9 In unusual circumstances, the dean, in consultation with the department faculty, may request from the provost variance from any or all of the above procedural steps except for Item 1, in which case the Director of Affirmative Action Programs is to be consulted.

6.02.10 The dean will prepare a Selection Record for approval by the vice president and provost prior to the announcement of the president's recommendation to the Board.

Appendix B: From AAUP's Two Statements from Policy Documents & Reports, ninth edition, "Statement on Government of Colleges and Universities," 10-11.

I. Introduction: *a college or university in which all the components are aware of their interdependence, of the usefulness of communication among themselves, and of the force of joint action will enjoy increased capacity to solve educational problems.*

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

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

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

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

Appendix C: Constitution of the University Faculty. Article IV: Jurisdiction

2. General Principles. *The faculty has the right to be adequately informed about and to participate jointly with the related components of the University in the determination of policy touching all aspects of the University's operations. The faculty may formulate and recommend policies to the President of the University on all subjects of University concern. The faculty shall play a central role in all decisions regarding educational policy and curriculum. The faculty functions through consultation and review in personnel decisions that can modify the faculty's professional identity, professional quality, and working environment.*