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Report on:

AAUP-Illinois Faculty Governance Survey 2019

Prepared by the *Shared Governance Committee* of AAUP-Illinois

Executive Summary

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The AAUP Chapter at the University of Illinois at Urbana-Champaign surveyed tenure-track faculty in fall 2019, with technical assistance from the Provost's office, to determine how well the provisions for shared governance in Provost's Communication No. 27 were being followed. The results of the survey demonstrate both strengths and weaknesses in shared governance on campus.

The survey found that units generally have: publicly posted bylaws, committees whose membership is made public, regular faculty meetings announced well in advance, and elections to the University Senate.

Significant weaknesses became apparent too. According to survey respondents, Executive Officers (EOs) in numerous units do not involve their faculty in decision-making procedures, and in some cases actively work against such involvement. Further, mentoring of junior faculty happens irregularly across departments and mentoring of mid-level faculty happens hardly at all.

Some survey respondents indicated that their units are exemplary in their adherence to Communication No. 27 and they are satisfied with shared governance at the unit level. Those receiving the highest scores from their faculty were Comparative & World Literature, Computer Science, Dance, Educational Psychology, and History.

At the other end of the scale, in a quarter of all units, faculty members indicate weakness in more than 50% of governance aspects. Indeed, in a tenth of all units faculty survey respondents rated 70-100% of governance aspects in their unit as weak. Shared governance in these units appears to be functioning unusually poorly.

The survey determined that the decision-making process in a unit is the most important factor in the faculty's assessment of the success or failure of shared governance. Other factors—the intricacies of EO's interactions with individual faculty members and the extent of information provision about the unit and campus activities—matter as well. All these factors are closely associated with each other and with good practices such as reasonably frequent faculty meetings with sufficient time for open discussion. The availability of bylaws and their details also are correlated with good governance outcomes, though to a notably lesser degree than the other factors. Ultimately, all these factors seem to be driven by the EO's commitment to shared governance. However, many survey respondents blamed governance failures, at least in part, on the deans and the provost, who are responsible for the selection and supervision of EOs. Indeed, analysis of the survey results suggests that shared governance tends to be weaker in units under headship, compared to those with chairperson/executive committee where the faculty have a greater say in the choice and monitoring of the EO.

Finally, this report compares the results of the survey completed in Fall 2019 with those of a similar survey sent to the EOs by the Provost's Office and AAUP-Illinois in 2017. Among other things, it finds that in units where faculty rate shared governance as not working, the perceptions of the EO and the perceptions of the faculty often differ significantly.

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October 2020

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1. Introduction

The American Association of University Professors (AAUP) has long advocated shared governance (that is, meaningful faculty participation in the governance of the academic institutions in which they work) as a foundation for a productive environment for scientific research and education (see the 1966 *Statement on Government of Colleges and Universities*). While boards of trustees and the administrators play important leadership roles in coordinating and managing the activities at a university, the primary responsibility for the design of the curriculum and the conduct and assessment of research and teaching need to reside with the faculty, who possess the required specialized knowledge. The faculty's professional authority further justifies their involvement, along with the board and the administration, in developing budget allocations, long-range plans, and the like. Assignment of such roles to the faculty also provides them with greater space and incentive to generate new knowledge and pursue innovative ideas.

Institutions of higher education and advanced research have broadly adopted the **principle** of shared governance through public statements, often accompanied by formal rules to help make it concrete. However, the **practice** of shared governance has been much harder to achieve. Sometimes the rules have been inadequate. More often, upholding the rules has been lacking, possibly because administrators find adherence to shared governance too constraining or cumbersome. Many faculty members have also been reluctant to insist on the monitoring and enforcement of the rules because doing so may cost them individually. Indeed, some faculty members seem to find shared governance a waste of time or effort. We believe, however, that shared governance, done correctly, leads to higher morale, greater faculty productivity, better ideas for the academy, and a more inclusive workplace. This study seeks to improve shared governance on campus by locating where it is and is not working.

The University of Illinois at Urbana-Champaign (UIUC) is committed to the principle of shared governance, as stipulated by its Statutes, Section II.3.b:

> As the responsible body in the teaching, research, and scholarly activities of the University, the faculty has inherent interests and rights in academic policy and governance…. Governance of each academic unit shall be based on unit bylaws established and amended by the faculty of that unit.

This principle has been translated into specific rules and procedures for implementation through a variety of statements and policy decisions, most specifically and clearly through Provost Communication No. 27, "Shared Governance for Academic Units" (October 2014), which was intended to help unit executive officers (EOs) lead their units effectively and harmoniously. This Communication was issued in the wake of a report by the UIUC Senate Committee on General University Policy that interpreted the results of the "Shared Governance Survey" conducted in 2013. This report noted substantial discontent among the faculty of all types regarding shared governance, particularly at the college level and below. Now, several years later, it is time to take stock and reassess the conditions of shared governance at the

University. How well has Communication No. 27 been implemented? Have perceptions of shared governance changed among faculty? What are the points of strengths and weakness? Which aspects of shared governance can be improved by revising procedures, and which require better monitoring and enforcement?

To address these questions, in Fall 2016, the Policy Committee of AAUP Chapter at UIUC formed an *ad hoc* committee (Shared Governance Committee, SGC) to assess the conditions of shared governance at the University. In the process, other members of the Policy Committee also contributed in various ways. SGC started with Communication No. 27 and, based on its guidelines, developed a survey questionnaire to be administered to the **EOs of academic units**. The questionnaire was then submitted to the Office of the Provost with a request for the Provost to distribute it to the academic units. The Provost agreed, and his staff suggested some revisions that improved the quality of the questionnaire. They also developed a web-based version of the questionnaire to facilitate data entry and collection. That survey was administered in March and April of 2017 and its results were later analyzed by SGC ("Report on AAUP-Illinois Faculty Governance Survey 2017"). Though the response rate was low (24% or 21 responses out of the 87 units that had received the survey), the survey was informative.

The study also became the basis for a second survey with a similar structure, but this time for completion by **tenure-system faculty members**. Again, the Office of the Provost agreed to administer the survey and did so during Fall 2019. This report summarizes and analyzes the results of this faculty survey and compares them with the results of 2013 and 2017 surveys.[1]

2. Methodology

Numerous universities and colleges have carried out surveys of their faculty and/or administrators to assess their shared governance conditions. These studies take different approaches. Some tend to seek information more about the values and attitudes of the respondents toward shared governance or ask about their satisfaction with the general functioning of the governance system.[2] This is indeed more common when the shared-governance guidelines and procedures are not detailed and specific or non-existent. Another approach studies the presence and observance of particular governance procedures.[3] The information produced by the first approach is useful because it generates awareness, but it does not necessarily yield ideas for improving governance practices beyond, perhaps, praise or blame of particular administrators. The second approach tends to focus on more factual information, though it is perceptions of facts that get recorded by the survey. The main concern in this approach is identification of good practices and the extent of adherence to procedures. Each approach has its own value, and all surveys combine the two to different degrees. The issue is the relative reliance on the two types of information. The present Illinois faculty survey and the earlier one intended for EOs were strictly built on the procedures and rules set by Communication No. 27. In that sense, they included numerous

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[1] For more detail about the characteristics and results of 2013 and 2017 surveys see sections 2, 3, and 6 below.
[2] For example, the question could be: "Based upon what you read about Shared Governance, which perspective best describes what you would like to see with respect to shared governance at this university?" or "Do you feel that you are a valued member of the university community?" or "To what extent do you agree with the statement that the senior university administrators effectively advocate for shared governance?"
[3] For example, the survey may ask: "How often does your unit engage in strategic planning exercises?" or "How many times do the faculty in your unit meet during each semester" or "To what extent do you agree with the statement that the EO consults with the advisory/executive committee in preparing the unit budget?"

questions that employ the second approach, though still they included questions that involve subjective assessments (e.g., "The unit bylaws are followed conscientiously") as well as questions that elicit open-ended, write-in answers. The 2013 survey had a limited number of questions and relied less on the second approach, possibly because it was carried out before Communication No. 27 made procedures for shared governance clearer.

Another difference between governance surveys is the level of administration on which they focus. Some address governance at the university level and treat what happens at the department or college level as secondary. Others focus on shared governance in lower-level units within a university. This last approach is often criticized because unit EOs are ultimately appointed and supervised by the university leadership and take their cues from there. Thus, one should seek the root of any governance problems—so the argument goes—at the top level. This is, of course, a fair and important point, and has been repeatedly raised by respondents to the 2013 and 2019 surveys at Illinois. But, this criticism overlooks the enormous variations that one observes across units within the same university, which shows that governance problems are not all macroscopic. It also pays little attention to the need to understand the ways in which governance procedures work and the incentives they create at all levels.

In our surveys, we focused on the lower levels of administration for three reasons. First, our aim was to assess how the rules and procedures set by Communication No. 27 have worked, which is entirely about providing guidance toward better shared governance. Second, there is indeed significant disparity in the performance of different units on campus, which need to be documented and understood. Third, focusing on the lower levels does not mean that upper-level influences are ignored and the university leadership is left blameless in case of mis-governance at the unit level. Rather, we seek to identify problems at the unit level and search for their origins, whether it is at lower or upper levels.

A third dimension of variation among governance studies is the extent to which they use statistical methods to extract information from survey results. In such studies, it is common practice to produce simple tables that show the opinion or outcome patterns. There are, however, reports that employ more sophisticated statistical methods to interpret the data, as is the case here. In particular, we use factor analysis in some instances to explore the extent to which results are being driven by common or unique underlying factors. This exercise can facilitate the interpretation of the survey results when dealing with a multitude of variables. It either shows that many different independent factors are involved, in which case they would each need to be addressed separately, or it helps summarize a multiplicity of variables, pointing to a few underlying factors that require attention.

In some cases where common factors could not be found, we summarized the data by calculating response averages or percentages of responses indicating weakness or strength in governance aspects. These two methods yield more or less similar results. However, we use the latter method to avoid making cardinal comparisons of the intensity agreement or disagreement across various aspects.

A technical problem that needs to be addressed in such surveys is the variation in number of responses per unit or per governance aspect. This factor does not by itself bias the results, but it could make it harder to derive inferences, particularly across units, because the survey results for some units would be more informative than for others. In the analysis presented below, we have not addressed this issue., but we do not expect that it would change our main conclusions.

An important aspect of the 2019 survey is that it covers the tenure-system faculty only. While non-tenure-track or specialized faculty are an integral part of the university, their roles and rights in shared governance structures are different and were still being determined when this survey was conducted. Specialized faculty would benefit from a survey instrument of their own. This fact is clearly reflected in the report on the 2013 Survey, which received responses from both types of faculty that were sometimes difficult to disentangle. We plan to prepare and administer such a survey separately.

Communication No. 27 consists of six sections:

1. Overview
2. Guidelines on Information Sharing and Transparency
3. Guidelines Involving Unit Faculty in Unit Decision Making
4. Guidelines for Faculty Mentoring, Development, and Evaluation
5. Guidelines for Faculty Participation in Unit, Campus, and University Shared Governance
6. Practicing Shared Governance on Campus

The questionnaires for the 2017 and 2019 surveys are comprised of statements that reflect the directives in Sections 2 through 5 of the Communication point by point. The questionnaire for the 2019 survey is shown in Appendix 1. For most questions, the faculty were asked to indicate their disagreement or agreement with each statement on a five-point Likert scale (with 1 corresponding to "Strongly Disagree", 5 corresponding to "Strongly Agree", 2, 3, and 4 corresponding to "Somewhat Agree, "Neither Agree or Disagree", and "Somewhat Disagree, respectively, and 0 indicating "Not Applicable"). For some questions, the possible answers were grouped into five options (e.g., what percentage of time at faculty meetings was spent on announcements, open discussion, etc.). For one question, "On average, how long (in terms of minutes) are faculty meetings?", a numerical value was requested. There were also six open ended questions allowing the faculty to comment on various aspects of shared governance.

Responding to the faculty survey was voluntary, and the respondents were never asked to reveal their identity. This point was emphasized in the introduction to the survey, where the respondents were also assured that their responses would be compiled and analyzed in sufficiently large groups to ensure that individual responses would not be identifiable. This strategy was intended to make responses more complete. In particular, all respondents recorded the names of their home units and all but three of them specified their academic ranks.

For data about individual campus units in Fall 2019 for use in analyzing the survey results, particularly the size of faculty and the type of EO (head, chair, or director), we used the website of the Division of Management Information, www.dmi.illinois.edu. We identified 91 non-administrative units with tenure-system faculty. The number of tenure-system faculty in each unit varied from 1 to 88, with a total of 1869, all of whom were in the potential pool of respondents.

The rest of this report is structured as follows:

Section 3 - overall description of the sample produced by the survey of faculty: the number of responses, units that they span, and characteristics of the respondents; and a summary of the response rates across those units and the relationship with unit characteristics.

Section 4 – examination of the prevalence of shared governance weaknesses across campus units, to see which problems are widespread and which are more confined.

Section 5 – analysis of the variations in intensity of governance problems across units.

Section 6 – comparison of the results of the 2017 and 2019 surveys, to contrast the views of faculty with perspectives of EOs and gain further insight into the conditions prevailing in various units.

Section 7 - review of the responses to open-ended questions in the survey.

Section 8 – Conclusion.

3. Characteristics of the 2019 Survey Sample

As shown in Table 1, we received 229 survey responses from faculty in 70 units, an overall response rate of 12.3 percent in terms of number of faculty and 76.9 percent in terms of number of units. More than half of respondents were full professors, about 29 percent were associate professors, and about 17 percent were assistant professors. The response rate of among full professors was 14 percent, which was somewhat higher than that of associate professors and almost double that of assistant professors.

Table 1. Key Characteristics of the 2019 Survey Sample

Rank	Survey Responses	Potential Pool of Respondents	Response Rate
Assistant Professors	40	521	7.7%
Associate Professors	66	498	13.3%
Full Professors	120	850	14.1%
Not Declared	3		
Total	229	1869	12.3%
Number of Units	**70**	**91**	**76.9%**

Table 2. Pattern of per Unit Responses to Faculty Survey on Shared Governance at Illinois Academic Units with Tenure Lines

| Number of Surveys per Unit	Frequency	Percent	Cumulative
0	21	23.08	23.08
1	19	20.88	43.96
2	14	15.38	59.34
3	11	12.09	71.43
4	9	9.89	81.32
5	8	8.79	90.11
6	5	5.49	95.6
8	1	1.1	96.7
9	1	1.1	97.8
11	1	1.1	98.9
15	1	1.1	100
Total	**91**	**100**	

We did not receive any response from 21 units (see Table 2), but those tended to be mostly very small units (an average size of 6.5 faculty per units that did not respond vs. 24.7 for the units that did

respond). Among the units that offered responses, the number of submissions per unit ranged from 1 to 15, with an average of 3.3 responses per unit. In about half of the units, there were only 1 to 3 responses. Again, these were relatively small units (average size of 17.3 vs. 38.2 for the units with more than 3 responses).

Figure 1 sheds further light on the pattern of response rates across units by plotting it against unit size. It shows that, excluding the units that had no response, the response rates tended to decline with unit size.

The number of forms filled in the 2019 Survey is less than the response to the 2013 Survey (305 forms). However, the latter covered non-tenure system faculty as well, who based on the comments they left about the treatments that they had been receiving, seem to have been a significant proportion of the respondents. The report on that survey did not mention the rank composition of the respondents or their response rates. But, the overall rate of response in that survey seems to have been in the same range that we have for the 2019 Survey.

Figure 1. Pattern of Responses to Faculty Survey on Shared Governance at Illinois Academic Units with Tenure Lines
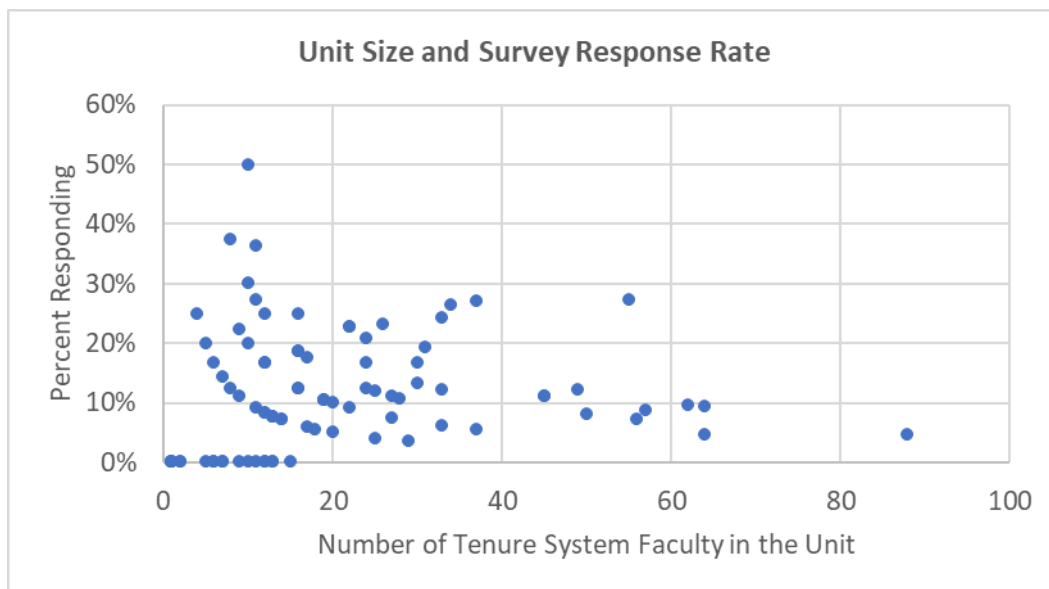

4. Exploring Relative Strength or Weakness of Shared Governance Aspects Across Campus Units

To explore the relative strength or weakness in various aspects of shared governance across campus units, we first build an indicator of weakness based on the 41 survey questions that use the Likert scale. [We will examine the questions that do not conform to this scale in Section 6 below. We will also compare the responses to those questions with the indicator developed here in that section.] The indicator rates the aspect represented by the question as weak in a unit if the average response to that question is less than three. Three corresponds to neutral (or "Neither Agree or Disagree"). We then calculate the percent of units that are labeled as weak in that dimension. Figure 2 displays the histogram

of this measure of weakness for all 41 dimensions listed in the survey.[4] This figure shows that there are many governance aspects that show weakness in more than a third of the units. These aspects are listed in Table 3.

Figure 2. Which Governance Weaknesses Are More Prevalent Across Campus Units?

Histogram of the Share of Units with Weakness in Each Governance Aspect
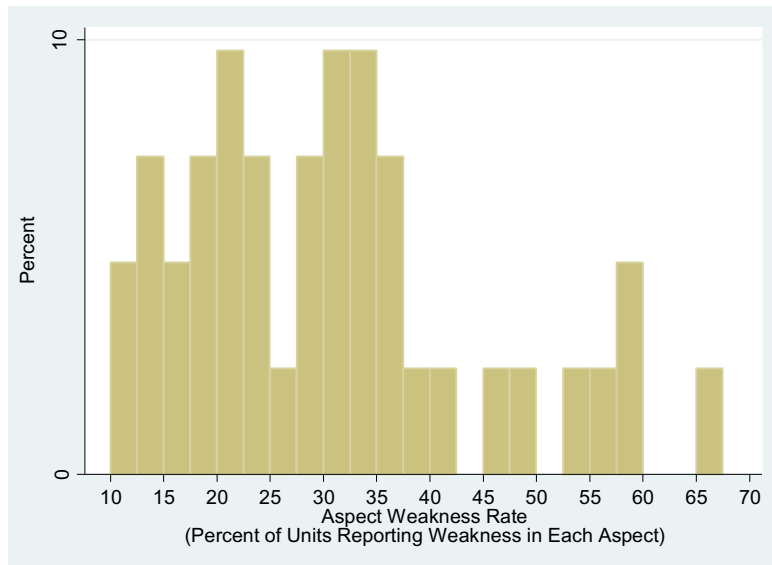
Among the most frequent governance weaknesses reported by the faculty are the roles that EOs should be playing in connecting their faculty to campus governance institutions (Q48, Q47, Q51, Q43, Q54). Indeed, as many respondents point out in their open-ended statements, EOs make few efforts in these regards, and in some cases, they even send discouraging signals to their faculty. This problem may arise partly because faculty members themselves tend to think of campus institutions as unimportant in their professional lives. Even those who are aware of the importance of those institutions do not necessarily want to spend time learning about them or contributing to them because campus-level functions tend to be "public goods", which are subject to free riding.[5] However, as Communication No. 27 stipulates, it is the duty of EOs to educate the faculty about the campus governance institutions and to motivate them to remain engaged in this regard.

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[4] A histogram is a representation of the distribution of a variable across its value categories (or bins) in its range. In Figure 2, we have divided the range for the weakness rates of governance aspects among units into 19 bins, with each bin covering 2.5 percentage points. Each bin is associated with a bar that shows the percent of governance aspects that fall into that bin based on their weakness rate. For example, the shortest bars represent about 2 percent of the 41 categories.

[5] A public good is a product or service that can benefit many people in a community without causing shortage for others and without the possibility of excluding anyone. Examples are street lighting and national security.

Table 3. Shared Governance Aspects with High Weakness Rates Across Campus Units
Based on Unit Averages of Faculty Responses to Faculty Survey

Question Number	Governance Aspect	Weakness Rate Across Units
Q48	The EO shares information with faculty members about the role of the Graduate College and their basic committee structures.	66.7%
Q41	The EO ensures that a mentoring process is available for all mid-career faculty in the unit.	59.4%
Q47	The EO shares information with faculty members about the role of the campus Senate and their basic committee structures.	59.4%
Q27	Course assignments are discussed by duly constituted committees, whose recommendations are shared and discussed with the faculty.	55.9%
Q23	Formal strategic planning exercises for the unit are carried out at least every other year.	54.4%
Q51	The EO encourages departmental Senators to regularly report to the unit on the work of the Senate.	47.8%
Q21	The EO consults with the advisory/executive committee in preparing the unit budget, in accordance with the University Statutes.	45.5%
Q37	The EO ensures the wide availability of the unit's written procedures for yearly evaluation of faculty members, including a statement of the unit mission and expectations for faculty members' contribution to that mission.	42.0%
Q43	The EO explains how to apply for campus and unit resources.	39.1%
Q34	When the EO has received advice from the faculty on a departmental matter, she/he follows that advice even if it differs from her/his initial view on that matter.	37.1%
Q35	When the EO makes a decision that goes against the advice from the faculty, she/he reports back to the faculty about the reasons for the decision.	35.8%
Q15	Lists of unit committee charges are made readily available to unit faculty.	35.7%
Q38	Each faculty member in the unit receives an oral or written evaluation of annual progress.	34.8%
Q54	Faculty members are encouraged to participate in shared governance committees on campus.	34.8%

Another governance aspect that is conspicuously missing in most departments is mentoring, especially for mid-career faculty. Again, part of the problem may arise from the perceptions of the faculty themselves that once they have attained tenure, they don't need any more mentoring. Another source of the problem seems to be that mentoring mid-career faculty who have already had some achievements may be hard, and not all senior faculty are in a position to help in that respect.

Fortunately, however, most units seem to have more satisfactory arrangements for mentoring junior faculty, which is extremely valuable (see Table 4).

Table 4. Shared Governance Aspects with Common Strength Across Campus Units
Based on Unit Averages of Faculty Responses to Faculty Survey

Question Number	Governance Aspect	Weakness Rate Across Units
Q7	The unit bylaws specify definition of unit faculty.	14.9%
Q49	The EO ensures that timely elections are held for faculty representation to the campus Senate, in coordination with the Office of the Senate.	14.5%
Q12	The unit bylaws specify procedures for amendments of the bylaws.	13.2%
Q14	Lists of unit committee composition are made readily available to unit faculty.	11.4%
Q17	The schedules of unit meetings are announced well in advance.	10.0%

A third area with frequent weakness was faculty involvement in unit decision-making procedures, such as course assignments (Q27), strategic planning (Q23), and budgeting (Q21). A fourth area relates to the availability of information about rules and procedures (Q15 and Q37). Finally, more than a third of units showed weakness in the management of EO-faculty relations such as receiving advice from faculty (Q34) and justifying the EO's decisions to them (Q35 and Q38).

To examine the dimensions of shared governance that are more commonly perceived as healthy across campus, in Table 4 we present the list of aspects rated as weak in less than 15 percent of units. These are some aspects of procedures (Q17), information availability (Q14), relations with campus (Q49), and bylaws' stipulations (Q7 and Q12). The management aspects of unit governance are notable in this list by their absence.

5. Variations in the Intensity of Shared Governance Performance Across Campus Units

A key question in assessing the status of shared governance on campus is whether the results for campus units are more or less similar, with each having strength in some dimensions and weakness in some others, or the results reveal some degree of polarization, with some units suffering from a wide variety of problems while others enjoying generally good conditions. In the former case, addressing governance concerns requires focusing on improving the governance aspects that are more commonly weak across units, which we examined in Section 4. On the other hand, if governance performance is polarized, one needs to zero in on the underlying problems of the weak units, possibly with help from what one can learn from the experiences of the stronger units.

To address this question, we first carried out an exercise, using a procedure similar to the one in Section 4, though this time calculating the share of governance aspects that are rated as weak by the respondents in each unit. We call this measure the Governance Weakness rate. Figure 3 presents the results and shows that many units on campus are enjoying generally good governance with weaknesses here and there. Indeed, about a quarter of units that responded to the survey reported weakness in less than 10 percent of governance aspects. Five units—Comparative & World Literature, Computer Science,

Dance, Educational Psychology, and History—show no weakness in any area! Another quarter of units reports problems in 10 to 25 percent of governance aspects. However, for the rest the situation is grimmer. The faculty in 25 percent of units indicate weakness in more than 50 percent of governance aspects. For 10 percent of units, the fault rate ranges from 70 to 100 percent.

Figure 3. Which Units Have Greater Governance Weakness Rates?

Histogram of the Share of Weak Governance Aspects in Each Unit
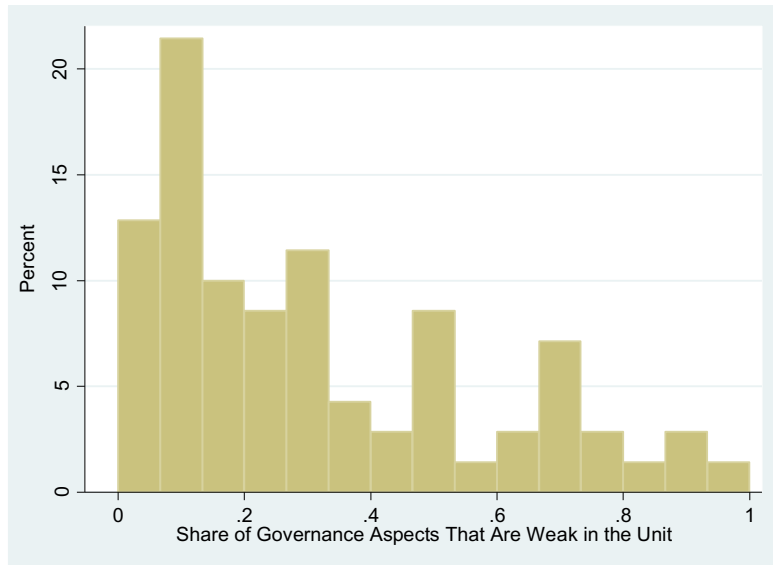
The Governance Weakness rate indicates significant variation in the shared governance experiences across units. One wonders whether this variation is largely due to differences in specific factors in each unit, or the differences are driven by variation in a few underlying factors that drive the multitude of governance aspects in connection with each other in ways that generate the polarized pattern observed. The distinction between the two situations is important because in the first situation, improvements may be possible by addressing governance weaknesses aspect by aspect in each unit, while in the second situation, the observed weaknesses are interrelated and emanate from a few underlying shortcomings that call for more comprehensive solutions.

As a step to explore the nature of variation in governance aspects across units, we applied factor analysis to survey results of the questions with Likert scores. This method allows one to test for the presence of common underlying factors that drive governance aspects in a connected fashion in each unit. If such factors are found, the method further produces estimates for them, which can be used as summary measures for governance outcomes, thus reducing the dimensionality of the aspects to be examined. One can then explore whether these summary measures themselves have a major common factor that can act as an overall indicator of governance conditions. Such an overall indicator would serve a purpose similar to the Governance Weakness rate that we developed earlier, but has the advantage that, unlike that rate, when aggregating information across aspects, it does not assign equal weights to all variables generated by the survey. Rather, the overall indicator emerging from factor analysis derives the aggregation weights for various aspects based on the statistical correlations among those aspects. The factor variables estimated by factor analysis are standardized to have a mean of zero and standard deviation equal to 1.

The initial step in our application of this method to the survey results indicated the presence of several common factors, each of which was associated with a group of governance aspects that could be viewed, by and large, as conceptually connected with each other. Indeed, these groups more or less coincided with the categorization of governance dimensions in Communication No. 27. To gain further insight into the underlying factors, we formed five groups of governance aspects largely based on the initial step in factor analysis, but moved some items among groups to ensure conceptual coherence in each group. The result was as follows:

- Bylaws Stipulations: Q7-Q12
- Information Provision: Q5 Q14 Q15 Q37
- Decision Procedures: Q13 Q17-Q28
- Unit Management: Q34-Q35 Q38-Q41
- Campus Relations: Q42-Q55

We then estimated the common factors underlying each group, which turned out to be unique in each case. This provided us with five major factors that could be interpreted as representing strength in the above five areas of shared governance. These factors have high levels of scale reliability and explain about 55 to 80 percent variations in the variables that they represent. The rest of the variation is, of course, due to a host of other random factors.

In the final step, we checked the presence of common factors behind these five indices. Again, there appeared to be a unique factor underlying all five. This factor may be interpreted as an "Overall Governance" indicator. It accounts for more than 90 percent of variation in Decision Procedures, about 80 percent of the variation in Information Provision, Unit Management, and Campus Relations, and about 50 percent of variation in Bylaws Stipulations. Table 5 further shows the correlations of the five major factors with the Overall Governance Factor. The figures in this table again indicate that all the major factors except Bylaws are closely correlated with each other and with the Overall Governance factor. This suggests that the details of bylaws may not have a strong connection with governance outcomes. This observation should not be surprising because bylaws are not always followed and are not always kept updated. They can potentially act as a framework, but the day-to-day exercise of governance is too complicated to be strongly shaped by the bylaws. On the other hand, Decision Procedures, which can be adjusted more easily, seem to be most strongly related to the other factors and the Overall index. Interestingly, the Campus Relations index is the next most significant factor.

Table 5. Correlation Matrix for the Five Major Factors and the Overall Governance Factor

Factors	Bylaws Stipulations	Information Provision	Decision Procedures	Unit Management	Campus Relations	Overall Governance
Bylaws Stipulations	1.000					
Information Provision	0.607	1.000				
Decision Procedures	0.616	0.838	1.000			
Unit Management	0.427	0.688	0.840	1.000		
Campus Relations	0.472	0.713	0.835	0.857	1.000	
Overall Governance	0.693	0.888	0.957	0.890	0.903	1.000

It should be noted that what we are measuring here is, of course, the practice of Decision Procedures, Campus Relations, etc., which ultimately all depend on how the EOs exercise their roles, and that seems to be captured in the Overall Governance factor. This underlying factor presumably depends on the abilities of the EO, on the configuration of the faculty personalities and their relationships with each other, and on the vigilance of higher-level administrators, especially the offices of the dean and the provost. This view may also explain the frequent statements in the responses to open-ended questions, summarized in in Section 7 below, that blame the particular EO or the dean or others higher up for governance failures (though the roles of the faculty's own personalities and constellations are rarely mentioned).[6]

Figure 4. The Overall Governance Factor and the Governance Weakness Rate
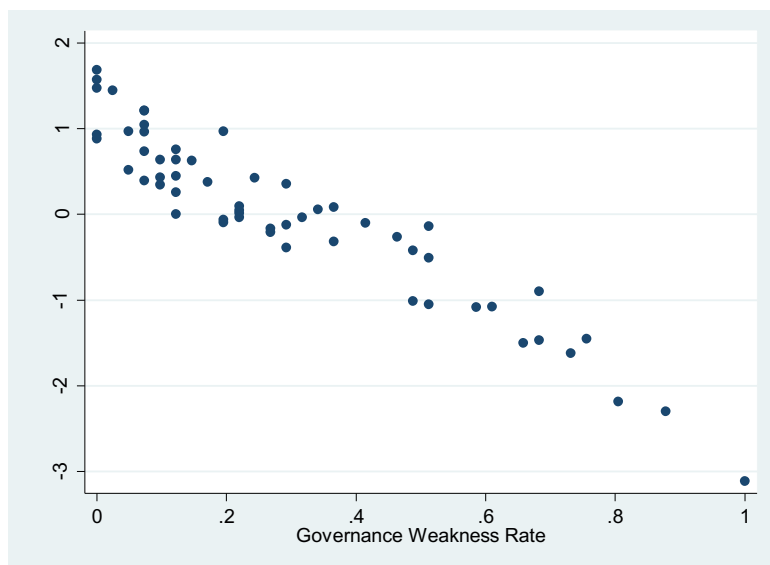
How does the Overall Governance factor compare with the Governance Weakness rate discussed earlier? Figure 4 shows the scatter diagram of these two indicators charted against each other. As can be seen from this figure, the two measures are negatively correlated quite tightly, meaning the lower the governance factor, the more governance weaknesses are reported. Both quantities rank units in terms of governance performance more or less the same way, which is reassuring for both methods.

An old question concerning governance is whether the type of EO (Chair, Head, or Director) matters for governance. Our Overall Governance factor suggests that probably it does. As Table 6 shows, the average strength of shared governance is much higher among units run by chairs rather than heads. The director case is in between, but that could be because the nature of the units run as schools may be different from departments. Of course, this evidence cannot be conclusive because the units that have maintained a chair/executive committee structure may be different from those that have switched to headship. It should also be noted that over time, an overwhelming majority of units have been turned into headships, and units with chairs have become rare. There is almost never a transition from headship to chairmanship, maybe because the deans strongly prefer heads, who often become the representatives of the dean in the unit rather than representing the faculty in the college. Given the observation that having chairs rather than heads is associated with better governance, it seems

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[6] Such statements are common among faculty surveys at Illinois and elsewhere, including the 2013 Survey.

worthwhile to explore this issue further and to consider giving the units more realistic opportunities to reexamine their governance structures.

Table 6. EO Types and Overall Governance Factor, Showing Stronger Performance by Units with Chairs

EO Type	Bylaws Stipulations	Information Provision	Decision Procedures	Unit Management	Campus Relations	Overall Governance
Chair	0.570	0.720	0.621	0.230	0.464	0.733
Head	-0.021	-0.107	-0.092	-0.018	-0.035	-0.106
Director	-0.129	0.254	0.305	-0.021	-0.043	0.295
Chair-Head p-value	0.0500	0.0032	0.0238	0.3259	0.0931	0.0495

Figure 5. Faculty Size and the Overall Governance Factor
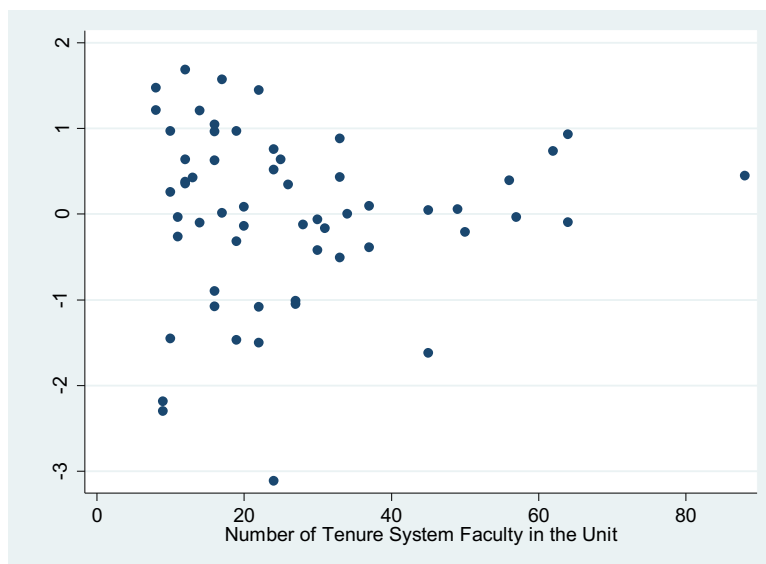
Another question often asked is the role of faculty size in the exercise of shared governance. One may expect larger units to have greater difficulty exercising shared governance. However, Figure 5, which plots the Overall Governance factor against faculty size suggests otherwise. It shows that governance in larger units is not weak relative to others. Of course, many small units also perform well. But their governance outcomes have a much larger variance.

Finally, the survey includes a number of questions about the frequency, length, and time allocation of faculty meetings that could be relevant for effective shared governance across units. Those questions were not included in the governance indicators because their responses do not match the Likert scale that is common to the other questions. In particular, unlike the Likert scale responses, the connections between the response options for those questions and good governance are not straightforward. For this reason, we examine the relationships of those responses with the overall governance indicators here separately. Figures 6 and 7 show the scatter diagrams of Overall Governance factor vs. the frequency of faculty meetings and the average time allocated in each meeting to open discussion. These figures indicate the presence of some correlations among these variables in expected ways: more frequent meetings and more time allocated to open discussions seem to be associated with better

governance outcomes. We explore the statistical validity of these relationships below and show that they are indeed statistically significant. Similar analysis for the length of meetings and the meeting times allocated to announcements, presentations, and other matters showed that their associations with governance outcome lack significance.

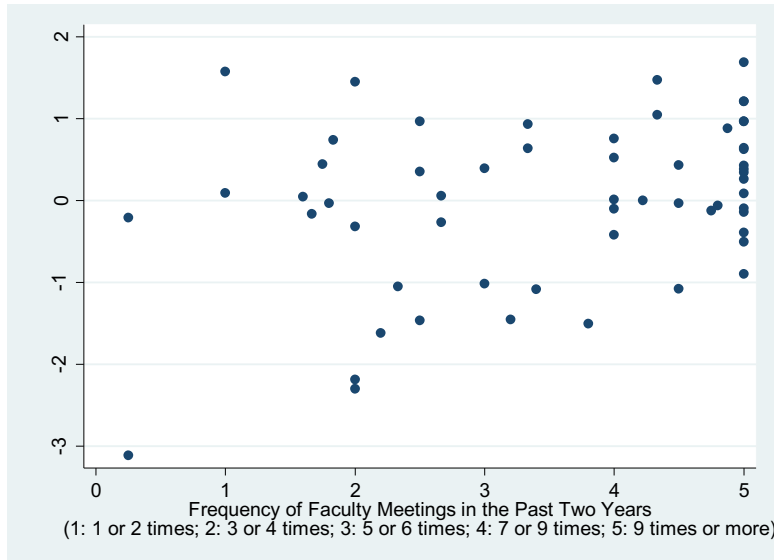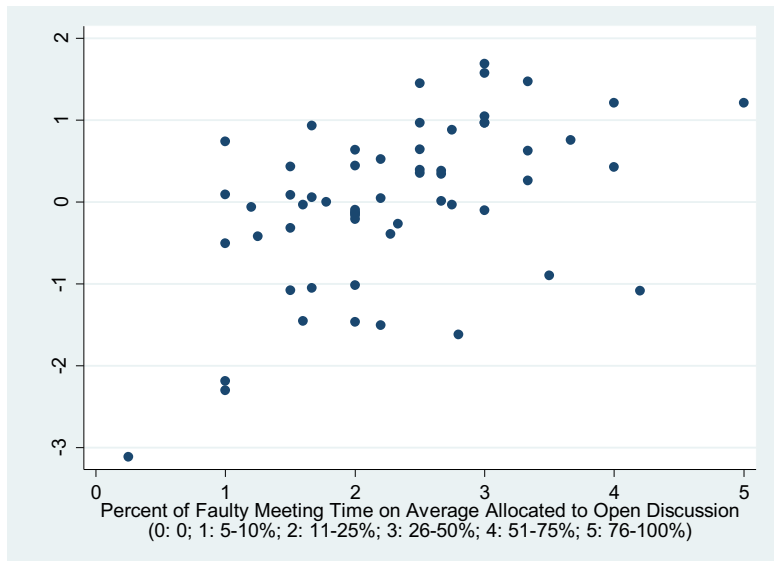**Figure 6. Frequency of Faculty Meetings and the Overall Governance Factor**

Frequency of Faculty Meetings in the Past Two Years
(1: 1 or 2 times; 2: 3 or 4 times; 3: 5 or 6 times; 4: 7 or 9 times; 5: 9 times or more)

Figure 7. Open Discussion Time During Faculty Meeting and the Overall Governance Factor

Percent of Faulty Meeting Time on Average Allocated to Open Discussion
(0: 0; 1: 5-10%; 2: 11-25%; 3: 26-50%; 4: 51-75%; 5: 76-100%)

To make this discussion more rigorous, we regress the aggregate measures of governance at the unit level on faculty size, frequency of faculty meetings, and the percent of meeting time allocated to open discussion, taking account of the heteroscedasticity observed in Figures 5-7.[7] Table 7 presents the

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[7] Heteroscedasticity refers to a situation where the variability of a random factor is not constant across the range of values of another variable that predicts it.

results. Columns (1) and (5) indicate that faculty size does not have a strong effect in governance outcomes. Only the Governance Weakness rate seems to have a weak inverse association with unit size. Still, this is interesting and important because it shows that larger units do not seem to have any disadvantage exercising shared governance, contrary to what one may have expected. Columns (2)-(4) and (6)-(8) of Table 7 further show that frequent meetings and particularly open discussion time are associated with better governance, at least within the actual ranges of these variables. Of course, this does not mean that frequent meetings and long open discussions are among the causes of good governance. These variables are obviously endogenous, and the regressions can only indicate their correlations with the governance measures. Nevertheless, taking note of these relationships could be of help for departments that want to improve their shared governance.

Table 7. Executive Officer Types and Overall Governance Factor

Variables	Overall Governance Factor				Governance Weakness Rate			
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
Department Size	0.002	0.009	0.014**	0.016**	-0.002*	-0.005***	-0.005***	-0.006***
	(0.006)	(0.008)	(0.007)	(0.007)	(0.001)	(0.002)	(0.002)	(0.002)
Meetings Freq.†		0.269**		0.139		-0.071**		-0.048*
		(0.130)		(0.105)		(0.027)		(0.024)
Open Discussion‡			0.634***	0.555***			-0.108***	-0.086**
			(0.173)	(0.169)			(0.036)	(0.036)
Constant	-0.0433	-1.199*	-1.830***	-2.206***	0.373***	0.685***	0.702***	0.844***
	(0.258)	(0.697)	(0.527)	(0.586)	(0.0545)	(0.141)	(0.120)	(0.132)
Observations	58	58	58	58	70	70	70	70
R-squared	0.001	0.130	0.297	0.327	0.026	0.153	0.204	0.253

Robust standard errors in parentheses.
*** $p<0.01$, ** $p<0.05$, * $p<0.1$
† Frequency of faculty meetings in the past two years. (1: Once or twice; 2: Three or four times; 3: Five or six times; 4: Seven or eight times; 5: Nine times or more)
‡ Percent of faculty meeting time on average allocated to open discussion: (0: 0; 1: 5-10%; 2: 11-25%; 3: 26-50%; 4: 51-75%; 5: 76-100%)

6. Comparison of the Results of 2019 Faculty Survey and 2017 EO Survey of Shared Governance

The response rate to our 2017 Survey of EOs at Illinois was low, which hampered our ability to derive more useful lessons from those responses. Now that we have responses from the faculty, there may be an opportunity to learn more by comparing the two surveys results, knowing that the surveys were collected two years apart and that the responses from the faculty may not connect to the person in the EO position from two years ago. A first conjecture to test with this data is whether the responses of EOs suffered from selection bias: EOs in units with weaker governance may have been less likely to respond. This could be for a variety of reasons. For example, the EO may not have wanted to document a weak performance, or may not have valued shared governance enough to respond to the survey, or may have been pre-occupied dealing with a difficult situation in a poorly managed unit. In any case, we split our 2019 sample into two parts: units with EO response in 2017 and units without such response. In the sub-sample with EO response, the average Overall Governance factor equals 0.27, while in the other sub-sample the average is - 0.10. The variance of the governance measure is also larger in the latter sample.

These facts are further reflected in Figure 8 where we present the histograms of Overall Governance factor in the two sub-samples. Additionally, Figure 9 shows that most faculty in the units with EO response agree or strongly agree that in their units "faculty members are encouraged to participate in shared governance committees within their unit." This may partially explain why some EOs were more likely to respond than others.

Figure 8. Histograms of the Overall Governance factor of 2019 Faculty Survey for Units with and Without EO Response to 2017 Governance Survey
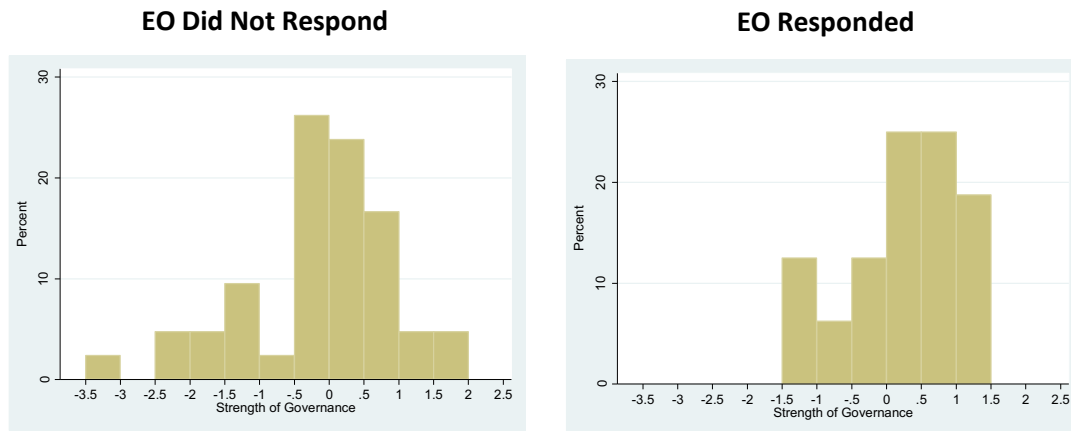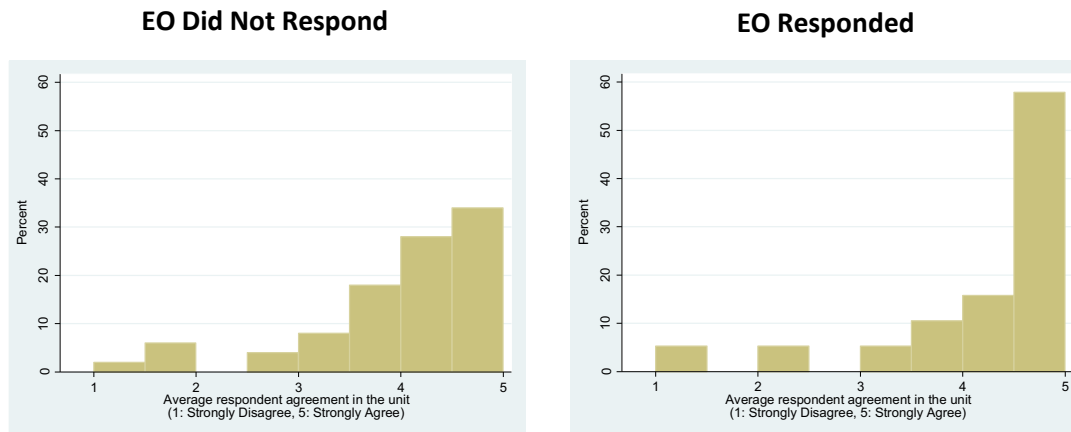

Figure 9. Histogram of Unit Mean Responses to Faculty Survey Statement: Faculty members are encouraged to participate in shared governance committees within their unit.

Even many of EOs who responded to the 2017 Survey seem to have a much more sanguine view of shared governance compared to the faculty who responded to the 2019 Survey. Figure 10 is an attempt to compare the weakness rates constructed base on the two surveys. It should be noted that in the 2017 Survey, EOs had been asked to respond by a Yes-No choice, and we interpreted the No answer to a question as indication of weakness in that aspect. In contrast, the 2019 Survey employed the 1-5 Likert scale, and we treated an average response of less than 3 to a question as indicator of weakness. In this sense, the absolute values of the two weakness rates may not be exactly on the same scale. Also, some of the EOs and the conditions of the units may have changed between 2017. However, it is still notable in Figure 10 that the responding EOs saw weaknesses at most in 40 percent of governance aspects in

their units, while the faculty in some units indicated shortcomings in far more aspects. Interestingly, among the units evaluated favorably by the faculty (weakness rates of less than 0.25), there is a strong positive correlation between the two measures. This implies that in well managed units, there is much more agreement between the faculty and the EO about the quality of shared governance.

Figure 10. Governance Weakness Rates: EO vs. Faculty Ratings
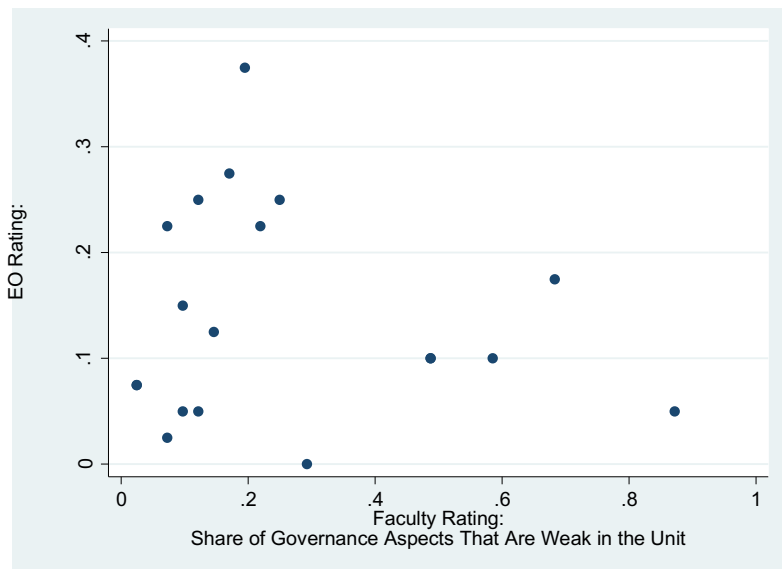
7. Review of the Responses to Open-Ended Questions

While the answers to the quantitative questions demonstrate that many faculty have positive things to say about shared governance on campus, the answers to the open-ended questions were largely negative, suggesting that they were filled out more frequently by those who found shared governance lacking.

Summary of the Responses to Q20: Provide additional feedback for any items in the Information Sharing and Transparency Section.

Most comments focused on local, departmental or school problems, but some cited problems on the college or university level. Several note the presence of long-term "systematic" problems in their departments, suggesting that the problem runs deeper than the EO and that the problems are known to the upper administration, have endured, and have not been fixed.

In response to this open-ended question, there were numerous reports that complained about aspects of Communication Number 27 that were not being followed. Many individuals reported faculty meetings being infrequent, purely informational, having no agenda in advance, and closed to input. Other complaints include a lack of transparency, secrecy, a lack of minutes, no agendas or late-appearing agendas for meetings, and no means for getting items on agendas. When bylaws were mentioned, it was mainly to point out that faculty are not familiar with them and don't know where they are kept.

Of special note is a comment that the upper administration did not follow proper procedures for reviewing EOs: "The College did not enforce the unit Bylaws as mandated in the College Bylaws. Upon a

failed UEO search, the College did not solicit full faculty feedback (met only with the full faculty and relied [on] Executive Committee consultation) and reappointed the previous UEO to another 2-year term, not even on an interim basis. Essentially no review of the direction and decisions made within the Unit were made for 6 years."

Summary of the Responses to Q36: Provide additional feedback for any items in the Guidelines Involving Faculty in Unit Decision Making.

This question received 68 responses, of which 15 could be categorized as positive, 20 as neutral, and 33 as negative.

Typical examples of positive comments are:

> "The EO follows faculty advice from faculty when that advice is given in good faith and represents the best interests of the whole unit, not just certain sub-units."

> "We use an elected chair system in [the department] and as such, the last 3 chairs have been exceptionally devoted to representing the position and views of the faculty."

A typical example of a negative comment is "OMG. I could write a monograph on this topic," after which comes a long, detailed list regarding issues on which in which faculty members are ignored and their concerns dismissed: on hiring, teaching loads, graduate admissions, and strategic planning.

The respondent also offered other comments about EOs ignoring faculty, such as

> "I often feel that the EO isn't listening to us at all. He makes decisions and then talks to us afterwards. He is not friendly to his employees. I have found him to be bullying…"

> "The EO has absolutely no concern for the views of the faculty."

> "Our meetings are predominantly information sessions where the HOD informs us of his decisions."

> "In the past 2 years there has been a distinct lack of transparency around budget, resources and teaching assignments."

 Comments about abuse of proper governance procedures typically stated:

> "Bylaws, statues, and Communication 27 procedures for role of Faculty in shared governance is regularly ignored."

> "The consolidation of power by management, and the placement of administrators on all committees, has reduced faculty governance significantly in the last two years."

Finally, there a number of comments about problems with deans keeping poorly performing EOs in place:

> "The unit is on the 5th Head in 8 years. [The College] has been reluctant to replace clear incompetence, leaving in place individuals who are abusive to their colleagues."

> "The EO was recently retained for another five years, despite the fact that fully half of the faculty in the department did not want him to be retained."

Summary of the Responses to Q44: Provide additional feedback for any items in the Guidelines for Faculty Mentoring, Development, and Evaluation Section.

This question received 48 responses, of which 10 could be categorized as positive, 15 as neutral, and 23 as negative.

Typical examples of positive comments on mentoring:

"My mentor(s) have been incredible in answering my questions and providing example resources (e.g., previous qualification exams). A permanent library of them would be helpful."

"Many of these items are addressed through committees, rather than directly by the EO."

"Our department does a good job in this area."

"Mentoring program is very strong for pre-tenure faculty."

"Pre-tenure mentoring is particularly strong, in that each pre-tenure faculty member meets with the Dean, Associate Dean for Research, and Associate Dean for Academic Affairs once per semester for an hour."

"We have a very well-developed process for mentoring pre-tenure faculty. This exists because the college required it."

Positive assessment of annual reviews or evaluations was expressed in only one comment:

"…oral feedback is always very clear and there have hardly been surprises in merit increases."

Typical examples of negative comments on mentoring:

"Faculty are not mentored in this department."

"I have neither been offered nor provided with mentoring since tenure and promotion."

"Never happens. Careers have been destroyed by inept, dishonest leadership."

"No formal mentoring system in place; none for mid-career."

"The lack of a mentoring program is of particular concern to me as an Assistant Professor."

"There is no mentoring. You are supposed to find it on your own."

Typical examples of negative comments on annual reviews/evaluation:

"Annual progress letters are vague with no clear direction or feedback. The rating scales used to evaluate Research, Teaching and Service do not correspond to the true faculty effort and productivity."

"There is little to no discussion regarding the expectations for faculty members' contribution to [the department's] mission."

"Annual Reports are never open for discussion by the "team" that draws them up, nor has there ever been a clear protocol for challenging salary levels or merit raises."

"Evaluation is opaque, likely highly biased, and attempts to address structural salary problems with merit increases (an incorrect practice)."

"I've only received written feedback from annual review once, when my dossier was considered for promotion."

"The EO is hampered by the absence of written procedures for annual evaluation of tenured faculty--no one has bothered to write them or add them to the Bylaws or P&P."

"Sure, you can write a rebuttal to the reviews but it doesn't mean anything and it doesn't change anything either. Being tenure-track means that you are hazed."

Typical examples of complaints about inaction by the Dean/Provost

"Last year, for example, the EO simply did not do [the annual salary review] because she did not get along with the elected committee she would have to work with to complete the salary review. Her failure to complete the annual salary review was in direct violation of departmental bylaws, with full knowledge of the deans (which is not to say that they approved)."

"I can feel my blood pressure rising, as I respond to these questions. Our department does not follow [the bylaws] in annual reviews. I sent a formal letter of complaint to the dept head, dean and associate dean of the college. The only response I received was an email essentially thanking me for my concern. I considered filing a grievance and even contacted the campus Academic HR department. After consulting with Bill Bernhard, they told me that this was not a university HR issue. (WTF?)"

Anyway, the dean deserves some blame here, because she knows that our department doesn't follow procedure, and for whatever reason, she's chosen to ignore the issue."

Summary of the Responses to Q56: Provide additional feedback for any items in the Guidelines for Faculty Participation in Unit, Campus and University Shared Governance Section

This question received fewer responses than the other open-ended questions (less than a fifth of the total sample). Among the responses to this question, a small subset addresses faculty participation within the unit. A few of the respondents in this subset are positive about the shared governance conditions in their units:

"All this is definitely working well in our unit."

"Our EO does a great job. I just transferred to [college] from [college] and I am impressed so far with the transparency and careful management."

"Overall, faculty participation in shared governance counts and is encouraged."

The rest tend to be quite negative, complaining of absence of share governance practices, lack of information, and favoritism and arbitrary decision-making by the EO:

"There is no shared governance in our department-- requests for it are met with hostility and personal umbrage."

"Service is only recognized when you are one of the favored ones of the department head."

"Service is punished, never rewarded."

"Annual performance reviews are a complete sham. Purely political."

"These are 'good ole boys' method. Sometimes women are on the 'inside' but not so often. And decisions are mainly made by the 'insiders group'. We are talked at, not with."

"We have not had any discussion about faculty governance in the [college] for quite some time and I know that newer [faculty] are not oriented to the Bylaws or discussion about the responsibilities of faculty governance."

Most of the responses to **Q56** focus on the connections between the unit and the college- or campus-level administration and the Senate. These responses could be categorized into five groups. A few respondents repeated the point made elsewhere that the root of shared governance problems resides at higher levels than departments. For example,

"The problem isn't the department. It's the fact that our Senate only advises administration. There is no real seat at any real decision-making table."

A second small group expressed doubts about the value of the Senate:

"Senate is useless anyway."

"Something needs to be done about the campus Faculty Senate. The meetings take forever and very little real business gets done."

"As long as the Senate remains dysfunctional and does not represent the faculty as a whole, its activities will remain largely irrelevant to the college and department."

The third group of responses complained about lack of information and/or encouragement for the faculty to participate in central campus institutions:

"Almost no such information is provided or discussed."

"Department has limited administrative understanding of campus."

"We don't have committee reports, so we never hear a report about the faculty Senate or any other campus committees."

"Not much encouragement for/information on/facilitating of participation in college/campus committees."

"We are told not to be involved with campus and senate."

"For the most part, the [college] has traditionally acted a bit like a silo and very few people have understood much about how central campus works or how to get involved or what the benefits/costs/opportunities might be."

The fourth group questioned the role presumed in Communication 27 for the EO to inform and encourage faculty to participate in campus-level committees or the Senate, suggesting that other office holders in the units or the faculty themselves could or should provide the information or volunteer:

"I do think some of the questions about the EO are odd. Yes SOMEONE should do those things, but should it really be the EO or delegated?"

"When the EO does not directly provide information there are associate deans or unit committees that assigned to do so."

"Some of these activities are covered by an area chair rather than the unit EO, given the size of the unit (80+ faculty)."

"Some very odd ideas about what an EO should do and what should be delegated. Failure to delegate is a failure of leadership."

"The Senators should report and promote Senate business during faculty meetings, not the EO."

"The EO does not share any of the info listed here. Department admin asst has deeper institutional knowledge on elections etc., and ensures they happen."

"Support of shared governance comes more from colleagues than the EO. Elections, etc. are coordinated by committee not EO."

Finally, a couple of respondents blamed the disconnect between the unit and the campus-level governance institutions on the lack of interest or time on the part of the faculty:

"Information is definitely made available. Do faculty read and process? Unclear."

"We're so busy that it's often hard to fill out a Senate slate."

Summary of the Responses to Q57: What mentoring process is available for pre-tenure and mid-career faculty in the unit? (Please explain briefly or, if such procedures are documented, please link to the documentation.)

The comments on mentorship are difficult to quantify because it is frequently unclear what process is being described, and if it truly constitutes formal mentorship. Many respondents appeared to be addressing themselves primarily to the situation of junior faculty, but this was often not clear.

Nonetheless, of the 172 responses, 83 made it clear there was a formal mentoring process for junior faculty. 28 more said there was a formal mentoring process, but did not specify at what level. 52 respondents stated there was no formal mentoring process at all. 34 explicitly stated there was no formal process for associate professors, while 11 stated there was a process for associate-level faculty. In 8 responses, it was impossible to tell if there was a process, or the respondent was unsure if there was a process.

Thus, considerable mentorship of junior faculty is taking place, but nonetheless there are many places on campus where it is not taking place. There seems to be very little mentorship of associate professors.

There seems to be considerable uncertainty about what constitutes mentorship. Several respondents said there was a process, but that it was not followed. Several complained of "little oversight," several felt mentorship was best left to junior faculty to seek out on their own, and several that while mentors are assigned, they often do not carry out their assignment.

Summary of the Responses to Q58: If you would like to add general comments or to elaborate and explain any particular answer, please use the space below.

Approximately, a third of respondents took advantage of this opportunity and provided additional comments. About 15 percent of the responses indicate satisfaction and positive assessment of shared governance conditions in the units:

> "In general, the EO does a good job in running the department."

> "My unit is very strong, and our Dean is an outstanding leader."

> "I feel like our chair is doing a remarkably good job to encourage scholarship in our department, which is not an easy cultural change to make."

> "The Department […] is, in my mind, a model of shared governance. Unlike many units with a Head, our structure involves a Chair and Executive Committee model, which ensures that decisions taken by the department do not rest in the hands of a single person."

> "Our department exercises shared governance--all major decisions are made by the group rather than by the EO and we are kept abreast of changes and possibilities."

> "Our unit is a large, strong one, with many full professors who are really into their research. I arrived here as a senior hire some time ago, and there were no all-faculty meetings at all for a while. Then, the assistant professors lobbied for faculty meetings, since they felt like they never knew what was going on."

> "Having come completely through the ranks here at UIUC -- and being involved on campus in various capacities -- I can say that I think our department is a very fair and effective environment."

Some of the positive comments point out that until recently the respondents' units used to be run poorly, but the situation has started to improve when a new EO was appointed:

> "Since our disastrous chair, we've done pretty well."

> "I think my answers here make the department sound pretty awful, but I think we have turned a corner with the appointment of an Interim Head, who has begun initiatives to revise and overhaul our bylaws and to regularize distribution of important informational documents of the types listed here (meeting minutes, etc.). So, things are on the upswing."

> "Our UEO inherited a unit which was poorly and even corruptly managed before his tenure and is making every effort to facilitate appropriate governance as we establish missing processes."

Negative comments are far more numerous. Many respondents in this group complain about EOs' autocratic behavior, and in many cases point out that the deans have no objection to such practices:

> "In our department we have no shared governance-- which the dean seems to approve of since at the 5 year review for the head this was repeatedly mentioned and EO was renewed for another 5 years-- in this university there is no recourse for lack of shared governance [news flash!]"

"Given the consolidation of power by assistant and associate deans, some pre-tenure faculty feel unable to express their concerns during their mentoring session with the deans."

"EO is well-meaning but in practice rather autocratic."

"I think the governance is authoritarian, arbitrary and secretive. Shared governance is only a lip service. Actions even cross into lawlessness."

"My department is a shitshow in a blender set on puree."

"The Head has absolutely no interest in the views of the faculty nor in mentoring faculty nor in allowing any type of shared governance. His sole interest seems to be in obtaining small amounts of power and furthering his own administrative career."

"The college] has gone backwards with regard to Faculty Governance. We have an autocratic Dean and no, or ineffective, department heads, whose advice would be ignored anyway. Older faculty have given up caring and younger faculty (that is most of them) don't know that it should be better than it is. They will learn and leave. Faculty Governance is a joke within [the college]."

"The climate in the unit is toxic. The toxicity is created, not by the faculty, but the administration including the EO and Dean of the College. Neither the Dean or EO were hired as a result of a search. In fact, the Dean was not even a finalist."

"This is as corporate an environment as any corporation I have ever seen or worked for. Faculty meetings are, at best, information sharing, and never decision making. You would be hard pressed to review the minutes and find a decision taken by vote beyond approval of minutes and routine matters."

Some of the negative comments recognize that the problems in their departments have broader roots and the faculty may be at fault as well:

"When I arrived here in the fall of 2012, the Department […] was much smaller, but there was a different vibe. We discussed issues openly as a faculty. … That changed little by little under the previous dept head to where the department is today. Sadly, many of those changes were aided and abetted by the current department head. But we, as a faculty, deserve some of the blame, as we've allowed more and more power to move from the faculty to the dept head. At the same time, those of us who have raised concerns, have either been ignored or treated as if we are malcontents or making a big deal about nothing or 'trying to run the department.'"

"The [college] really needs to stop with the cliques and power grabs. … Too many politics happen silently in the hallways. Too many people are scared to talk in public about numerous issues that we really need to able to address as a group. Don't know how to fix."

"The overall problem at the [college] is a workplace culture and climate that is created by the EO and a small group of individuals who do not reflect the diversity of perspectives on faculty. When this diversity is presented by a faculty member, the small group of individuals, with the tacit approval of the EO, either ignores the different perspective or purposefully attacks that individual's contributions to the [unit] in what appears to be an attempt to demean the individual and their perspective."

"My unit has a chair rather than a head and very strong tradition of deference of the chair to the executive committee. For example, there is no question the chair would actively work to hire a new faculty member even if they had voted against said candidate as an EC member. So on one level, the faculty have extremely strong oversight on the EO. However, if you are not on the EC, which is vast majority of the faculty at any given time, you have almost no idea what is going on in the department."

"There is a huge difference in lip service to shared governance and practicing it. Its too hard to do sometimes for the EO and too dangerous/headache for those in the faculty to ensure it. Once that sets in, the culture of the department spirals downhill as the faculty feel their voice is not heard and the EO feels that no one does any work."

Some respondents blame cronyism for the governance failures in their units:

"Both the Dept and the college operate on cronyism and loyalty to the leadership. Faculty review process is mysterious [, as] are hiring and leadership opportunities."

"All decisions are taken by the Head. There are no faculty meetings and in cases that committees have to be formed, like hiring committees, the members are handpicked by the Head from faculty members who, for some reason or another, want to remain in his good graces. To sum, our Department is run like a fiefdom and I am choosing my words carefully."

"The processes seem obscure, arbitrary and selected to benefit a few at the top."

Another complaint raised in negative responses is lack of information and opaqueness of procedure, often in conjunction with autocratic decision-making:

"Shared governance in our unit is essentially non-existent. It is more akin to a monarchy with little distribution of tasks or shared information. Mid-career mentoring and/or leadership training or mentoring is non-existent. Strategic vision or planning is essentially non-existent. Curricular planning is borderline non-existent, and course assignments are done as a 'smoke-filled' room exercise."

"It is hard to answer some of the questions as we are not made aware of any aspect of the administrative functioning of the department. This is most troubling with respect to faculty hiring. Faculty are not consulted on either the areas to search nor the research direction of the department as a whole."

"In the past 5-6 years transparency in decision-making has been almost nonexistent."

"I have not seen any budgetary information during the current EO's tenure, even when I have served on the unit's executive committee. Zero. Zero."

Finally, there are some other scattered issues addressed in the responses, each receiving one or two comments. One such issue is the role of non-tenure-track faculty in unit decision-making. One respondent advocates their greater involvement, while a couple of others wonder whether non-tenure-track faculty members should be treated as equals with those in the tenure system. Another concern is the **treatment of women and minorities**:

"I'm actively looking for a job. The way I have been treated as a minority is pretty horrible and no one seems to care."

"The department is organized around the principle of seniority in which everyone always already understands who has merit, who deserves recognition, and who ought to lead. That this is a genealogy of whiteness ought to be therefore obvious to any outside observer, and any talk of DEI [Diversity, Equity, and Inclusion] is a hypocritical cover for the perpetuation of prejudice and deep marginalization within the department."

 "Mid-career women faculty at Illinois shoulder a disproportionate amount of service work, and it remains shocking to me that this is not duly recognized in the criteria for promotion to full professor."

"I wish the survey also included spaces to talk about being harassed or targeted by the HOD [Head of the Department]. The above problems are, of course, serious, but in our department, the problems are much more serious than the above questions make it possible to indicate. Also, in our department, most faculty are convinced that we cannot risk relying on the deans/higher administration to protect us against harassment and bad treatment by the HOD, which means that the junior faculty (wisely) do not risk speaking up about our problems. We are a department in crisis, and most of the research faculty are trying to leave. All the women faculty have either left, moved their academic home to a different department, or are trying to leave. (It is my impression that officially, on campus, the problems in our department are blamed [on] the women faculty and possibly on the faculty of color, as this is our HOD's view of the matter.) And our HOD has just been reappointed for another 5 years, a fact that fills most of us with dread."

8. Conclusion

The faculty survey conducted at Illinois in Fall 2019 was intended to assess the exercise of shared governance based on the rules stipulated by the 2014 Provost Communication 27. The questionnaire prepared for this purpose asked faculty to evaluate the practice of four dozen dimensions of shared governance rules at the unit level, point by point as specified in Communication 27. The survey was sent to all 1869 tenure-system faculty in 91 units and generated 229 responses from 70 units. The analysis of the survey results reveals a number of important points about the experience of shared governance at Illinois.

One key observation is the enormous variation in faculty perceptions of the quality of shared governance across units. In about a fifth of the responding units, the faculty very rarely reported weakness in any shared governance dimension. Moreover, in about half of the units, weakness was reported in less than a quarter of dimensions.

At the same time, the faculty in about a quarter of units complain about violations in more than 50 percent of governance rules, with the situation seeming to be quite serious in about 10 percent of units. Such variations are often observed within the same college, suggesting that the unit characteristics must be playing key roles in governance outcomes. This does not seem to absolve the college and university administrators of responsibility for poor outcomes, but indicates that the circumstances vary across units and different approaches may be required in ensuring shared governance in different units. It is

also possible that the higher-level administrators focus their energies and resources on dealing with more manageable units and let some units with difficult conditions languish.

Given the variety of dimensions in which governance may falter, another important question is whether the weaknesses across dimensions in the same unit are independent of each other or are jointly driven by a few underlying factors. If the former is the case, addressing governance problems can proceed dimension by dimension, with each deficient dimension requiring its own remedy. If the problem is rooted in a few underlying factors, then solutions need more holistic approaches. When a unit enjoys high levels of those factors, shared governance works well in all dimensions, while lower levels of the factors are associated with the extent and intensity of failures across dimensions in the unit. To explore this possibility, we applied factor analysis to the unit-level data of all questions with a Likert scale response.

The analysis identified five sets of dimensions – Bylaws Stipulations, Information Provision, Decision Procedures, Unit Management, Campus Relations – each one of which seems to be driven by an underlying factor. Further exploration of the relationships among these factors showed that they are, in turn, connected with each other, by and large, through a common factor, which we call the Overall Governance factor. This broad factor is strongly, though negatively, correlated with the Governance Weakness rate that we constructed through a different method, providing greater confidence in the governance strengths and weaknesses identified by the two indicators.

These results suggest that while improvements in each of these dimensions would be helpful, there is a fundamental factor that could be driving all of them. This factor is probably the skills and personality of the EO and their relationship with the unit faculty and the college. The open-ended comments that the respondents left in the survey results reinforce this idea with frequent mentions of how the EO interacts with the faculty and runs the unit and, in some cases, how the dean influences that interaction.

In addition to the general results about the categories of factors that are associated with shared governance, the analysis of the 2019 survey results provides statistical support for some specific correlates of good governance as well. For example, we find that better governed units tend to hold more frequent faculty meetings and to allocate more time to open discussion in faculty meetings, within pragmatic ranges. Colleges and the Provost's office could use such information to monitor and promote shared governance in units. More generally, they can establish centralized channels for making information about governance available to the faculty rather than leaving it entirely to the EOs to do so. For instance, limited availability of bylaws, which seems to be a persistent issue, might be addressed by the Provost's office hosting a public website where all unit bylaws are posted. This website would be the official repository of bylaws for the University and all unit websites would be required to provide a link to it. A side-benefit under this system is that it would immediately become clear which units' bylaws are lacking or outdated.

Finally, an important way that interactions between the EO and the faculty is shaped through the designation of the EO as a head or a chairperson. Analysis of our survey data shows that the units with chairs enjoy significantly better shared governance than those with heads. This finding could be a result of selection bias. Nevertheless, the idea is worth exploring further and giving the units practical chances to reconsider their governance structures.

Appendix 1

AAUP-Illinois Faculty Governance 2019 Survey Questionnaire and Summary of Responses

Based on the Office of the Provost's Communication No. 27: Shared Governance for Academic Units

To Be Completed by Tenure-System Faculty

The purpose of this survey is to determine the current governance practices at UIUC units and to compare them to the guidelines set by the Office of the Provost's Communication No. 27, "Shared Governance for Academic Units," that is intended to help Executive Officers (EOs) to lead their units effectively and harmoniously. The aim is to document and analyze the strengths and possible weaknesses of shared governance at the University and provide ideas for improvement where necessary.

Your responses are voluntary and will be treated with utmost confidentiality. Responses will not be identified by individual. All responses will be compiled and analyzed in sufficiently large groups to ensure that individual responses would not be identifiable. The results of the analysis will be made available to the University administration, senate, and faculty.

In the following survey, you will be asked check "Yes" or "No" to the survey questions or to choose whether you agree or disagree with the survey statements on five-point scale (0: Not Applicable; 1: Strongly Disagree; 2: Somewhat Disagree; 3: Neither Agree or Disagree; 4: Somewhat Agree; 5: Strongly Agree). If you would like to elaborate or explain any particular answer, you may do so in the several open-ended questions at the end of each section and at the end of the survey.

For the scope of this survey, faculty are defined as tenure system faculty only. This is not meant by any means to ignore the importance of non-tenure track ("specialized") faculty members as an integral part of the University faculty. However, Communication No. 27, which is the basis of the current questionnaire, is focused on the tenure-system faculty. The roles and rights of specialized faculty members in shared governance structures have been somewhat different in the past and assessing their experiences requires a survey instrument of its own. We plan to prepare and administer such a survey separately.

Question	Statement	Number of Responses
Q1	Academic Rank	226
Q2	Department/Unit	227
Q3	College/Unit	228
Q4	Does your unit have bylaws?	229
Q5	Unit bylaws are made readily available to everyone in the unit (e.g., posted on the website, distributed to new faculty).	229
Q6	If 5 or 4, please specify the means or method	152
I. Information Sharing and Transparency		
	The unit bylaws specify:	
Q7	*definition of unit faculty*	215
Q8	*rights and privileges of tenure-system faculty, with and without joint appointments*	213

Q9	*rights and privileges granted by the tenure-track faculty to unit specialized faculty*	215
Q10	*rights and privileges granted by the tenure-track faculty to unit's affiliate or zero-time faculty members, students, or staff*	215
Q11	*grievance procedures for faculty and students*	215
Q12	*procedures for amendments of the bylaws*	213
Q13	The unit bylaws are followed conscientiously.	222
Q14	Lists of unit committee composition	225
Q15	Lists of unit committee charges	225
Q16	How many times have the full unit faculty met with the EO during the last two years (2017-2018 and 2018-2019)?	222
Q17	The schedules of unit meetings are announced well in advance.	225
Q18	The items for meeting agendas are invited several days in advance.	222
Q19	The minutes of full unit faculty meetings with the EO are produced and made available to the faculty.	225
Q20	Provide additional feedback for any items in the Information Sharing and Transparency Section here.	58
II. Guidelines Involving Unit Faculty in Unit Decision Making		
Q21	The EO consults with the advisory/executive committee in preparing the unit budget, in accordance with the University Statutes (II.3.d.8; III.5.b.8; IV.2.d; IV.3.d7).	225
Q22	Hiring priorities are determined through discussion among the EO and faculty.	225
Q23	Formal strategic planning exercises for the unit are carried out at least every other year.	224
Q24	When formal strategic planning exercises are carried out, all unit faculty are invited to participate.	224
Q25	Graduate admissions	223
Q26	Curricula	224
Q27	Course assignments	225
Q28	Sufficient time is allowed during faculty meetings for full discussion of agenda items.	228
Q29	On average, how long (in terms of minutes) are faculty meetings?	217
	Thinking of the last two meetings held, what percentage of time was spent on the following:	
Q30	*Announcements*	219
Q31	*Presentations*	212
Q32	*Open Discussion*	217
Q33	*Other*	130
Q34	When the EO Has received advice from the faculty on a departmental matter, she/he follows that advice even if it differs from her/his initial view on that matter.	225

Q35	When the EO makes a decision that goes against the advice from the faculty, she/he reports back to the faculty about the reasons for the decision.	225
Q36	Provide additional feedback for any items in the Guidelines Involving Faculty in Unit Decision Making here.	68
III. Guidelines for Faculty Mentoring, Development, and Evaluation		
Q37	The EO ensures the wide availability of the unit's written procedures for yearly evaluation of faculty members, including a statement of the unit mission and expectations for faculty members' contribution to that mission.	227
Q38	Each faculty member in the unit receives an oral or written evaluation of annual progress.	226
Q39	When a faculty member in the unit receives an oral or written evaluation of annual progress, she/he is given an opportunity to respond.	226
Q40	The EO ensures that a mentoring process is available for all pre-tenure faculty in the unit.	226
Q41	The EO ensures that a mentoring process is available for all mid-career faculty in the unit.	222
Q42	The EO regularly shares information about campus and unit resources potentially available for faculty development (travel funds, research funds, access to RA assistance, fellowship and teaching release opportunities, etc.).	224
Q43	The EO explains how to apply for campus and unit resources.	225
Q44	Provide additional feedback for any items in the Guidelines for Faculty Mentoring, Development, and Evaluation Section here.	48
IV. Guidelines for Faculty Participation in Unit, Campus and University Shared Governance		
Q45	The EO shares information with faculty members about the basic administrative and governance structures of the campus and the University.	226
Q46	Unit faculty members are provided assistance in how to navigate campus administrative processes such as approvals of curricular proposals.	226
Q47	The EO shares information with faculty members about the role of the campus Senate and their basic committee structures.	226
Q48	The EO shares information with faculty members about the role of the Graduate College and their basic committee structures.	226
Q49	The EO ensures that timely elections are held for faculty representation to the campus Senate, in coordination with the Office of the Senate.	225
Q50	The EO encourages all voting faculty members to nominate and elect qualified representatives to the campus Senate.	225
Q51	The EO encourages departmental Senators to regularly report to the unit on the work of the Senate.	224
Q52	Faculty members are encouraged to participate in shared governance committees within their unit.	225

Q53	Faculty members are encouraged to participate in shared governance committees within their school/college.	225
Q54	Faculty members are encouraged to participate in shared governance committees on campus.	224
Q55	The EO ensures that service and leadership activities on campus are recognized (i.e. in the annual performance evaluation of faculty).	223
Q56	Provide additional feedback for any items in the Guidelines for Faculty Participation in Unit, Campus and University Shared Governance Section here.	32
V. Comments and Explanations		
Q57	What mentoring process is available for pre-tenure and mid-career faculty in the unit? (Please explain briefly or, if such procedures are documented, please link to the documentation.)	174
Q58	If you would like to add general comments or to elaborate and explain any particular answer, please use the space below.	67