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UNM Faculty Senate

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THE UNIVERSITY of
NEW MEXICO

Faculty Governance

VOLUME 1 ISSUE 4

JANUARY 2010

What do we want? Doug Fields

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After the recent General Faculty meeting, I was approached by several faculty members asking for us give them specifics on our long term goals and strategies for achieving them. After some deliberation with other faculty leaders, here is what we have come up with:

Long Term Goal—We would like to align ourselves with President Schmidly’s stated goal of UNM becoming a member of the AAU (see <http://www.aau.edu>). For reference, we include in this newsletter AAU’s membership policies, principles and indicators on pages 6 and 7. I would ask that each faculty member at UNM familiarize themselves with these, but my summary of the criteria is quality faculty and faculty led research and teaching.

With that as our primary goal, each of the following strategic goals are linked to accomplishing the primary goal:

We see the faculty of the University of New Mexico as the strongest advocate for quality research, teaching and service. Their guidance as the university sets budget priorities is crucial, especially in times of financial hardship. Therefore, faculty governance of the university must be strengthened both from within (as per our changing the faculty governance structure) and institutionally (by a change in the willingness of the Regents and upper administration to engage cooperatively with the faculty and staff governance structures). We discuss the process to look into a new structure for faculty governance on page 4.

Budget priorities must be given to the academic mission. We are joining the call from other AAU faculties for fiscal restraint and transparency in non academic auxiliaries including Intercollegiate Athletics. A similar call is came from the faculty senate of University of California, Berkeley. The UCB administration response was that the University’s Chancellor has called for a plan to make athletics self funded, and the reasoning behind such a move is supported by the recent [Knight Report on Intercollegiate Athletics](#).

An independent, well documented audit of past performance of I&G money is critical to creating good plans for the future. The faculty requested audit must be carried out in a transparent manner consistent with the spirit of the General Faculty resolution of this past February. We report on the progress made on this and how this process has contributed to better faculty-administration-regent communication and cooperation.

From the HLC report: “The consensus of the members of the HLC team is that the governing board and members of the executive team might take the recent criticism and concerns expressed by faculty and turn it to a beneficial discussion about the respective contributions of the participants in shared governance.” We are therefore asking that the Regents formally respond to the HLC report recommendation that states: “Because it appeared during the visit that the culture of the Board of Regents may differ in some ways from standard understandings of best practice, the Board might benefit considerably from broader acquaintance with widely shared understandings of effective board operations and assumptions.”

We reaffirm our commitment to the students of UNM, to the people of New Mexico, and to the institution. We believe that our goals are in the best interest of all whom we serve, and are based on principles that are worthy of extreme measures to protect. We sincerely hope that faculty, staff, students, regents and administration can work together to give UNM the reputation that the state and its people deserve.

Today’s theme: shared governance doesn’t work without committed volunteers. Please consider nominating yourself or a colleague who will have good judgment and strong leadership skills for positions in faculty senate committees (see next page).

Faculty Senate Committee Openings

Shared governance doesn't work without committed volunteers. Please consider nominating yourself or a colleague who will have good judgment and strong leadership skills for these positions.

Admission/Registration

- 2 year term
- Four Openings: Three must be from main campus school or college (other than A&S, Univ. Libraries and ASM). One must be from a branch.

Budget

- 3 year term
- One opening for Nursing
- One opening for Pharmacy
- One opening for COE (This term would start at year 2 of 3, ending in 2011, as appointment was vacant Year 1)

Computer Use

- 2 year term
- Two openings for General Faculty

Curricula

- 2 year term
- One opening for COE
- One opening for Anderson School of Management (2 year term as new appt resigned in Oct 09)
- One opening for Pharmacy
- One opening for School of Law (This term will start at year 2 of 2 as there has been a resignation)
- One opening for Dental Hygiene Program (This term will start at year 2 of 2 as appointment was vacant year 1)

Governmental Relations

- 3 year term
- One opening: General Faculty (Term is year 3 of 3, expiring 2010)

Library

- 3 year term
- Two openings for A&S (must be Natural Sciences)
- One opening from Fine Arts OR Architecture
- One opening for branch

Scholarship

- 2 year term
- Two openings for general faculty

Teaching Enhancement

- 3 year term
- One opening for General Faculty (term will be year 1 of 3 as new appt resigned Nov 09)

Undergraduate

- 3 year term
- One opening for Architecture & Planning (year 2 of 3, expiring 2011)
- Two openings for College of Education (year 2 of 3, expiring 2011, and year 3 of 3 expiring 2010)
- One opening for College of Fine Arts (year 2 of 3, expiring 2011)
- One opening for branch (year 2 of 3 expiring 2011)

Graduate

- 3 year term
- One opening for School of Medicine
- One opening for University College

Spotlight - Admissions & Registration

We have an urgent need for faculty willing to serve on this important committee. Its charge is: "The Admissions and Registration Committee makes recommendations to the Faculty Senate for the establishment of policies and regulations governing admissions, registration, the grading system, university-wide academic regulations, transference and validation of credits, and university-wide graduation requirements. Additionally, this committee monitors the implementation of these policies and regulations. Through subcommittees, the committee rules on individual cases involving falsification of records, grade changes, petitions for waiver of university-wide graduation requirements and special admissions."

Several important policies and implementations will be coming through this committee, including future consideration of multi-term registration and a possible new grading input system. These directly impact our workload and productivity, and the Provost has given her commitment to work with Faculty Senate to get faculty input in these areas.

Shared governance doesn't work without committed volunteers. Please consider nominating yourself or a colleague who will have good judgment and strong leadership skills for these positions.

News from the local AAUP Chapter

Les Field and Elizabeth Hutchison

As tensions between faculty and administration increased last spring, some faculty wondered whether it might be an opportune moment to revive UNM's chapter of the American Association of University Professionals (AAUP), which a few dedicated faculty had maintained over the past few years. Following the historic votes of no-confidence in the University President, CFO and Board of Regents (BOR) President, the call for an audit of the university's finances, and the faculty's strong participation in the university's re-accreditation process, a group of over fifty faculty met at the end of the spring semester of 2009 to discuss ideas about what the AAUP chapter should do.

Since then, an Interim Committee (IC) has been meeting regularly to discuss the future of the AAUP at UNM. The IC is composed of: Carlton Caves (Physics), David Dunaway (English), Les Field (Anthropology), Gail Houston (English), Liz Hutchison (History), Alex Lubin (American Studies), Anita Obermier (English), Chuck Paine (English), and Virginia Shipman (Individual, Family and Community Education).

The IC's first task was to revise and re-draft by-laws for the revived chapter, bylaws that describe a new and streamlined organizational structure. In order to alert the faculty to these changes, and invite their greater participation in the chapter, the Interim Committee has engaged in the following activities:

- 1) The IC established a presence at campus-wide meetings in the fall of 2009. While our invitation to faculty members to calculate their salaries in "Locksley dollars" inspired humorous responses, we are planning a wider campus role this spring with plans for a forum on the academic workplace and the crisis in higher education.
- 2) The IC organized a petition drive to support the participation of faculty representatives in the organization of the UNM financial audit, and to insist on the inclusion of 2003 and 2004 in the scope of the audit. A total of 215 faculty signatures were delivered on December 10 to Faculty Senate President Doug Fields and Committee on Governance Chair Ursula Shepherd.
 - c) During the fall semester, the IC made contact with AAUP's national organization. Michael Mauer from the national office visited with us and discussed the events on UNM campus in the spring, and how AAUP could support both the re-nascent chapter and the broader process of faculty organizing.
 - d) The IC has focused on the issue of the faculty's relationship with the BOR as one area in which positive change might be advanced in a climate of economic limitations. Areas in which changes might be pursued include working with legislators in Santa Fe around the selection, vetting and confirmation of future regents, and discussions about reforming the composition of the BOR. Legislators may introduce a memorial calling for faculty, student, staff and community vetting of the governor's nominees in January of this year.
 - e) The IC is interested in coordinating with AAUP organizing at sister institutions, including NMSU, in our state. Other outreach efforts include working with neighborhood associations from neighborhoods bordering UNM to hold forums in this election year with gubernatorial and lieutenant gubernatorial candidates regarding leadership and governance at UNM.
 - f) Finally the IC continues to work toward establishing a non-interim and enduring organizational structure for UNM/s AAUP chapter. Eventually the chapter will need to hold elections for officers. The IC urges interested faculty members to contact us, get involved and help build the revived AAUP chapter here at UNM during the coming months.

Structure Task Force

Doug Fields and Lisa Adams

The current structure of UNM’s faculty senate is led by an executive committee known as the Operations Committee (OPS) which includes the Faculty Senate president, president-elect, past president, and four elected members. OPS serves as the primary channel for information flow from the administration to the senate committees and from the senate committees back to the Faculty Senate.

This committee also determines the agenda for all faculty Senate meetings and delegates tasks to the other twenty standing committees. This produces a bottleneck of information flow and reduces the strength and effectiveness of the standing committees. In the past twenty years research has provided some best practices in governing universities that should be explored.

The complex issues and increasingly difficult problems faced by research universities would be challenging to even the most experienced manager, so it is obvious why faculty governance would be such an important and problematic issue. The issue becomes even more complex when the university in question becomes a mega-university, like those in large cities with hospitals and extended campuses.

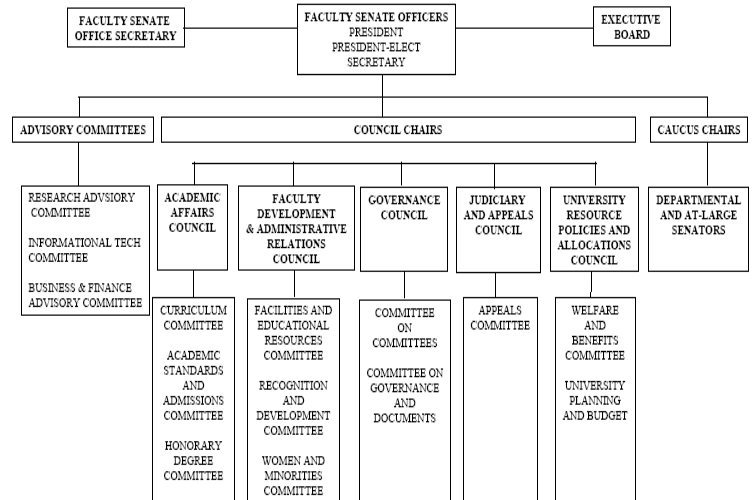
The University of New Mexico is quickly becoming one of these mega campuses with mega issues to match. The ongoing expansions and campuses spreading throughout the state makes the current centralized governance inadequate. A proposal for an alternative structure may reduce some of the issues preventing the dissemination of information necessary for good decision making.

The idea is to have the committees work together in Councils which reflect the structure of University life; these councils would be charged with six different areas of university governance. The oversight for these councils would still lie with the Faculty Senate, with an Executive committee responsible for communicating necessary information across the councils.

Iowa State University has had success with their council structure and many have followed from that example. According to the Iowa State Councils history the best proof of how well a system works is not its success in every measure but its “proven ability to unify the faculty and provide a respected avenue for faculty advice to the General Faculty and the university administration”- [Iowa State University](#).

This model is just one which will be discussed in the Faculty Senate task force on structure. This task force has already met once earlier this month, and meets again Jan. 28.

FACULTY SENATE STRUCTURE



Today’s theme: Shared governance doesn’t work without committed volunteers. Please consider nominating yourself or a colleague who will have good judgment and strong leadership skills for positions in faculty senate committees (see page 2).

Audit Update

Doug Fields

Last week, the Regent's Audit Committee met and approved a special procedures Agreed-Upon Procedure (AUP) plan for the audit firm Moss-Addams. This AUP was the result of a meeting between Ava Lovell (UNM controller), myself, Craig White (ASM faculty), Leslie Oakes (ASM faculty) and representatives from Moss-Addams.

I would like to offer my sincere thanks to:

- Craig White and Leslie Oakes at ASM for their advice.
- Ava Lovell for her forthrightness
- Regent's Audit Committee (Gallegos, Abeita, Koch) for their openness.
- AAUP and the 200+ faculty who signed a petition to keep the process under the watch of faculty senate.

The report from Moss-Addams is expected in April, followed by the release from the Regent's Audit Committee and then the full Board of Regents.

The AUP before :

- Obtain revenue and expenditure budget to actual comparison reports by Unit ("Unit Reports") for all instruction and general ("I&G") funds by the following categories: 1) instructional; 2) academic support; 3) student services; 4) institutional support; and 5) physical plant for fiscal years 2005 through 2009 and perform the following:
 - Verify the mathematical accuracy of the Unit Reports
 - Agree the Unit Reports in total to the respective budget reports submitted to the State of New Mexico
 - Agree the Unit Reports in total to the Instruction and General Budget Comparison Reports (Unrestricted and Restricted) included in the audited financial statements for each respective fiscal year.
 - Prepare a schedule documenting all I&G revenues and expenditures not included in categories 1 through 5 above.
 - Include the Unit Reports in the final agreed upon procedures report.
- Obtain reports of all amounts transferred into the contingency fund (such transfers are herein referred to as "Harvested Funds") for fiscal years 2005 through 2009 and perform the following:
 - Verify the mathematical accuracy of the reports.
 - Verify Harvested Funds were approved by the Board of Regents ("Regents") in accordance with University Business Policy ("UBP") 7000.
 - Agree the actual transfers of Harvested Funds to the Regent approved schedule of funds to be harvested.
 - Determine the journal entries prepared to transfer Harvested Funds into the contingency fund were properly approved in accordance with University approval thresholds.
- Obtain reports of all amounts transferred out of the contin-

gency fund for fiscal years 2005 through 2009 and perform the following:

- Verify the mathematical accuracy of the reports
- Verify the journal entries transferring amounts out of the contingency fund were properly approved in accordance with University approval thresholds.
- Document the stated purpose, as noted in the corresponding journal entry, for all transfers out of the contingency fund.
- Obtain detail budget to actual revenue and expenditure reports of the UNM West and Branch Initiatives (org. level 3 code AAC) for fiscal year 2009 and 2010 (reports should be in sufficient detail to identify activity associated with the Rio Rancho campus) and perform the following:
 - Verify the mathematical accuracy of the reports
 - Agree the budgeted amounts for the Rio Rancho campus to approved budget.
 - Include the Rio Rancho budget to actual report in the final agreed upon procedures report.

The unit reports are the budgeted and actual revenues and expenses for the following units:

President Admin Indpnt Office
 Information Technology Services
 UNM West and Branch Initiatives
 Provost Administrative Units
 University College
 School of Public Administration
 VP for Equity & Inclusion
 VP Division of Enrollment Mgmt
 College of Fine Arts
 College of Arts & Sciences
 Anderson Schools of Management
 College of Education
 School of Engineering
 School of Law
 School of Architecture & Planning
 University Libraries
 Continuing Education
 Extended University
 VP Research & Economic Development
 VP Student Affairs Administration
 VP Student Affairs Indpdnt Dept ID
 Associate VP Student Services
 Associate VP Student Life
 EVP Administration
 EVP Admin Independent Offices
 Intercollegiate Athletics
 Controller
 Associate VP for Facilities Mgmt
 Human Resources
 VP Institutional Support Services
 Government & Community Relations
 VP Institutional Adv College
 Gallup Branch

AAU Membership Policy

The Association of American Universities is an association of universities distinguished by the breadth and quality of their programs of research and graduate education. Membership in the association is by invitation. The association maintains a standing Membership Committee, which periodically evaluates non-member universities for invitation to membership, and evaluates current members to assure that their institutional missions, and the fulfillment of those missions, remain consonant with the character and purpose of the association. In its evaluation of institutions, the Membership Committee is guided by a set of Membership Principles and Membership Indicators, presented below. The Membership Principles specify the primary purpose of the association and the corresponding characteristics of its member institutions. The Membership Indicators are a two-phase set of quantitative measures used to assess the breadth and quality of university programs of research and graduate education. In assessing potential new member universities, the evaluation of university profiles based on the Membership Indicators is the first stage of a two-stage process used to identify institutions that may be invited into membership. The second stage involves a more qualitative set of judgments about an institution's mission, characteristics, and trajectory. Institutions that are nominated for invitation to membership must be approved by a three-fourths vote of member universities.

AAU Membership Principles

1. The primary purpose of AAU should continue to be to provide a forum for the development and implementation of institutional and national policies promoting strong programs of academic research and scholarship and undergraduate, graduate, and professional education.
2. The members of AAU should be universities distinguished by the breadth and quality of their programs of graduate education and research.
3. The members of AAU shall approve appropriate criteria for assessing the breadth and quality of these programs, and shall apply these criteria in making judgments about potential new members of the Association.
4. All members shall be monitored to make sure that their institutional missions, and the fulfillment of those missions, continue to be consonant with the character and purpose of the AAU.
5. There is a presumption that membership in the AAU is continuing. However, in those instances in which there appears to be a significant and sustained disparity between the mission and accomplishments of a member institution and the mission and membership criteria of the AAU, an in-depth review of that institution will be triggered. Discontinuation of membership will be one possible outcome of this in-depth review.

Adopted January 12, 1999

AAU Membership Indicators

The AAU presidents and chancellors have adopted the following set of membership indicators to use in assessments of current and potential new members. All indicators will be tabulated as both total values and normalized, per-faculty measures where feasible. In assessing non-U.S. institutions, comparable indicators appropriate to those institutions will be used.

These indicators are divided into Phase I indicators, which will be used as the primary indicators of institutional breadth and quality in research and education, and Phase II indicators, which will be used to provide additional important calibrations of institutional research and education programs. Both the Phase I and Phase II indicators constitute the first stage of membership assessment. The second stage involves a more qualitative set of judgements about institutions and their trajectories.

Phase I Indicators

1. *Competitively funded federal research support*: These data are collected by the National Science Foundation. The Membership Committee has been using obligations, which are the only measures that break down federal support by agency. The committee has recently switched to using NSF research expenditure data, which are more accurate, with a correction factor to subtract the estimated proportion of university expenditures drawn from USDA. Most USDA funding is not allocated competitively, and USDA support accordingly is included as a Phase II indicator.
2. *Membership in the National Academies (NAS, NAE, IOM)*: The National Academies' membership database maintains the current institutional affiliation of its members.
3. *National Research Council faculty quality ratings*: These ratings are drawn from the decennial national assessment of research-doctorate programs conducted by the NRC. Though the data become dated between surveys, the committee believes that they continue to provide a valuable peer-assessment of faculty quality. The last NRC report was published in 1995 based on 1993 data; preparation for the next NRC assessment is currently underway.
4. *Faculty arts and humanities awards, fellowships, and memberships*: For its last research doctorate assessment, NRC compiled a list of awards, fellowships, and memberships signifying faculty achievement primarily in arts and humanities fields. The Membership Committee has expanded this list and will use it as an additional assessment of the distinction of an institution's faculty, focusing on the arts and humanities faculty (Attachment 1). Additional appropriate awards, fellowships, and memberships will be added to this list as they are identified.
5. *Citations*: The *U.S. University Science Indicators* citations database provides an annually updated measure of both research volume and quality and will provide a valuable complement to the first four indicators listed above.

Phase II Indicators

- 1) *USDA, state, and industrial research funding*: Though these three sources of academic research support fund important, high-quality research, they will be treated as phase II indicators since they are generally not allocated through competitive, merit-review processes. Competitively funded USDA research programs that can be separately identified in reported data will be included in phase I data.
- 2) *Doctoral education*: The committee will use number of Ph.D.s granted annually as well as tabulate the distribution of Ph.D.s across broad disciplinary categories (e.g., engineering but not aerospace engineering), using Department of Education IPEDS (Integrated Postsecondary Education Data System) data. These data will be treated as phase II indicators to de-emphasize the quantitative dimensions of Ph.D. programs and avoid sending an unintended signal to institutions to increase Ph.D. output at a time when many institutions are or are considering scaling back their Ph.D. programs.
- 3) *Number of postdoctoral appointees*: The committee will use NSF-compiled data from institutions on postdoctoral appointees, most of whom are in the health sciences, physical sciences, and engineering. Postdoctoral education is an increasingly important component of university research and education activities that the committee believes should be tracked in AAU membership indicators. However, because postdoctoral activity is highly correlated with university research and because self-reported postdoctoral data are less uniform than data on federally funded research, postdoctoral appointees will be treated as a phase II indicator.
- 4) *Undergraduate education*: The committee will assess the institution's undergraduate programs to determine that the institution is meeting its commitment to undergraduate education. Recognizing that differing institutional missions among research universities dictate different ways of providing undergraduate education, the committee will be flexible in this assessment. A number of measures have been suggested, including some that focus on input and others that look primarily at output variables. These are at this time imperfect, but may provide some guidance to the committee in making its judgments on this topic.

Attachment 2 shows the source of the indicator data.

Adopted July 18, 2000

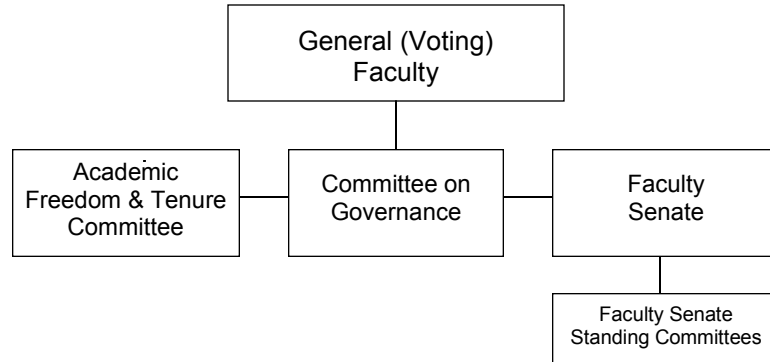
AAU Member Institutions

<u>Brandeis University (1985)</u>	<u>University of California, Berkeley (1900)</u>
<u>Brown University (1933)</u>	<u>University of California, Davis (1996)</u>
<u>California Institute of Technology (1934)</u>	<u>University of California, Irvine (1996)</u>
<u>Carnegie Mellon University (1982)</u>	<u>University of California, Los Angeles (1974)</u>
<u>Case Western Reserve University (1969)</u>	<u>University of California, San Diego (1982)</u>
<u>Columbia University (1900)</u>	<u>University of California, Santa Barbara (1995)</u>
<u>Cornell University (1900)</u>	<u>The University of Chicago (1900)</u>
<u>Duke University (1938)</u>	<u>University of Colorado at Boulder (1966)</u>
<u>Emory University (1995)</u>	<u>University of Florida (1985)</u>
<u>Harvard University (1900)</u>	<u>University of Illinois at Urbana-Champaign (1908)</u>
<u>Indiana University (1909)</u>	<u>The University of Iowa (1909)</u>
<u>Iowa State University (1958)</u>	<u>The University of Kansas (1909)</u>
<u>The Johns Hopkins University (1900)</u>	<u>University of Maryland, College Park (1969)</u>
<u>Massachusetts Institute of Technology (1934)</u>	<u>University of Michigan (1900)</u>
<u>McGill University (1926)</u>	<u>University of Minnesota, Twin Cities (1908)</u>
<u>Michigan State University (1964)</u>	<u>University of Missouri-Columbia (1908)</u>
<u>New York University (1950)</u>	<u>University of Nebraska-Lincoln (1909)</u>
<u>Northwestern University (1917)</u>	<u>The University of North Carolina at Chapel Hill (1922)</u>
<u>The Ohio State University (1916)</u>	<u>University of Oregon (1969)</u>
<u>The Pennsylvania State University (1958)</u>	<u>University of Pennsylvania (1900)</u>
<u>Princeton University (1900)</u>	<u>University of Pittsburgh (1974)</u>
<u>Purdue University (1958)</u>	<u>University of Rochester (1941)</u>
<u>Rice University (1985)</u>	<u>University of Southern California (1969)</u>
<u>Rutgers, The State University of New Jersey (1989)</u>	<u>The University of Texas at Austin (1929)</u>
<u>Stanford University (1900)</u>	<u>University of Toronto (1926)</u>
<u>Stony Brook University-State University of New York (2001)</u>	<u>University of Virginia (1904)</u>
<u>Syracuse University (1966)</u>	<u>University of Washington (1950)</u>
<u>Texas A&M University (2001)</u>	<u>The University of Wisconsin-Madison (1900)</u>
<u>Tulane University (1958)</u>	<u>Vanderbilt University (1950)</u>
<u>The University of Arizona (1985)</u>	<u>Washington University in St. Louis (1923)</u>
<u>University at Buffalo, The State University of New York (1989)</u>	<u>Yale University (1900)</u>



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General Faculty Meeting Agenda

January 26, 2010 3:00 p.m.

Lobo Room 3037 SUB

AGENDA TOPICS	TIME (minutes)	PRESENTERS/PARTICIPANTS
1. Approval of Agenda	3:00	Action
2. Acceptance of the November 24, 2009 Summarized Minutes		Action
3. Acceptance of the Corrected April 28, 2009 Summarized Minutes		
4. Faculty Senate President's Report	3:05	Information Doug Fields
5. Faculty Senate Undergraduate Committee Report	3:20	Information Amy Neel
6. Provost's Report	3:30	Information Suzanne Ortega
CONSENT AGENDA TOPICS		Action Doug Fields
7. Forms C from the Curricula Committee	3:45	
8. Approval of Faculty Senate Committee Appointments		Action Doug Fields
9. Retirement Incentive Update		Information Richard Wood
10. Faculty Senate Budget Committee Report		Information Anne Brooks
11. Budget Discussion		Discussion
12. Respectful Campus Policy		Action Nikki Katalanos
13. New Business and Open Discussion		