

JOURNAL OF THE FACULTY SENATE
The University of Oklahoma (Norman campus)
Regular session - February 13, 1995 - 3:30 p.m.
Jacobson Faculty Hall 102

The Faculty Senate was called to order by Professor Tom W. Boyd, Chair.

PRESENT: Anderson, Badiru, Baker, Boyd, Bremer, R.C. Davis, Dillon, Erdener, Fiedler, Friedrich, Fung, Genova, Greene, Gutierrez, Havener, Horrell, Hutchison, Kincade, Koger, Kukreti, Laird, Landes, F. Lee, Loving, R. Miller, Mock, D. Morgan, Mouser, Nelson, Ogilvie, Patterson, Pauketat, Ragep, Roegiers, Sankowski, Sullivan, Sutton, Tepker, Van Gundy, Wallach, Watson, Weaver-Meyers, Weinel, Wenk, Wiegand, Williams

Provost's office representative: Mergler
PSA representatives: Barth, Iselin, Marshall, Spencer

ABSENT: Burnett, L. Hill, Holmes, Reeder, Rhodes, Stock, Tiab

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APPROVAL OF JOURNAL

The Senate Journal for the regular session of January 23, 1995, was approved.

ANNOUNCEMENTS

Citizens Caring for Children, a community service providing guidance and support to foster teenagers, has formed a partnership with the University of Oklahoma. They invite the OU faculty to mentor a foster youth or participate in their Independent Living Skills seminars. For more information, call Marita or Diana at 348-9034.

Prof. James Mouser (Marketing) agreed to serve on the ad hoc committee to develop procedures for implementing an employee debt policy (see 12/94 Journal, page 6, and 1/95 Journal, page 2).

The OU Regents approved the Provost's proposed sabbatical and leave of absence without pay policy (see 12/94 Journal, page 2), except to add deadlines in the second paragraph of the leave without pay section. Prof. Boyd noted that the Faculty Senate Executive Committee was framing a letter to President Boren informing him that faculty who want to take a leave without pay often do not know by February 1 and the President's office could be inundated with requests for exceptions.

Application for a leave of absence should be submitted to the department chair or director, who will forward it with recommendation to the college dean, ~~who~~ by February 1 for leaves beginning in the following academic year or later and no later than July 15 for leaves beginning the following spring semester. After recommending approval or disapproval, the dean will forward it to the Senior Vice President and Provost. The Senior Vice President and Provost will recommend to the President, who will make recommendations to the Regents for final action for the April and September meetings respectively. The President may approve exceptions to these deadlines, provided that it appears to be in the best interest of the University.

The application will be in the form of a letter of request ...

The Faculty Senate will hold a workshop for Committee A members on Thursday, February 16, at 3:30 p.m. in the Conoco Auditorium. Interim Provost Mergler will be present to answer questions and discuss specific problems relating to tenure and promotion considerations, financial risk taking, and goal and priority setting.

The Parking and Transit office is establishing an ad hoc committee to help facilitate changes concerning parking on the Norman campus. Professors Marvin Baker (Geography) and Anne Million (University Libraries) will be the faculty representatives to the committee.

PENNY POWER CAMPAIGN

Ms. Jerri Culpepper, Director of Communication Services, explained that the students had started a million pennies campaign to benefit Food and Shelter for Friends. This is a special effort to raise funds to retire the mortgage on the Food and Shelter for Friends building so that any other funds the organization receives, such as through the United Way, can be spent on items like food. Ms. Culpepper suggested that offices set up a container to collect funds from faculty, staff, or visitors. The deadline is March 3. Other upcoming fund-raising events are the faculty/staff campaign and the \$200 million by 2000 campaign recently announced by the President.

REMARKS BY INTERIM SENIOR VICE PRESIDENT AND PROVOST NANCY MERGLER

Dr. Nancy Mergler, Interim Senior Vice President and Provost, spoke about issues affecting the University within a national context and local context. Nationally, some transition is occurring with the Republican Congress. In all likelihood, federal grants will be shifted to regions or states that will allocate money based on local concerns. Within the 100-day plan of the Republican Congress, there are possible cuts to agriculture and student aid,

examination of what universities charge for indirect costs, reductions in funding for advanced technology programs, reductions in payments to teaching hospitals, and decreases in National Science Foundation funding, all of which can impact our programs.

The local picture is a little different. The state allocation to the educational and general (E&G) budget has slowly eroded over the past ten years in terms of the percentage we receive. OU students pay a lower percentage of their educational costs than students in adjacent states, except Texas. Some federal funding sources could dry up; private fund-raising has been flat over the past five years. President Boren is looking at the possible sources of revenue. He believes he has a twelve-month window of opportunity in which he has name recognition as a former senator. Most likely sources include private fund-raising, a tuition and fee increase, and increased state allocations. President Boren wants to centralize the development effort and has just initiated a \$200 million by 2000 fund-raising campaign. The President thinks the key is to repair our relationship with legislators and donors. President Boren is using his inauguration as an opportunity for lobbying and fund-raising.

Dr. Mergler's number one strategy is to retain our current faculty. Replacement costs for faculty are tremendous. Because faculty numbers are low, each loss hits us more deeply. We need to allow faculty to utilize their strengths in our missions of teaching, research, and service. Some programs are already in place to retain faculty. Decent salary increases are critical. However, are salary increases worth it if it means internal reallocations? The deans have indicated that internal reallocations this year would involve people, not just M&O budgets. Her second strategy is to increase faculty size and diversity. Faculty cannot take on any additional activity. We need more faculty to staff our curricular and research programs. Number three is to maintain our forward momentum in increasing grants and contracts. We need to be flexible in competing for federal and state funds.

The fourth item is to help the President re-build the public trust in higher education and in OU in particular. One way to do that is through the panel on reinvigorating the undergraduate experience, which is looking at aspects of advising, personal relationships students can develop with faculty and staff, class size, use of retired faculty, quality of lower division classes, and placement of graduates. Another way is through consistent management practices that the public can understand, such as clear policies on sabbaticals and leaves, on the evaluation of chairs and deans, and on class absences, as well as top administrators working well together.

Strategy five is to minimize transition stress through clear and open communication. Dr. Mergler said these strategies should help move OU forward. She remains guardedly optimistic that we can have great success with private fund-raising and positive success with state support.

Prof. Davis said he was concerned about the promotion of teaching over research. He said perhaps the faculty have misunderstood President Boren's attempt to re-build public trust by emphasizing teaching. Dr. Mergler said President Boren wants us to do good undergraduate teaching, but this is also part of his plan to re-establish trust. Every institution is examining its relationship with state legislators and taxpayers. President Boren does not want to lose the revenues that come in as a result of research. Funds are still in place for research start-up and for matching grants and contracts.

Prof. Roegiers asked about Dr. Mergler's statement that federal funds could dry up. Dr. Mergler said it is more a matter that those funds will be down-loaded to a local level. Therefore, it is important to have good relationships with our legislators and taxpayers. Prof. Roegiers commented that there does not seem to be a plan for research. Dr. Mergler said internal programs are available to support research. Prof. Roegiers claimed that we use those programs to the limit already. Her earlier remark about increasing grants and contracts implied additional funds. Dr. Mergler said there could be a shift to grants and contracts run through Continuing Education. We need to wait to see what Congress will do.

Prof. Hutchison said he understands the need for outside funding; however, research should not only be measured in terms of dollars. There has been too much evaluation with the dollar sign only. Scholarship is bigger than research grants. Prof. Mock agreed, saying faculty do not get recognized for research accomplishments unless they are awarded large grants. Dr. Mergler said that is a good point.

Prof. Loving said the budgets of some departments have been cut because they are not generating large numbers of research dollars. Dr. Mergler said she will use a number of criteria in evaluations of units, such as audience participation for fine arts units, and she will look at the ratings that quality and quantity of teaching and research get. This is a difficult and challenging budget year we are going into.

Prof. Weaver-Meyers asked Dr. Mergler to talk about President Boren's approach to the role of deans and faculty governance. Dr. Mergler said President Boren understands that faculty governance is very important to faculty. He appreciates the advice of councils. The role of deans is being re-defined slightly to become more internal as we go to centralized fund-raising.

Prof. Fiedler mentioned that a lot of the private sector has had to down-size. He asked whether any thought had been given to how OU would cope if the budget were reduced by one-third. Dr. Mergler said we need to develop more long term strategies. President Boren does not want to launch a full-scale strategic planning exercise, but he will turn to the issue of long term strategies after he addresses fund-raising and repairing relationships.

Prof. Fung asked about Governor Keating's proposed cut in the higher education budget and how the University would cope with that. Dr. Mergler said she plans to protect core units and faculty then scrutinize administrative areas. We may have to down-size administrative units. Some areas could possibly be combined. Core units are the academic units and the library; everything else is on the plate.

Prof. Williams asked about the status of computing and telecommunications. Dr. Mergler said Dr. Kelvin Droegemeier (Meteorology), chair of the HERO II computing bond money task force, and Vice President Jerry Farley (Administrative Affairs) will lay out the plan for spending the \$4 million in bond money to the Deans' Council this week. The bond money will build the backbone, but then we will need a plan for additional computing.

Dr. Mergler said open communication is very important to her.

SENATE CHAIR'S REPORT, by Prof. Tom Boyd

Prof. Boyd discussed last week's Executive Committee meeting with President Boren. During dinner with Governor Keating, President Boren told the governor how devastating a \$14 million cut to higher education would be. President Boren has also met with the Daily Oklahoman publisher E. K. Gaylord. President Boren is spending a lot of time letting the public sector know what we are doing. Interim Provost Mergler is serving as a central figure in the budget planning and has frequent interaction with the President. The major councils are being drawn into decision-making processes. Centralized fund-raising should eliminate the problem of a donor receiving four or five appeals for donations. Too many costly publications are being sent out. President Boren wants the deans to be more involved in the academic life. He talks consistently about the fact that the relationship between the faculty and his office must be direct.

Prof. Boyd said Personnel Director Don Flegal will hold a session on retirement February 22. The legislative bills on retirement mentioned at last month's meeting are shell bills. Sponsorship of the bills has not been determined yet. The discussion now is on trying to reduce the cost to the University through strategies such as lengthening the amortization period.

ROLE OF DEANS

Last year an ad hoc committee was formed jointly by the Provost's office and the Faculty Senate to address issues related to deans parallel to the issues addressed in the 1993 report on the role of department chairs. Attached is the committee's proposed policy statement concerning the role of deans (Appendix I).

Prof Keith Bystrom (Law), Chair of the ad hoc committee, noted that Professors Connie Dillon and Gus Friedrich, members of the Faculty Senate, were on the committee. The committee met for about seven months. Several documents were examined, such as the current Faculty Handbook and the role of chairs report, input was solicited from various groups, and a literature review was done. Some of the basic principles were to be specific, yet flexible, recognize that deans are responsible to different constituents, and identify the most important responsibilities. The role of deans is a changing role.

Prof. Weaver-Meyers asked how the evaluation of a dean by faculty is reported back to the unit. She said feedback is important to the faculty who made the comments. The perception is that faculty never hear what policy or management changes result from the evaluation. Prof. Bystrom said the committee discussed the feedback issue quite a bit. Section 2.8.1(I) states, "A summary of the performance evaluation of the dean shall be made available to the committee in the college..." Section 2.8.1(I)(3) says a written procedure will be developed. A committee within each college will interpret the information and could generate information for the rest of the faculty. The Provost will have someone to work with rather than with all the faculty in the college.

Referring to section (o) on page 4 of Attachment A, Prof. Fiedler said the dean could interpret his/her duties to be the equal opportunity elements only. For example, the dean could refuse to participate in a targeted search within his/her college by saying that that aspect of affirmative

action is not the dean's responsibility. He moved to amend that section to read, "Ensuring equal opportunity for all faculty, staff, and students in and applicants to the college, except when implementing the University Affirmative Action Plan." Prof. Friedrich asked if the argument was that affirmative action does not ensure equal opportunity. Prof. Fiedler said equal opportunity and affirmative action are used in a shorthand way to describe two opposing views in a public policy debate about affirmative action versus equal opportunity. Prof. Sankowski said there is no consensus on that. He said it is inappropriate in a standardized policy of this kind to be expressing eccentric views about affirmative action. Prof. Tepker said the terminology being proposed was not the common usage. Prof. Fiedler's motion failed on a voice vote. The document was approved on a voice vote.

RETIREMENT

Under old business, Prof. Loving said the Faculty Senate should formally take a look at the retirement issue because a lot of people will lose money in July. Many individuals who chose the \$25,000 cap did so because they could not afford the extra money for retirement. There is no firm piece of legislation to deal with the issue. If legislators wanted to put some language into the shell bills, they would not know the opinion of the Faculty Senate. "A failure of this Faculty Senate to act would be an abrogation of its responsibilities to the faculty." The Senate has had time to act on other issues such as resolutions of appreciation, but not on retirement. The faculty do not know what we are doing. He moved that the Faculty Senate meet in special session every week until a policy on retirement is crafted. Prof. Friedrich pointed out that the Faculty Senate had approved some principles. Prof. Gabert said the Faculty Senate approved the statement calling for an 80% wage replacement and no reduction in take-home pay. Prof. Boyd asked, "What more precise policy could one make at this time given the uncertainty of what we are facing?" Prof. Dillon commented that we are better off with a philosophy statement than a specific proposal. OSU has been harmed by taking a position and being bound to it. We do not yet know what the facts will be.

Prof. Sutton said he is sensing a moral outrage from the faculty at large. We need to get the issue before the legislature. We have not said what we really want. One of the things the Faculty Senate can do is express moral outrage that more has not been done at the legislative level. Prof. Tepker said if the issue is communicating moral outrage, that has been communicated to the administration and legislature. A specific proposal will require considerable research and work. Further expressions of moral outrage would not be very effective. Prof. Weaver-Meyers said we need to consider politics and timing. With legislators considering cuts in higher education, they will focus on issues of more importance to the taxpayers than retirement of faculty, who the people of Oklahoma think are overpaid. There are times to quietly accomplish something that has a chance of succeeding. Prof. Loving's motion failed on a voice vote.

Prof. Boyd said the question of keeping matters before the legislature, including outrage, has to be dealt with. More is going on behind the scenes than might be apparent. Prof. Gabert added that President Boren could be very effective in working with the legislature. He is trying to reduce the cost to the University and individual. Work is also going on internally to ensure a quality retirement plan for faculty. We do not want to lock ourselves into one plan that we might regret later.

RESOLUTION OF APPRECIATION TO FORMER PROVOST JAMES KIMPEL

The following resolution of appreciation, distributed at the meeting, was approved on a voice vote.

WHEREAS, James F. Kimpel has served two and one-half years as provost and chief academic officer of the University of Oklahoma;

WHEREAS, while laboring under extreme budgetary constraints, he has sought to maintain the standards of scholarly achievement to which the University is committed;

WHEREAS, he has worked closely with the leadership of the Faculty Senate to ensure faculty participation in academic governance;

WHEREAS, he has made a notable contribution to the increased research productivity of the University;

WHEREAS, he has served faithfully during a period of significant change in University administration;

WHEREAS, he has chosen to return to teaching and research duties as a member of the faculty;

BE IT THEREFORE RESOLVED that the Norman Campus Faculty Senate commends Provost Kimpel's leadership and expresses gratitude and appreciation for his contribution to the University and to the state of Oklahoma.

BE IT FURTHER RESOLVED that the Faculty Senate welcomes his continuation as a faculty colleague and looks forward to his future participation and counsel.

ELECTION, CAMPUS SECURITY AND CRIMESTOPPERS BOARD

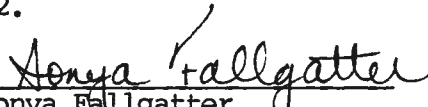
The Senate approved the following Senate Committee on Committees' nominations to the newly-created Campus Security and Crimestoppers Board that was approved at the last meeting (see 1/95 Journal, page 8). The President's office will appoint a faculty member to a 1995-97 term.

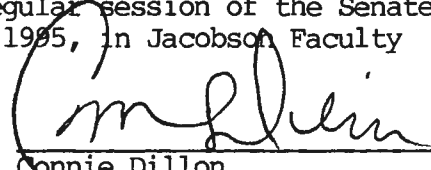
Rosa Cintron (Educational Leadership), 1995-98 term

Harold Grasmick (Sociology), 1995-96 term

ADJOURNMENT

The meeting adjourned at 4:50 p.m. The next regular session of the Senate will be held at 3:30 p.m. on Monday, March 20, 1995, in Jacobson Faculty Hall 102.


Sonya Fallgatter
Administrative Coordinator


Connie Dillon
Secretary

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FINAL REPORT
OF THE
AD HOC COMMITTEE TO STUDY THE ROLE OF DEANS
ON THE NORMAN CAMPUS
UNIVERSITY OF OKLAHOMA

BACKGROUND

On February 16, 1994, the Senior Vice-President and Provost, James F. Kimpel, appointed this Ad Hoc Committee to study the Role of Deans on the Norman Campus. The committee was charged with the responsibility of reviewing current University policies and recommending changes to the selection, functions, responsibilities, evaluation, and accountability of deans. The committee was also requested to evaluate the relationship of deans to higher administration, chairs/directors, and individual faculty. Professor Keith Bystrom (Law) was appointed to serve as Chair of the committee. Other members of the committee include: Professor Fran Ayres (Business Administration), Professor Carol Beesley (Fine Arts), Professor Luis Cortest (Modern Languages), Professor Connie Dillon (Educational Leadership and Policy Studies), Professor Davis Egle (Aerospace and Mechanical Engineering), and Dean David Young (Arts and Sciences). Professor Gus Friedrich from the Provost's Office served as an ex officio member of the committee.

COMMITTEE PROCEDURES

The first organizational meeting of the committee was held on March 22, 1994. We continued to meet on a regular basis during March, April, May, and June. On June 29, 1994, a preliminary draft containing suggested changes to current policy statements concerning the role of deans on the Norman Campus (Faculty Handbook, Sections 2.8.1 and 2.7.4) was circulated to appropriate University officials and groups in order to seek written comments and suggestions. This preliminary draft was sent to J.R. Morris, Interim President; James F. Kimpel, Senior Vice-President and Provost; Norman Campus Deans; Executive Officers of the University; Chairs/Directors on the Norman Campus, Tom Boyd, Chair, Faculty Senate; Neal Stone, Chair, Staff Senate; and Scott Martin, President, University of Oklahoma Student Association.

After numerous written comments were received, the committee resumed meeting at the beginning of the Fall Semester, and has continued to refine the proposed policy statement. On Friday, October 14, 1994, the committee met and approved the attached proposed draft for changing current policy statements on the role of Norman Campus deans as contained in the 1988 Faculty Handbook, Section 2.8.1 and Section 2.7.4.

Attached to this Final Report of the Ad Hoc Committee on the Role of Norman Campus Deans is a proposed draft of those policy changes (Attachment A), a copy of the current policies as contained in the 1988 Faculty Handbook (Attachment B), and an annotated draft of the proposed policy that identifies language from the current policy immediately after the section of the proposed policy that discusses the same or similar topic (Attachment C) (available from the Faculty Senate office).

COMMITTEE PREPARATION

To prepare for our deliberations concerning development of suggested changes to current University policy, the committee received input from many different sources, including:

- A detailed survey was sent to all current Norman Campus Deans to obtain their input on a number of important questions that were being studied by the committee (copy attached). Most deans responded with helpful comments on current University policy and potential changes that would increase their ability to accomplish the goals of their college.

- The committee reviewed the Final Report of the Ad Hoc Committee to Study the Role of the Department Chair (dated November 17, 1992). Since this report reflected a recent change in University policy and discussed issues similar to those facing the committee, it was used as a starting point to review policy and procedure concerning the role of deans.
- The committee reviewed policy statements on the role of deans from peer universities.
- The committee sought input from constituent groups on the University Campus concerning the issues to be addressed by the committee. These groups included the Dean's Council, Faculty Senate, Staff Senate, the University of Oklahoma Student Association, and the Graduate Student Senate.
- After an extensive literature review to discover the most recent thinking on the role of deans within higher education, the committee found many suggestions on the topics to be addressed by the committee. An important book that was reviewed by the committee was The Academic Dean: Dove, Dragon, and Diplomat by Allen Tucker and Robert Bryan (MacMillan, 1988).
- The committee reviewed current documents from the Office of the Senior Vice-President and Provost concerning the evaluation of administrators and deans, recruitment documents for dean searches, and current contract language as contained in the Provost's offer of appointment to deans.
- The committee reviewed current University policy as contained in the Handbook for The Board of Regents for the University of Oklahoma.

COMMITTEE DELIBERATIONS

The various colleges within the University of Oklahoma differ greatly in their missions, size and organization. Some large colleges, such as Arts and Sciences, are divided into many separate academic units with numerous chairs/directors that are delegated by the dean many of the responsibilities identified in our proposed policy statement. Other colleges such as the Graduate College, College of Continuing Education and College of Liberal Studies, do not have faculty that are budgeted within the college and rely on faculty budgeted within other colleges for the accomplishment of their mission. Some colleges, such as College of Law, College of Business Administration, and College of Architecture, only have one Committee A, while larger colleges with many separate units, such as College of Arts and Sciences or College of Fine Arts, have many departmental Committee A's and no college wide Committee A.

Our committee also found, as might be expected in a University setting, that individual deans have many different managerial and leadership styles.

For these reasons, an overriding principle that has been followed in the development of the committee's Final Draft on the Role of Norman Campus Deans is to recommend a flexible policy that not only respects the different missions and organization of the various colleges of the University, but allows for deans to use whatever successful management techniques and leadership style that accomplish the goals of the college and University.

Another goal of the committee in drafting the policy statement was to recognize the many constituencies to whom a dean is accountable and potential conflicts that may arise from the different points of view held by the different constituencies. On one hand, a dean's immediate supervisor is the Senior Vice-President and Provost. On the other hand, a dean must represent the interests of the college involved and its faculty, staff, students, and graduates. Bringing these diverse constituencies together as a team to reach the goals and objectives of the college and University is one of the more demanding responsibilities in higher education.

The committee recognizes that our proposed policy statement is quite a bit lengthier than the current statement found in the 1988 Faculty Handbook at Section 2.8.1. We also acknowledge comments that were received on an earlier preliminary draft that the only necessary policy was a short concise statement that the dean should promote the college and do what the President and Provost want done. However, after reviewing documents from our peer institutions, and spending a great amount of time discussing the issues that were before the committee, it was determined that a policy statement that was as specific as possible while recognizing the various differences between the college should be recommended.

Being more specific about the responsibilities of the dean within the University organizational structure has its benefits. For example, the current policy statement does not mention the role of deans in the development and fund raising aspects of the University and college. Over the past decade or more, this specific responsibility of deans has grown tremendously. In fact in many colleges, fund raising has become the most important job responsibility for the dean. The committee's proposed policy statement recognizes that the dean has this important specific responsibility to the University (2.8.1(D)(1)(C)), to the college (2.8.1(D)(2)(B)), and to appropriate external constituencies (2.8.1(D)(4)).

In determining which specific responsibilities to place within the policy statement, the committee drafted general statements that allow for maximum flexibility. The committee does not intend that a dean's responsibilities be limited to the listed specific items. We recognize that twenty years from today there will be additional responsibilities for deans to undertake within the University of Oklahoma. This policy statement was drafted to allow for this dynamic and evolving role for deans within the University and college structure.

An area that the committee was charged to review that we discussed at length is the appointment, retention and evaluation of deans. We found the current policies to not be as specific as we determined they should be and have proposed more specific statements. We are recommending that a college dean be appointed for a specific term as negotiated by the Senior Vice-President and Provost (2.8.1(F)) and that a more extensive performance evaluation occur on an annual basis. In addition, we are recommending that a comprehensive performance evaluation occur at least every five years. Each college, in cooperation with the Senior Vice-President and Provost, will be asked to develop written procedures and criteria for the annual and comprehensive evaluations of their college dean (2.8.1(I)). Of course, the University should respect all current appointments of deans and, although their performance would be evaluated according to the policies in this statement, it is not contemplated there would be any change in a current dean's appointment.

The committee was asked to look at the selection procedure for a new dean. After reviewing the current policy statements, it was determined that the actual selection procedure should be specifically stated in Section 2.8.1(H) and should be removed from Section 2.7.4 of the current policy statement. Section 2.7.4 should only refer an interested reader to Section 2.8.1(H) for the location of the specific procedure for the selection of a new dean.

The committee drafted Section 2.8.1(H) to be specific and unambiguous concerning the minimum membership required for a dean search committee. The committee also determined that it was imperative that the University not change our current policy requiring a majority of the members of a dean search committee be from the general faculty of the college involved in a dean search.

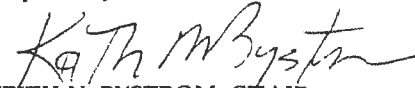
An important recommendation of our final report is that each college faculty and administration shall develop written policies and procedures to provide governance within the college. The committee was of the opinion that developing a list of these important governance documents was important and needed to be listed within one place in the policies of the University. Such a listing will insure that deans, as well as the their faculty, students and staff are aware of the importance of these governance documents and could locate them whenever necessary. All of these documents are subject to review and approval of the Senior Vice-President and Provost and should be regularly reviewed by the college administration and faculty. Many colleges already have developed most of the policies enumerated in Section 2.8.1(B). Some of these governance documents, such as procedures and criteria for evaluation of the dean and chairs/directors, have not been developed since they will only be required upon adoption of this policy statement. However, it is contemplated that after adoption of this policy statement there will need to be an effort by the Senior Vice-President and Provost and the various colleges to review their governance documents, insure that they comply with current University and college policies, and develop any of the specific policies that are listed in Section 2.8.1(B) that currently do not exist within a particular college.

RECOMMENDATION

The Ad Hoc Committee on the Role of Norman Campus Deans has worked diligently for the past seven months to review, evaluate, and develop the attached policy statement concerning the role of deans on the Norman Campus of the University of Oklahoma. We, therefore, submit to James F. Kimpel, Senior Vice-President and Provost, the attached Final Draft of a Policy Statement Concerning the Role of Deans on the Norman Campus with our recommendation that it be adopted by the University of Oklahoma.

The committee will be available to discuss our proposal with any groups in the University who may have questions, comments, or suggestions about our recommendation.

Respectfully submitted,



KEITH N. BYSTROM, CHAIR
Ad Hoc Committee to Study the Role of Deans

Professor Fran Ayres, Business Administration
Professor Carol Beesley, Fine Arts
Professor Luis Cortest, Modern Languages
Professor Connie Dillon, Educational Leadership
and Policy Studies
Professor Davis Egle, Aerospace and Mechanical
Engineering
Professor Gus Friedrich, Provost's Office
Dean David Young, Arts and Sciences

October 14, 1994

10-14-94

ATTACHMENT A

FINAL DRAFT

POLICY STATEMENT CONCERNING THE ROLE OF NORMAN CAMPUS DEANS

2.8.1 COLLEGE ADMINISTRATION

2.8.1(A) COLLEGE ORGANIZATION

To accomplish its academic mission, the University is divided into colleges with a dean as the chief administrative officer. The dean is responsible for an administrative organization designed to meet the particular needs of the college. Assisting the college deans in the responsibilities of their offices will be such staff, including associate deans and assistant deans, as are necessary to fulfill the mission of the college. The programs and faculty of a college are usually divided into separate units such as schools, departments, or divisions. The purpose of these units is to provide groupings for faculty associated with one or more related academic programs and disciplines. This should lead to more active participation by the faculty in carrying out the work of the college. When a college is divided into separate units, the dean shares (or delegates) many of the specific responsibilities outlined in this policy statement with the chairs/directors of the separate units. In colleges not divided into separate units, the college organization is similar to departmental organization as described in Section 2.8.2. Some colleges, particularly Graduate College, College of Continuing Education, College of Liberal Studies and University Libraries, are organized differently due to their unique mission within the University. Some of the responsibilities outlined in this policy statement will not be applicable to all colleges because of various differences among the colleges.

2.8.1(B) COLLEGE GOVERNANCE DOCUMENTS

College faculty and administrators shall develop written policies and procedures to provide governance for the college. These governance documents shall be subject to review and approval of the Senior Vice President and Provost and must be consistent with current policies of the University Regents, President, and Senior Vice President and Provost. The college governance documents shall be regularly reviewed by the college administration and faculty to insure that they comply with current University and college policies. The college governance documents shall address at least the following subjects:

- (1) The mission of the college and any of its separate units;
- (2) Administrative organization of the college;
- (3) Faculty governance within the college, including college committee structure and rules and procedures for faculty meetings;
- (4) Procedures and criteria for hiring faculty, staff and administrators;
- (5) Procedures and criteria for annual faculty evaluation;
- (6) Procedures and criteria for promotion and tenure;
- (7) Procedures and criteria for evaluation of the dean and chairs/directors;
- (8) Other policies defining the operation, authority and policies of any separate units within the college.

2.8.1(C) GENERAL RESPONSIBILITIES OF THE DEAN

The dean provides leadership and administrative support to the programs and faculty of the college in performing the missions of teaching, research\creative activity, and service. The dean represents the college in relations with the University Regents, the President, the Senior Vice President and Provost, other colleges, and other administrative officers of the University. The dean is responsible to the President through the Senior Vice President and Provost and is accountable to many constituencies including the faculty, staff, students, administrators, and graduates of the college. Whenever appropriate, the dean is expected to consult with, receive advice from, and communicate to the constituent members of the college concerning decisions and recommendations of importance to the college.

2.8.1(D) SPECIFIC RESPONSIBILITIES OF THE DEAN

The following is a non-exhaustive listing of examples describing specific responsibilities of the dean. From time to time the Senior Vice President and Provost or the faculty of the college may suggest additional specific responsibilities. In any particular college, the specific responsibilities of the dean may vary depending on the mission, organization and size of the college. The specific responsibilities of an individual dean in a particular college must be flexible to respect these differences between various colleges and the leadership style of a particular dean.

(1) TO THE UNIVERSITY AT LARGE, THE DEAN IS RESPONSIBLE FOR:

- (a) Representing the college whenever appropriate.
- (b) Implementing and disseminating information to college faculty and staff about all policies of the University.
- (c) Participating in the Dean's Council by advising the Senior Vice President and Provost concerning strategic planning, budgeting needs, University policy changes, fund raising activities, matters of mutual interest, and other priorities of the University.
- (d) Assisting the President and the Senior Vice President and Provost in the selection of deans and other University administrative officers.
- (e) Providing an annual report to the President and other constituencies concerning the performance of the dean's college.
- (f) Cooperating with other colleges in the development of interdisciplinary programs consistent with University goals and objectives.
- (g) Contributing to a general spirit of University cooperation and collegiality.

(2) TO THE COLLEGE, THE DEAN IS RESPONSIBLE FOR:

- (a) Providing leadership in the organization, operations, development, and evaluation of the instructional, research/creative activity and service programs appropriate to the college and consistent with University and college strategic planning.
- (b) Setting priorities for college level alumni development and fund raising activities, and assisting the college and its separate units with implementing and maintaining an active alumni development and fund raising program.
- (c) Planning, preparing, submitting, and managing the college budget.

- (d) Fostering the welfare of the entire college faculty and staff and encouraging, facilitating and mentoring their work and professional development.
- (e) Recommending the appointment, promotion and tenure of faculty according to University and college guidelines (see Sections 3.5, 3.7 and 3.11).
- (f) Implementing personnel policies concerning faculty and staff of the college.
- (g) Providing leadership to the faculty in reviewing, evaluating and developing appropriate curricula and effective academic programs of study within the college.
- (h) Seeking advice from faculty, chairs/directors, and staff on matters affecting the college.
- (i) When it is in the best interest of a college to effect a reorganization among its units in order to respond to new circumstances or to strengthen existing programs, consulting with and informing the college faculty and staff before recommending approval of a recommendation.
- (j) Presiding over meetings of the college faculty.
- (k) Assuring that faculty and staff have access to University, college, and departmental policies.
- (l) Evaluating the performance of unit chairs/directors and other administrative staff reporting to the dean according to University and college policies. (See Section 2.8.2(e) and (h)).
- (m) Initiating procedures to search for chairs/directors and other administrative staff of the college whenever a vacancy occurs. (See Section 2.8.2(f)).
- (n) Evaluating the facility needs of the college and periodically advising the Senior Vice President and Provost of these facility needs.
- (o) Implementing the University Affirmative Action Plan and insuring equal opportunity for all faculty, staff, and students in and applicants to the college.

(p) Developing strategies to recognize outstanding achievements by faculty and staff through appropriate awards and honors.

(q) Fostering a spirit of cooperation and teamwork within the college.

(3) TO THE STUDENTS IN THE COLLEGE, THE DEAN IS RESPONSIBLE FOR:

(a) Providing an academic environment that nurtures all students to succeed to the best of their abilities through counseling, professional advice and other assistance when necessary.

(b) Providing an academic advising system that informs students of all academic requirements of the college and their progress toward meeting those requirements.

(c) Seeking advice from students on matters affecting the college.

(d) Implementing University and college procedures to insure an ethical and equitable academic atmosphere by enforcing policies involving such issues as academic misconduct, academic grade appeals, and ethics in research.

(e) Developing strategies to recognize outstanding achievement by students through appropriate awards and honors.

(f) Enforcing admission and graduation requirements of the college.

(g) On behalf of the faculty, recommending an appropriate degree for students who have met the requirements as determined by University and college regulations.

(4) TO EXTERNAL CONSTITUENCIES, THE DEAN IS RESPONSIBLE FOR:

(a) Cooperating with and providing college related leadership to University units that support the alumni development, fund raising, government relations, and public relations efforts of the University.

(b) Communicating with graduates and other appropriate external constituencies concerning matters of interest to the college.

(c) Seeking advice from graduates and other appropriate external constituencies on matters affecting the college.

(d) Cooperating with the University in disseminating information about the college to the state regents, the legislature, and government entities.

2.8.1(E) FACULTY RESPONSIBILITY OF A DEAN

In addition to the administrative responsibilities described above, the dean may be involved in teaching, research/creative activity, and service. The extent of involvement in teaching, research/creative activity, and service should be determined by the dean in consultation with the Senior Vice President and Provost. While the dean is normally granted tenure within an academic unit of the college, the dean does not vote at faculty meetings of the unit.

2.8.1(F) APPOINTMENT OF A DEAN

The dean is normally appointed on a twelve (12) month basis. The dean of a college shall be initially appointed to a specific term as negotiated by the Senior Vice President and Provost, thereafter renewable by the University Regents upon the recommendation of the President.

2.8.1(G) RETENTION OF A DEAN

The dean of a college serves at the pleasure of the President upon the recommendation of the Senior Vice President and Provost and is entitled to twelve months notice of the termination or non-renewal of appointment unless good cause exists. Where termination is for good cause, it may be immediate and without prior notice. Retention or non-retention of a dean is recommended by the Senior Vice President and Provost after completion of the comprehensive evaluation process under Section 2.8.1(I)(2).

2.8.1(H) SELECTION PROCEDURE FOR A NEW DEAN

The dean of a college is nominated to the University Regents by the President after considering the recommendation of the Senior Vice President and Provost, who is assisted by an administrative search committee. (See Section 2.7.4 Administrative Search Committees.) The following procedures shall apply:

(1) Prior to initiating search and nomination procedures for a college dean, the Senior Vice President and Provost should seek input from appropriate representatives of the college (for example faculty, chairs/directors, and college executive committees) on the needs and expectations of the college as they relate to the appointment of a new dean, the role of the dean, and any budgetary considerations related to the search and appointment of a new dean.

(2) Normally the search for a dean is external. If an internal search is requested by the college, a formal request must be approved by the Senior Vice President and Provost and the Affirmative Action Office as required by the policy on internal searches. When an internal search is requested by the Senior Vice President and Provost, it must be approved by the President and the Affirmative Action Office.

(3) Whether the search is external or internal, a search committee will be formed by the President with members representing faculty, students, staff, deans and, alumni/friends from outside the University.

(4) At a minimum, eleven members shall be appointed in the following manner to represent the various constituencies to whom the dean will be accountable.

(a) From the University, one position filled from the University faculty at large from nominations made by the Faculty Senate and one position shall be a current dean from another college nominated by the Senior Vice President and Provost.

(b) From the college involved, one position filled from staff of the college from nominations made by staff of the college, one position filled from students in the college involved from nominations made by students in the college, and six positions from the faculty of the particular college. These positions shall be nominated or elected by the represented group according to procedures approved in the college governance documents.

(c) One position from outside the University (such as graduates of the involved college or professionals in an appropriate field) nominated by the President.

(d) A majority of the members of the search committee will be chosen from the faculty of the college involved. When additional positions are filled from staff, students, faculty from other colleges, or individuals outside the University, additional faculty from the involved college shall be selected. In all cases, there shall be at least twice as many nominees as there are positions.

(e) The President shall make all appointments and shall designate the chair of the search committee who normally will be a dean from another college within the University.

(5) All members of the search committee shall be full voting members.

(6) The search committee will review applications and recommend to the Senior Vice President and Provost the candidates for on-campus visits.

(7) The on-campus visits by candidates shall provide an opportunity for as many constituencies as possible to meet with the candidate including the President, the Senior Vice President and Provost, faculty, chairs/directors, staff, students, other administrative officers, graduates of the college, and deans from other colleges.

(8) After the campus visits, the search committee, with input from the constituencies who met with the candidates, will make recommendations about the acceptable candidates in a meeting with the Senior Vice President and Provost.

(9) The Senior Vice President and Provost will then make a decision and forward a recommendation to the President.

(10) The President will make a decision and forward a recommendation to the University Regents.

(11) Before making a final decision, the University Regents may request a meeting with the Search Committee to review all potential candidates.

2.8.1(I) PERFORMANCE EVALUATION OF A DEAN

Evaluation of the dean's performance is carried out by the Senior Vice President and Provost. It includes but is not limited to confidential evaluation by the faculty of the college. The faculty's assessment of the performance of their dean is carried out at regular intervals, as described below. The primary purpose of an evaluation is to provide constructive information toward how well job expectations are being met by the dean. The information will be made available to the dean, as well as to the University officers to whom the dean is responsible. A summary of the performance evaluation of the dean shall be made available to the committee in the college that provided input to the Senior Vice President and Provost as provided in this section and the college governance documents.

(1) ANNUAL EVALUATION

An annual performance evaluation will be conducted of all deans by the Senior Vice President and Provost. The annual evaluation shall include:

- ◀ A self assessment by the dean.
- ◀ Confidential evaluation by the faculty of the college conducted by the Senior Vice President and Provost.
- ◀ A report to the Senior Vice President and Provost from the college faculty and staff concerning the performance of the dean using the procedures and criteria adopted by the college.
- ◀ A formal consultation between the dean and the Senior Vice President and Provost.

(2) COMPREHENSIVE EVALUATION

A comprehensive performance evaluation of the dean will occur at least every five years and shall be completed at least 12 months prior to the conclusion of a dean's appointed term. In addition to a compilation of the dean's annual evaluations, the comprehensive evaluation shall include input from the faculty, chairs/directors, staff, students of the college and other deans and administrative officers of the University. In planning the comprehensive evaluation, the Senior Vice President and Provost will respect differences among the various colleges. The comprehensive evaluation may include an external evaluation.

(3) EVALUATION PROCEDURES AND CRITERIA

The faculty of each college in cooperation with the Senior Vice President and Provost shall develop written procedures and criteria for the annual and comprehensive evaluation of the college dean. Evaluation procedures should provide the opportunity for input into the evaluation from the faculty, chairs/directors, staff, students, and appropriate external constituencies of the college.

2.8.1(J) VACANCY

Whenever a vacancy occurs in the office of a College Dean, the Senior Vice President and Provost shall appoint an interim or acting dean of the college until a permanent dean assumes responsibility for the college. Prior to the appointment, the Senior Vice President and Provost shall seek input from representatives of the faculty, chairs/directors and staff of the college involved to obtain advice on an appropriate candidate for the interim or acting dean. (For effect of interim appointment on the Selection procedure for a new dean, see Section 2.3.11.)

2.8.1(K) RESOLUTION OF A FACULTY GRIEVANCE CONCERNING THE DEAN

Faculty complaints about the dean will normally be resolved internally through meetings between the dean and faculty representatives. If dissatisfaction is widespread and the college is unable to resolve it, the college faculty, by a majority vote, may request that the Senior Vice President and Provost appoint a five member *ad hoc* Committee, consisting of three faculty members who do not hold appointments in the involved college, a dean, and another University officer, to conduct an investigation and report their findings to the Senior Vice President and Provost. After receiving the committee report, the Senior Vice President and Provost will determine an appropriate course of action to resolve the grievances.

2.7.4 ADMINISTRATIVE SEARCH COMMITTEES

The selection of the president and other administrators is the responsibility of the Board of Regents, and any process leading to that selection is the prerogative of the particular Board in office at the time the selection process is to be initiated. It is suggested that administrative search committees make nominations and recommendations concerning candidates and that the President of the University and the Board of Regents be guided by them in most instances, but it is understood that the President and the Board of Regents shall not be bound by nor limited to nominations and recommendations of administrative search committees. The Faculty Senate shall be informed of all faculty nominations before the committee is finally constituted. (For effect of interim appointments on the searches, see Section 2.3.11.) The spirit and letter of all applicable affirmative action regulations shall be followed.

Administrative Search Committees include those for:

- ...
- (d) Deans

The committee shall have faculty, student, and staff representation and follow the procedure as described in Section 2.8.1 (H) Selection Procedure for a New Dean.

COLLEGE AND DEPARTMENTAL ORGANIZATION

COLLEGE ADMINISTRATION

The dean is the administrative officer of a college, providing leadership and administrative support to the programs and faculty of the colleges in performing their missions of teaching, research and service. He or she represents the college in relations with other colleges and administrative officers of the University. The dean of a college is nominated to the University Regents by the President after considering the recommendation of the Provost, who is assisted by an administrative search committee. A majority of the members of the search committee will be chosen from the faculty. Continuation of appointment of deans is recommended by the Provost, who consults with appropriate administrators, faculty, and students in evaluating the performance of deans. (For effect of interim appointment on the Search, see Section 2.3.11.)

(a) **Administrative Duties.** The dean is responsible for carrying out the policies of the University and for executing such roles as the faculty of his or her college may from time to time adopt. He or she is responsible for the preparation and submission of the budget for the college and for its implementation when approved. The dean makes recommendations through the Provost to the President for the appointment, promotion, tenure, dismissal, retirement and other personnel policies pertaining to faculty members in the college and shall take into consideration approved guidelines. These recommendations shall be based on consultation with and the advice of the units affected.

(b) **Leadership Function.** The dean has an obligation to foster the welfare of the entire college faculty and staff and to encourage and facilitate their work and professional development. He or she assures that faculty members understand university, college, and departmental policies.

The dean is responsible for the review and evaluation of the academic programs within the college. He or she is expected to provide guidance to the faculty in developing appropriate and effective programs of study.

(c) **Organization.** The dean is responsible for the administrative organization of the college. The programs and faculty of a college are usually divided into separate units, with the terminology, such as department, to be recommended by that college and approved by the Provost, President, and as appropriate, the University Regents. The purpose of these units is to provide groupings for faculty associated with one or more related academic programs and disciplines. This should lead to more active participation by the faculty in carrying out the work of the college.

At times it is in the best interest of a college to effect a reorganization among its units in order to respond to new circumstances or to strengthen existing programs. Before recommending approval of such a recommendation, the dean will fully inform and consult with the faculty of the units affected.

(d) **Evaluation.** Evaluation of the dean's performance is carried out by those University officers to whom the dean is responsible. It includes but is not limited to confidential evaluation by the faculty of the college. The faculty's assessment of the performance of their dean(s) is carried out at regular intervals, as provided by Faculty Senate action as approved by the President. The primary purpose of all evaluation is to provide constructive information toward improved performance of the dean; hence, the information will be made available to the dean, as well as to the University officers to whom the dean is responsible.

2.8

2.8.1

ADMINISTRATIVE SEARCH COMMITTEES

2.7.4

The selection of the president and other administrators is the responsibility of the Board of Regents, and any process leading to that selection is the prerogative of the particular Board in office at the time the selection process is to be initiated. It is suggested that administrative search committees make nominations and recommendations concerning candidates and that the President of the University and the Board of Regents be guided by them in most instances, but it is understood that the President and the Board of Regents shall not be bound by nor limited to nominations and recommendations of administrative search committees. The Faculty Senate shall be informed of all faculty nominations before the committee is finally constituted. (For effect of interim appointments on the searches, see Section 2.3.11.) The spirit and letter of all applicable affirmative action regulations shall be followed.

Administrative Search Committees include those for:

(a) President of the University

It is recommended that the presidential search committee have representation by the faculty from the Norman Campus, the Health Sciences Center, student(s), and staff. The Board of Regents would appoint these members from nominees selected by the following organizations: faculty members by the appropriate Faculty Senate; student member(s) by the University of Oklahoma Student Association or the Health Sciences Center Student Association; and staff member(s) by the Employee Executive Council or the Employee Liaison Council. Faculty members shall constitute a majority. There shall be twice as many nominees as there are positions. The Board of Regents shall designate other members as deemed appropriate.

(b) Provosts and Academic Vice Provosts

The committee shall have faculty, student, and staff representation. The President of the University shall appoint these members from nominees selected by the following organizations: faculty members, by the appropriate Faculty Senate; student member(s), by The University of Oklahoma Student Association or the Health Sciences Center Student Association; and staff member(s), by the Employee Executive Council or the Employee Liaison Council. Faculty members shall constitute a majority. There shall be twice as many nominees as there are positions. The President of the University can designate other members as deemed appropriate.

(c) Vice Presidents and Non-Academic Vice Provosts

The committee shall have faculty, student, and staff representation. The same procedure for selecting committee members as outlined in paragraph (b) will be

followed. Because the degree of faculty and staff participation should vary in accordance with the duties of the administrative official being sought, faculty need not constitute the majority of a committee composed to search for an administrative official whose duties are primarily non-academic.

(d) Deans

The committee shall have faculty, student, and staff representation. The procedure for selecting student and staff representation shall be as outlined in paragraph (b). Upon requesting nominations by faculty members, the President of the University shall designate the number of positions to be filled from the general faculty of the particular college or unit involved, and from the University faculty at large. The former shall constitute a majority of committee positions and shall be nominated by the general faculty of the college or unit involved. There shall be at least one position filled from the University faculty at large from nominations made by the Faculty Senate. In all cases, there shall be twice as many nominees as there are positions. The President of the University shall make all appointments.