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I am submitting herewith a dissertation written by Marisa Ann Galick Moazen entitled "The Role of Faculty in Institutional Decision Making." I have examined the final electronic copy of this dissertation for form and content and recommend that it be accepted in partial fulfillment of the requirements for the degree of Doctor of Philosophy, with a major in Higher Education Administration.

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The Role of Faculty in Institutional Decision Making

A Dissertation Presented for
the Doctor of Philosophy
Degree
The University of Tennessee, Knoxville

Marisa Ann Galick Moazen
December 2012

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Dedication

Dedicated to my family for all their support throughout this process: my parents, my husband, and Abby.

Acknowledgements

I would like to take a moment and say thank you to everyone who helped me through this long journey. My background in business made some parts of the process difficult, including the change to APA style and learning to write more than a bullet point presentation. To my advisor, Dr. E. Grady Bogue, for his guidance and understanding, who helped fine tune the idea, read multiple drafts, and provided invaluable insight. To my committee for understanding life events can inhibit even the most focused student. To my husband, Dr. Brian Moazen, for reading numerous drafts over the past few years and only complaining minimally throughout the process. To my colleagues for listening to and answering multiple questions on statistical procedures – Dr. Craig Layman, Dr. Erin Burr, and Mr. Sam Held. To my parents for being available at all times in order for me to focus on my school work. To the wonderful staff of the UT Research Support Group for giving me the confidence I had prepared my statistical analysis accurately. And finally thank you to all those unnamed who supported me throughout this process. I am excited after many years to resume my interest and research in genealogy which I put on hold since beginning this journey.

Abstract

Faculty participation in the governance of institutions of higher education is a critical element in the founding structure for American universities. This expectation and willingness to participate has been affected by contemporary factors such as accountability, shifting priorities among teaching, service, and research, corporatization, and retrenchment. Comparing faculty perceptions between Dykes' 1968 landmark study and faculty today is important for determining if there has been a change in faculty's view of their role. The purpose of this study was to explore faculty perceptions of their ideal and actual governance role within higher education and their satisfaction in those roles. The findings of this study of faculty's ideal role in decisions were in line with those found in Dykes' study. Across all five areas of faculty role in decision making, the ideal involvement scores were significantly higher than the actual involvement scores with retrenchment decisions having the largest discrepancy. Based on the findings of this study, it is reasonable to conclude that the desire for faculty to take an active role in institutional governance is present. The barriers to participation continue to be strong and include most prominently an increasing focus on research and the corporatization of higher education.

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Chapter 1

Introduction

Background and Context

Governance within higher education can be defined as the formal process of decision making and authority within an institution. Many individuals influence institutional decision making regardless of whether they are inside or outside the walls of the institution. External voices such as lay boards of governance, state education commissions, and government entities can have a direct effect on higher education policy but do not have a daily role in the governance of the institution. Internally, administrators, faculty, and students comprise the three pillars of a higher education institution, each with its own respective roles in the decision making process. While the governance roles and purposes of the administration as well as the student body are well defined, the role of the faculty in higher education has a long and contentious history.

Since the founding of higher education in America, the role of faculty in institutional governance has been in a constant state of flux. The structure of American higher education was not based on the English model, but rather the Scottish model. While the English model gives faculty the majority of the governance responsibility, in the Scottish model a lay board is responsible for college governance. The lay board remained the guiding force in American higher education until the late 19th century, when the president and administration gained more power. There were many reasons for the decline in board influence - including the growth in campus complexity, the professionalization of the faculty, and increased state influence (Carnegie Commission on Higher Education, 1973). The role of faculty as compared to the institution's president had been diminished since the founding of American higher education. The college presidency existed at least 20 years, and in some cases 85 years, before the first full-time faculty member was hired (Thelin, 2004). Throughout the 20th century, the power balance

on campuses shifted between the administration and the faculty. After World War II, the influence of the faculty increased tremendously as a result of increased enrollment and thus higher demand. After the enrollment surge ended in the late 1960's, the balance of power returned to the administration. At this time the AAUP introduced a model for shared governance outlining suggested roles for administration, faculty, governing boards, and students (American Association of University Professors, 1966). The AAUP statement is the only widely accepted model for faculty role in shared governance and provides a lens for examining the involvement of faculty in institutional governance.

Despite the adoption of the AAUP statement, historical conflict among faculty and administrators with regards to a model of governance has been well discussed in the literature (Dykes, 1968; Floyd, 1985; Matorana & Kuhns, 1975; Millett, 1969; Riley & Baldrige, 1977; Schuster & Finkelstein, 2006; and Schuster et al., 1994). These studies show conflicting evidence of the satisfaction of faculty with their role in institutional governance and a deficiency of information on the expectations of faculty regarding their role. In addition, these publications included commentary that the role of faculty in institutional governance may be changing as a result of the changing face of higher education; more specifically, the move towards bureaucratization (Millett, 1969).

More recently, there has been a ferment concerning the appropriate governance role of faculty and administrators. As evidenced in current literature, this disturbance can be attributed to several contemporary factors: corporatization of higher education, retrenchment, accountability, and the intensified research focus of faculty and institutions (Ashar and Shapiro, 1990; Boyer Commission, 1998; Eckel, 2006; Eckel, 2000; Gates, 1997; Gumport, 1993; Kerlin and Dunlap, 1993; Lenington, 1996; Massy and Zemsky, 1994; Slaughter, 1993; Wilson, 1999).

These factors are aggravating pressure for better defined governance roles. The corporatization of higher education is accompanied by concerns which add institutional complexity to both the overall governance and day-to-day operations of a university (Kezar and Eckel 2004).

Corporatization leads to decisions being made for purely economical reasons and not necessarily in accordance with the mission of higher education. An accent is placed on using the forces of the market, with students as consumers and presidents as CEOs. According to the 2012 AAUP Report on the Economic Status of the Profession, the median ratio of salaries of presidents' to average full professors is 3.72 at doctoral level institutions (AAUP, 2012) or a median salary of \$390,321. This figure is aligned more with the salaries of corporate CEOs than academic administrators. The reorganization or reductions such as programmatic cuts, departmental cuts, or faculty cuts, in times of financial crises can be defined as retrenchment. In a document review of AAUP cases dealing with retrenchment, Slaughter (1993) found university leaders responded to retrenchment in a similar manner as corporate CEOs: by focusing on lucrative areas/divisions and reorganizing, and leaving faculty out of the process. The influence of accountability had led to institutional pressures for faculty to produce high-performing students while still fulfilling their responsibilities of research and service to the institution. This pressure is also equally exerted on administrators who create policies in order to meet accountability requirements. Finally, the concern over the use of part-time, or contingent faculty has led to the perception that full-time faculty spend less time with their students and more time on other lucrative concerns such as their research (Boyer Commission, 1998; Gappa and Leslie, 1993; Huber, 1992; Massy and Zemsky, 1994; Wilson, 1999).

In addition to the concerns over the contemporary factors exerting influence on the change in governance, faculty already serve in a unique dual capacity to their institution which

can also cause confusion when examining their role, especially in governance. On one hand faculty are members of their profession, and on the other they are employees of an institution. As members of the profession they are entrusted with the core mission of higher education, yet as employees they are treated as subordinates to administrators. This dual role causes conflict when the expectations for faculty involvement are not in agreement with the administration's plan. As a corporate model of institutional control is implemented, faculty are treated increasingly more like employees causing greater question as to their governance role.

Due to the lack of literature on the expectations of faculty roles in institutional governance and the shifts in higher education governance since the earlier studies, further research is warranted to shed light on the expectations and satisfaction of faculty governance roles.

Statement of the Problem

Given the evolution of shared governance, the explication of contemporary factors that can affect governance, and the lack of current literature on faculty participation and satisfaction with shared governance, a contemporary investigation into what perceptions faculty have of their governance role is needed. In the available literature, there is conflicting evidence on the participation level of faculty in governance activities and in addition there have been few empirical studies on faculty role in recent years to provide credence to the debate. There is a perceptual difference in what faculty think their role is and the actuality of their role (Dykes, 1968; Sheridan, 1995).

A 1968 single institution study by Dykes found faculty had a desire (while at the same time a reluctance) to participate in governance and a predisposition for traditional governance structures, such as the faculty senate model (Dykes, 1968). While the Dykes

study can be considered a landmark study, it was limited to a subset of faculty within a single institution. Later studies have been either narrow in focus (limited to one institution or institutional type) or conflicting in their results (faculty perceptions on their ability to participate in governance decisions and their influence in those decisions were contradicting) (Abbas, 1986; Dykes, 1968; Reiten, 1992; Schuster & Finkelstein, 2006; Sheridan, 1995; Sission, 1997; Tierney & Minor, 2003; vanBolden, 1983).

The problem is we have no contemporary studies on faculty perceptions of their role amidst the contemporary factors of retrenchment, research expectations, corporatization, and accountability. Therefore, an updated study of faculty role in shared governance is needed. The purpose of this study was to explore faculty perceptions of their ideal and actual governance role within higher education and their satisfaction in those roles.

Purpose of the Study

The purpose of this study was to explore faculty perceptions of their ideal and actual governance role within higher education and their satisfaction in those roles.

Research Questions

The research questions that guided this study were:

Question 1: Do faculty differ today in satisfaction with their role in decision making and their motivation to participate from previous Dykes' study?

Question 2: Is there a difference between the perceived ideal and actual role of faculty according to their age, gender, discipline, number of years teaching at the institution, and professorial rank?

Question 3: Is there evidence of a change in the perceptions of faculty regarding their role in institutional decision making, specifically compared to the 1968 study of faculty role by Dykes?

Theoretical Framework

The American Association of University Professors *Statement on Government of Colleges and Universities* is a widely endorsed model for administration, faculty, governing boards, and students roles in shared governance and suggests appropriate decision roles for each group (American Association of University Professors, 1966). The Statement provides suggestions on which group should have the dominant role within each decision, which parties should have shared authority on decisions, and which group should have the final say within each decision.

The American Association of University Professors (AAUP) along with the Association of Governing Boards of Universities and Colleges (AGBUC) and the American Council on Education (ACE) issued the statement for the governance of colleges and universities in 1966. Calling for shared responsibility and cooperation among administrators, governing boards, faculty, and students, the AAUP, AGBUC, and ACE statement suggested a joint effort between these constituencies for working together. Although this statement was not meant as a “blueprint” for governance, it did outline suggestions for a shared governance model for higher education institutions and remains the foundation of the AAUP stance on governance in higher education, including faculty role (American Association of University Professors, 1966).

The Statement is divided into five sections including sections on joint efforts, the governing board, the president, and the faculty. Those roles and responsibilities outlined in the AAUP Statement that are intertwined are addressed in the joint efforts section. There are several

areas of institutional governance which are suggested to be jointly governed and are outlined in Table 1.1. As outlined by the Statement, the governing board plays the dominant role in insuring the continuity and stability of the institution and serves as the ultimate institutional authority. Some functions are reserved strictly for the governing board which includes speaking legally for the institution, succession planning, maintaining the institutional history, and being a champion for resources and policy.

Table 1.1 Joint Efforts as Outlined in AAUP Statement

	Board	Administration	Faculty
General Education Policy		All	
Major changes in size, composition of student body		All	
Emphasis of educational and research programs		All	
Long-range plans		All	
Decisions on existing or prospective physical resources		All	
Budgeting		All	
Promotion, Tenure and Dismissals		All	
Allocation of resources among competing demands	Central	Administrative Authority	Education Function
Presidential Selection	Cooperative	none	Cooperative
Selection of Academic Deans	none	Primary	Secondary

The office of President, referred to collectively as the president and administration, plays the dominant role in the day-to-day operation of the institution. The president is expected to tackle challenges, to be creative, take initiative, and problem solve in order to keep the institution moving forward. The Statement delegates general management functions to the president.

The faculty plays the dominant role in policies and practices related to the teaching and research at the institution. According to the Statement, their responsibility includes developing

the curriculum and procedures for student instruction. The Statement outlines faculty role in tenure, faculty appointments, and dismissals as having primary responsibility, but with approval from the president and the board. The Statement also suggests five communication mechanisms for faculty participation in governance. These are:

- (1) circulation of memoranda and reports by board committees, the administration, and faculty committees, (2) joint *ad hoc* committees, (3) standing liaison committees, (4) membership of faculty members on administrative bodies, and (5) membership of faculty members on governing boards. (American Association of University Professors, 1966, pg. 8)

Few elements as outlined in the AAUP Statement are within the sole purview of the faculty. The majority of the items require the final authorization of the board or its delegated approval.

Students are acknowledged as institutional constituents, but not players in the governance of the institution. Figure 1.1 illustrates the varying degrees each of the four groups has with regards to institutional decision making. The Governing Board has the greatest amount of suggested responsibility, followed by the Presidency, and then the Faculty. The Students are recognized in the Statement but only as peripheral participants.

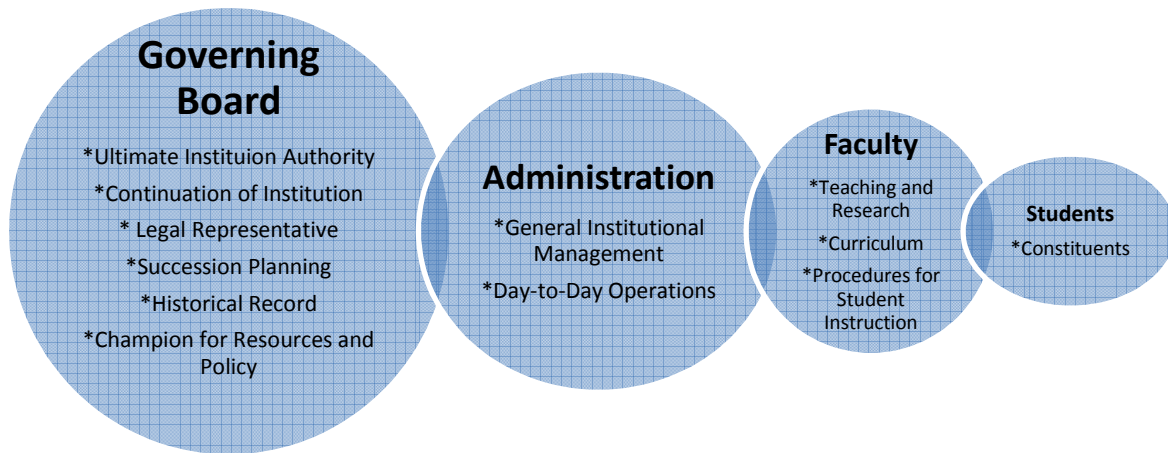


Figure 1.1 Illustration of Dominant Roles in AAUP Statement on Shared Governance

The AAUP Statement on Shared Governance informs this study by looking at the suggested involvement of faculty in institutional governance. Understanding the dimensions of involvement and comparing this to Dykes' (1968) study will allow for the measurement of change in faculty sentiment that may have occurred over the past forty years.

Significance of the Study

Schuster and Finkelstein (2006) provided a recent glimpse into the life of faculty in their publication entitled *The American Faculty*. Their analysis of 29 existing national surveys of faculty from 1969-1997 highlighted an increase of 10%, from 30% to 40%, in “more than average” faculty participation in campus governance (p.105). This study, however, provided only partial anecdotal explanations for this increase in participation and did not address such things as the overall decrease in full-time faculty or self-reporting errors. No study to date examines faculty perceptions and satisfactions across multiple institutions.

There are serious limitations in the scope and breadth of previous studies on the faculty role in decision-making. The information gained in this study will provide an increased

understanding of faculty role by looking at perceptions of faculty and the relation to their satisfaction in today's collegiate environment. In addition, information gathered on the possible changing role of faculty may prove insightful to the field of higher education.

Delimitation of the Study

This study does not include discussions on the vehicle and structure for faculty participation (senate, union, collective bargaining, etc...) but on the perceptions of ideal and actual faculty role in the decision making process. This study is delimited to full-time faculty only and does not involve part-time or adjunct faculty.

To determine the population for the study a list was generated of 283 universities categorized as High Research Activity, Very High Research Activity, and Research Level institutions using the Carnegie website (Carnegie Foundation, 2005). The list was further refined with the deletion of eight for-profit institutions and seven institutions with no undergraduate population. Of the remaining 268 institutions, 102 private not-for-profit institutions were eliminated from the population. The final population for this study was 166 four-year, public, regionally accredited research level institutions across the United States.

Limitations of the Study

Institutions selected for this study were randomly selected from public, research level colleges and universities across three regional accreditation agencies. For-profit and private institutions were omitted from the sample. Therefore, one should be cautious in applying the findings to groups and situations that may go beyond the range of this study. All faculty at the selected institutions were invited to participate. This may lead to self-selection bias among the responders if faculty participation is limited. Acquiescence bias is possible and issues may arise in the honesty of faculty responses. This study utilizes a quantitative survey instrument for the

majority of data collection in order to gather a wide range of perspectives on the topic rather than in-depth information. The questionnaire was reviewed by a panel of experts and pilot tested in an effort to reduce or minimize instrument error (i.e., wording, format, content).

Definitions

Academic Affairs – Decision area defined as determining degree requirements, curricula, student admission requirements, and academic standards.

Administration - A group of personnel at a single institution responsible for the management and operation of the institution.

Administrator – Full time employee of a college or university whose primary tasks involve the management and operation of a department, division, or the institution as a whole. Although an administrator may teach one or two classes, this is not their primary purpose of employment.

Alumni and Public Relations - Decision area responsible for communication to the public as well as interaction with past graduates.

Capital Improvements - Decision area responsible for determining buildings, other physical facilities, and grounds needs.

Content Validity – Subjective measure using experts in the field to provide opinion if an instrument will measure what it intends to measure.

External Validity – The extent to which the results of a study can be generalized beyond the sample.

Face Validity – Subjective measure asking a random group of observers if questions appear valid to them.

Faculty – Full-time, tenure or non-tenure track employee of a college or university whose primary work tasks are teaching, research and/or service.

Financial Affairs - Decision area defined as determining financial priorities and allocation of budgetary resources.

Governance – The formal process that defines decision making and authority relationship within an institution of higher education.

Institutional Decision Making – Will be operationally defined by the survey instrument.

Internal Validity – The extent to which the independent variable can accurately be stated to produce the observed effect.

Personnel Matters - Decision area defined as determining faculty appointments, promotions, dismissals, and the awarding of tenure.

Retrenchment – Reorganization or reductions in times of financial crises including, but not limited to, programmatic cuts, departmental cuts, faculty cuts, and rescission of benefits or tenure.

Shared Governance – The idea that decision making on a college or university campus is fully shared between the faculty, administration, and governing boards.

Student Affairs - Decision area defined as determining discipline, student government, recreation, and related matters.

Organization of the Study

This study is organized into five chapters. The first chapter gives an introduction to the study along with an overview of the study purpose and design. The second chapter contains an in-depth review of the literature and research into faculty role and governance in higher education, including the evolution of shared governance, the influence of contemporary factors, and faculty perspectives on participation and satisfaction in shared governance. The third chapter details the methods and procedures used in the conduct of the study. This includes the design,

site selection and population, procedures for data collection, data analysis, and the validity and reliability of the data. The fourth chapter presents the findings of the study. The fifth chapter provides a summary and discussion of the findings along with conclusions and recommendations for further research.

Chapter 2

Review of Literature

Faculty role in governance has been a central topic in higher education since the founding of the first American college at Harvard in 1636. The conflict among faculty, administrators, and governing boards is a derivative of the original design of higher education in America. Historical tensions among faculty and administrators with regards to preferred governance have been well discussed in the literature (Matorana & Kuhns, 1975; Millett, 1969; Riley & Baldrige, 1977; Schuster & Finkelstein, 2006; Schuster et al., 1994). These tensions include conflicting evidence of the satisfaction of faculty with their role in institutional governance, a deficiency of information on the expectations of faculty regarding their role, and the move towards bureaucratization affecting faculty role in governance.

The AAUP along with the Association of Governing Boards of Universities and Colleges (AGB) and the American Council on Education (ACE) issued a statement for the governance of colleges and universities in 1966. Calling for shared responsibility and cooperation among administrators, governing boards, faculty, and students, the AAUP, AGB, and ACE statement suggested a joint effort for working together between these constituencies. This statement outlines suggestions for a shared governance model for higher education institutions and remains the foundation of the AAUP stance on governance in higher education, including faculty role (American Association of University Professors, 1966).

Despite the clear direction for faculty role outlined in the AAUP Statement, the literature suggests a continuing growth in the dissatisfaction of faculty and administrators with the role of faculty in governance, suggesting the generally accepted model for faculty participation may no longer be applicable in today's higher education environment. The lack of a consensus has resulted in numerous studies into the role of faculty in institutional decision making (AAHE,

1967; Abbas, 1986; Demerath et al., 1967; Dykes, 1968; Joyal, 1956; Kaplan, 2004; Miller, 1996; Reiten, 1992; Schuster & Finkelstein, 2006; Sheridan, 1995; Tierney & Minor, 2003; vanBolden, 1983). A summary of the most recent studies can be found in Table 2.1. While an abundance of commentary has appeared in the literature over the past one hundred years, the research into faculty role in governance conducted to date has been narrow in scope or focused on single institutions or populations. There is much speculation in the literature on what the role of faculty in institutional decisions has been over the years (Corson, 1960; Cowley, 1980; Diekhoff, 1956; Floyd, 1985; Millett, 1968). There is, however, little information on the current perceptions of faculty on their role in governance amidst the contemporary factors of retrenchment, corporatization of higher education, accountability, and the intensified research focus of faculty and institutions.

The purpose of this study was to explore faculty perceptions of their ideal and actual governance role within higher education and their satisfaction in those roles. A formal review of the relevant literature and research follows in this chapter. The chapter is divided into three sections: the evolution of shared governance, the influence of contemporary factors, and the faculty perspective on participation and satisfaction.

Table 2.1 Recent Research on Faculty and Governance at 4-Year Colleges and Universities in the U.S

Author	Year	Method	Participants	Description	Key Findings
Schuster and Finkelstein	2006	Document Review	29 existing national surveys of faculty from 1955-2004	A document review of existing research on faculty participation in governance.	Highlighted increased faculty participation in governance; however provided only partial anecdotal explanations
Kaplan	2004	Document Review	A national survey of governance structures and U.S. Dept of Education financial surveys	Compilation of surveys to look at significance of board structures, role of faculty governing boards, and effects of giving faculty authority.	No significance of board structure or enabling faculty to participate on campus outcomes, & faculty participation was slightly related to campus outcomes.
Tierney and Minor	2003	Survey	2,000 faculty and provosts from across the US	Faculty attitudes, motivations, and perceptions of role in governance	Purely quantitative and lacked any mention of satisfaction or importance scaling
Miller	1996	Survey	78 faculty governance leaders at research and doctoral institutions	A study of attitudes and motivations concerning the role of faculty in governance	Majority of respondents in Liberal Arts or Humanities. Felt faculty senate was ideal method for involvement. Empowerment top motivator for participation.
Sheridan	1995	Survey	Ten member institutions of Coalition of Christ Colleges, 343 questionnaires returned	Identified role played by faculty in church related liberal arts colleges	Faculty members indicated they preferred significantly more involvement in decision making.
Reiten	1992	Interviews	Indiana University; 38 faculty and 22 administrators interviewed	Differences and similarities of faculty and administrators in academic decision making at a research university	Departmental decision making more effective than other types of governance. Most faculty find decision making boring & unrewarding. Admin felt faculty wanted to participate more than they actually did. Knowing can participate more important than actual participation. Some faculty did not trust the system, but did not want to change the system.
Williams et al.	1987	Interviews	Two-tiered interviews of role with faculty at the University of Washington	24 interviews of faculty concerns with governance and then analysis 102 faculty and 58 statements of governance.	Faculty should participate in governance and being a faculty member is consent to participation.
vanBolden	1983	Survey	189 Faculty and Administrators at six private black colleges in Texas	Measured degree of faculty participation at small private black college in Texas	Administrators view their influence at a greater level than the faculty. Faculty perceive their influence outside of curriculum decisions as non-existent.
*Dykes	1968	Interviews	Faculty of the College of Liberal Arts and Sciences of a large Midwestern university	Ascertaining faculty's conceptions of its "proper" role, satisfaction, and motivation in decision making	Faculty ambivalent towards participation in decision making. Discrepancy in what faculty perceive their role versus the reality.

*Included for informational purposes as this study is partially based on this research

The Evolution of Shared Governance

To better understand shared governance and specifically the current governance role of faculty, it is important to first look how the governance role of faculty began and evolved. The structure of American higher education was not based on the English model, but rather the Scottish model. While the English model gives faculty the majority of the governance responsibility (leaving some to question the necessity and functions of the administration), in the Scottish model a lay board has premier responsibility for college governance.

The history of faculty in American higher education begins in the colonial period (1636-1770). During this period, part-time transient tutors who held no power in academic decisions did the majority of college teaching (Rudolph, 1962; Thelin, 2004; Ward, 2003; Westmeyer, 1985). The college presidency existed at least 20 years, and in some cases 85 years, before the first full-time faculty member was hired (Thelin, 2004). In later years, as scientists and businessman replaced clergyman presidents, the role of the president grew even more, and weakened the role of the faculty (Rudolph, 1962; Westmeyer, 1985). In the early years, ultimate control was vested with the external board, specifically for accountability. The external board was solely responsible for the institution and for engaging the president (Cohen and Kisker, 2010; Thelin, 2004). In 1891, the first report of increased presidential authority occurs when “the president was permitted to hire a janitor, provided he reported his action promptly to the board” (Carnegie Commission on Higher Education, 1973, p. 31). Cohen and Kisker (2010) observed:

Governance structures shifted notably in the direction of administrative hierarchies and bureaucratic management systems...The faculty gained power in terms of hiring, curriculum, and degree requirements; the trustees became corporate directors responsible for institutional maintenance; and the administrators became business managers. (Cohen and Kisker, 2010, p. 161-162)

This signaled a shift in power from board to hired administration. There were many reasons for the decline in board influence - including the growth in campus complexity, the professionalization of the faculty, and increased state influence (Carnegie Commission on Higher Education, 1973). This shift to presidential dominance continued until World War I (Carnegie Commission on Higher Education, 1973). From that point, the general public, as well as the lay boards of governance, saw the president as the chief principal of the institution. Thus the role of the president as the premier authority of the academic institution was solidified.

During the nineteenth century, faculty started to become more involved in the decisions of their institution and several well-known examples exist of the faculty finding other means to influence decision making during this period. One such example is the president of Williams College being forced to resign in 1872 over conflicts with the faculty regarding post-Civil war educational changes such as the addition of report cards, tightened admission standards, and taking class attendance. In another example, at Dickinson College, the faculty resigned at the turn of the century as their only means of protest to a board of trustees. Spurred by controversy at Stanford University between corporate interests and academic affairs, the American Association of University Professors (AAUP) was founded in 1915 as the first national association of higher education faculty. At the heart of the issue was the dismissal of an economics professor over his views on railroad monopolies, which was in direct conflict with the views of the widow of the college's founder, Mrs. Leland Stanford. At the same time, seven other faculty resigned in protest. The concept of academic freedom led to the birth of the AAUP (American Association of University Professors, 2006; Hofstadter & Metzger, 1955; Schuster & Finkelstein, 2006).

The faculty senate is an example of a shared governance model of decision making and came into existence during the tenure of Yale President Jeremiah Day (1817-1846). Day

pioneered an idea for governance that spread across the country. As the faculty at Yale began to grow, he began sharing administrative duties with the faculty (Cowley, 1980). He developed this idea through his experiences of serving on Yale's 3-person faculty for the 22 years prior to being named President. In President Day's model, the faculty and the administration shared decision making authority on all academic issues relating to the College (Cowley, 1980). Due to the original design of the education system, this shared governance model was quite unique for its time. Even though the idea grew, its implementation at many schools fell short of Yale's continued success of faculty governance (Cowley, 1980).

With teaching and research well established as part of the traditional role of faculty in higher education, the third component, institutional and public service, began to emerge in the late 1850s (Rudolph, 1962; Ward, 2003; Westmeyer, 1985). These changes, along with the addition of mid-level administrators to handle the additional responsibilities of graduate schools, resulted in administrative "creeping" into what had been traditional areas of faculty responsibility. For example in 1979, the University of Tennessee System structure included 1 president, 7 vice-presidents, general counsel, treasurer, and 4 chancellors. One vice-president was also a chancellor and is counted only once as a vice-president (The University of Tennessee, 1980). Today's system administration structure includes 1 president, 14 vice-presidents, a chief human resources officer, five chancellors or the equivalent, two executive directors, and one vice chancellor/athletic director (Vice President and Treasurer University of Tennessee, 2008).

Growth in the number of higher education institutions from 1860-1945 led to the need for greater numbers of faculty and increased the challenges in the balance of teaching, researching, and new calls to service (Ward, 2003). A chart of the number of higher education institutions

from 1870 to 2009 can be found in Table 2.2 (United States Bureau of the Census, 2012; U.S. Department of Education, National

Table 2.2 Number of Higher Education Institutions 1870 - 2009

Level & control of institution	1870	1940	1956	1980	2000	2009
Total Degree-granting institutions	266	1,708	1,850	3,231	4,182	4,495
Public colleges	n/a	n/a	n/a	1,497	1,698	1,672
Private colleges	n/a	n/a	n/a	1,734	2,484	2,823

Center for Education Statistics, 2011; United States Bureau of the Census, 1960; United States Bureau of the Census, 1881).

After World War II, confusion began to arise regarding faculty role in institutional decision-making (Ward, 2003). For almost two hundred years, sizes and enrollments of universities and colleges had been growing. The end of WWII accelerated this growth trend due to returning soldiers enrolling in universities on the newly-created GI Bill. The addition of administrators and faculty to serve the increased demand led to confusion on the expectations of faculty regarding roles and responsibilities. As the need for additional professors and additional areas of expertise increased, the salary, power, and prestige of the faculty also increased, albeit unevenly across the disciplines (Thelin, 2004). As a result, faculty were able to gain both authority and power in decision making at their institutions as faculty were regarding higher due to increased demand.

There was a lull in commentary on faculty and administrator relations from the 1920's until the 1950s, as academics became vocal again about the need for changes in campus governance. According to studies into the sentiments of 225 presidents and deans, there was an increase in faculty participation in the early 1950's (Joyal, 1956). Diekhoff (1956) afforded his opinion on faculty role during this time period:

Just as the condition of employment essential to morale and effectiveness in the army and in industry grow out of military and industrial traditions, so conditions of employment essential to faculty morale and effectiveness grow out of the academic tradition. The academic tradition, however, insists upon the sovereignty of the faculty in the determination of educational policy. (Diekhoff, 1956, p. 82)

The lack of enrollment growth in the late 1960's and 70's saw the return of the buyer's market as the need for professors declined; and as a result, the leverage for an active role in governance for faculty also declined. Thus, the balance of power shifted from the faculty back to the administration (Thelin, 2004). During this time, a research study of university presidents acknowledged the power shift and the top-down management style from administrators (Demerath et al., 1967). It was viewed that faculty needed to be open to more collaborative relationships, but the first step should be taken by the administration.

Strong manager executives who institute orderly procedures for faculty participation will make collaboration possible between officials and faculty, where today, the divergence is dangerous and the choices appear to be either hyper-organization or 'organizational dry rot.' The evidence is clear: collegialized management is the sine qua non of educational innovation and excellence in our universities. (Demerath et al., 1967, p. 238)

A collegial model of governance was proposed in the early 1960's based on the premise that faculty were a community of scholars (Millett, 1962). The AAUP Statement was introduced in 1966 and called for shared responsibility and cooperation among administrators, governing

boards, and faculty. In 1968, Millett stated that “shared authority” was the expectation of the faculty in decision making at an institution (Millett, 1968). In that same year, Dykes conducted a landmark study interviewing the College of Liberal Arts and Sciences faculty at one large Midwestern university. He found only 46% thought the faculty senate was useful in providing the opportunity to participate in campus decision making. It was also found that only 15% of faculty eligible to participate in the faculty senate actually participated (Dykes, 1968).

Similar data was collected by Tierney and Minor (2003) who surveyed over 2,000 faculty and provosts across the United States and found widespread dissatisfaction with the faculty senate. Miller (1996) looked at faculty senate leaders’ attitudes concerning the role of faculty in university governance. This information must be taken with a grain of salt, as the participants were current faculty governance leaders obviously involved in governance and therefore, may have placed a value of importance or they would not be involved. Respondents identified five factors which they agreed most strongly as the motivation for their willingness to be involved in governance activities: empowerment, sense of responsibility, importance of decision-making, being asked to serve, and sense of professionalism (Miller, 1996).

In the contemporary era, the entrance of part-time faculty, or adjuncts, can be seen at all levels of institutions, comprising 33.1% of the faculty at all institutions in 1987 increasing to 43.2% of the faculty in 2003. (Altbach et al., 2005; U.S. Department of Education, National Center for Education Statistics, 2004; U.S. Department of Education, National Center for Education Statistics, 1988; Ward, 2003). Faculty governance bodies are oftentimes limited to full-time faculty and part-time or contingent faculty are not offered a vote. The addition of part-time faculty has confounded the problem of faculty role and is a result of higher education moving towards financially-driven models of education, often

referred to as corporatization (Altbach et al., 2005; Ward, 2003). In addition, the creation of unions in academia has increased the tensions between faculty and administrators, although they have succeeded in explicitly defining faculty tasks (Altbach et al., 2005). As economic problems, decreasing budgets, and calls for accountability increase, administrators have gained more decision making power, at least in the opinion of some scholars (Altbach et al., 2005).

The Influence of Contemporary Factors

Kezar and Eckel (2004) highlight changing boundaries in institutional governance over the last four decades due to increased demands on the institution from a number of external sources. The most recent reasons for this change stem from the increased need of accountability and competition, changes in faculty composition as well as less faculty participation in governance, and the need for increased decision timelines (Kezar and Eckel, 2004). Recently, there has been renewed interest concerning the appropriate governance role of faculty and administrators. This renewed interest in addressing faculty governance, as evidenced in the current literature, can be attributed to several contemporary factors: accountability, intensified research focus of faculty and institutions, corporatization of higher education, and retrenchment (Ashar and Shapiro, 1990; Boyer Commission, 1998; Eckel, 2006; Eckel, 2000; Gates, 1997; Gumport, 1993; Kerlin and Dunlap, 1993; Kezar and Eckel, 2004; Lenington, 1996; Massy and Zemsky, 1994; Slaughter, 1993; Wilson, 1999). Each of these factors affects faculty role in governance in a different manner.

Accountability

The need for accountability in higher education is not a new topic. Calls for accountability in higher education led to the creation of regional accreditation agencies and later

new measurements for institutional performance. Outcomes such as instructional inputs (test scores, remedial performance), instructional processes (time to degree, faculty workload), instructional outcomes (graduation rates), efficiency (student-faculty ratios), condition (research activity), access and equity (enrollment and persistence), articulation (transfer rates), and relation to state (graduate salaries) are used in defining accountability (Cohen and Kisker, 2010).

Performance funding policies, the awarding of funds based on accountability measures, are used in some states to encourage accountability (Bogue and Johnson, 2010). A case study at The University of Tennessee found the addition of funding incentives to meet state-mandated goals, gave administrators reason to push their institution to a goal driven model of operation as opposed to instructional improvement or the “community of scholars” model proposed by Millet in 1962 (Hall, 2000; Millett, 1962). The literature on accountability is plagued with conflicting accolades and criticism on the benefits to higher education. Bogue and Hall (2012) posits seven questions for effective accountability policies:

1. Who are the stakeholders in collegiate accountability?
2. What is the purpose of accountability policy?
3. What evidence of accountability will be accepted by diverse stakeholders?
4. What standards of performance will be accepted as legitimate and appropriate?
5. How can accountability results be communicated so that they are credible?
6. Will accountability policy emphasize economic development and workforce readiness but neglect other purposes of higher education?
7. Will accountability policy acknowledge and encourage distinction in mission? (Bogue and Hall, 2012, p. 14-23)

Institutional pressures for accountability lead to pressures on faculty to produce high-performing students while still fulfilling their responsibilities of research and service to the institution.

Teaching vs. Research vs. Service– The Shifting Role of Faculty

As college costs continue to rise, concern over the quality of education has intensified (Middaugh, 1999). Concerns over the use of part-time, or contingent faculty have led to the perception that full-time faculty spend less time with their students and more time on other lucrative concerns such as their research (Boyer Commission, 1998; Gappa and Leslie, 1993; Huber, 1992; Massy and Zemsky, 1994; Wilson, 1999). While the debate continues about the relationship between teaching and research, some have condemned academia for being too research-oriented, with resulting negative effects on students (Boyer, 1990).

The root of the debate can be traced to World War II when outside funding began flowing into colleges and universities to support the war effort (Schrecker, 2010). However, this cascade of funding can be attributed to the creation of the National Science Foundation and later to the 1980's Bayh-Dole Act which opened the door for industry-faculty relationships by permitting the privatization of public funded research. The Act permitted Universities to share in the money generated by patents from faculty members and gave the Universities a strong financial incentive for faculty to focus on research above teaching and service (Schrecker, 2010).

As shown in Figure 2.1, the 2003 National Study of Postsecondary Faculty found that full-time faculty at research and doctoral institutions spent 52.0 % of their time on teaching activities, 23.8% on research activities, and 12.2% on other activities (U.S. Department of Education, National Center for Education Statistics, 2004; U.S. Department of Education, National Center for Education Statistics, 1999; U.S. Department of Education, National Center for Education Statistics, 1993; U.S. Department of Education, National Center for Education Statistics, 1988) .

Little research has been done on the topic of the intensified role of faculty research and there are no control groups to measure the phenomenon. The increased influence of the private sector and commercialization of research led to universities becoming more like a for-profit business, thus leading to the debate of corporatization in higher education.

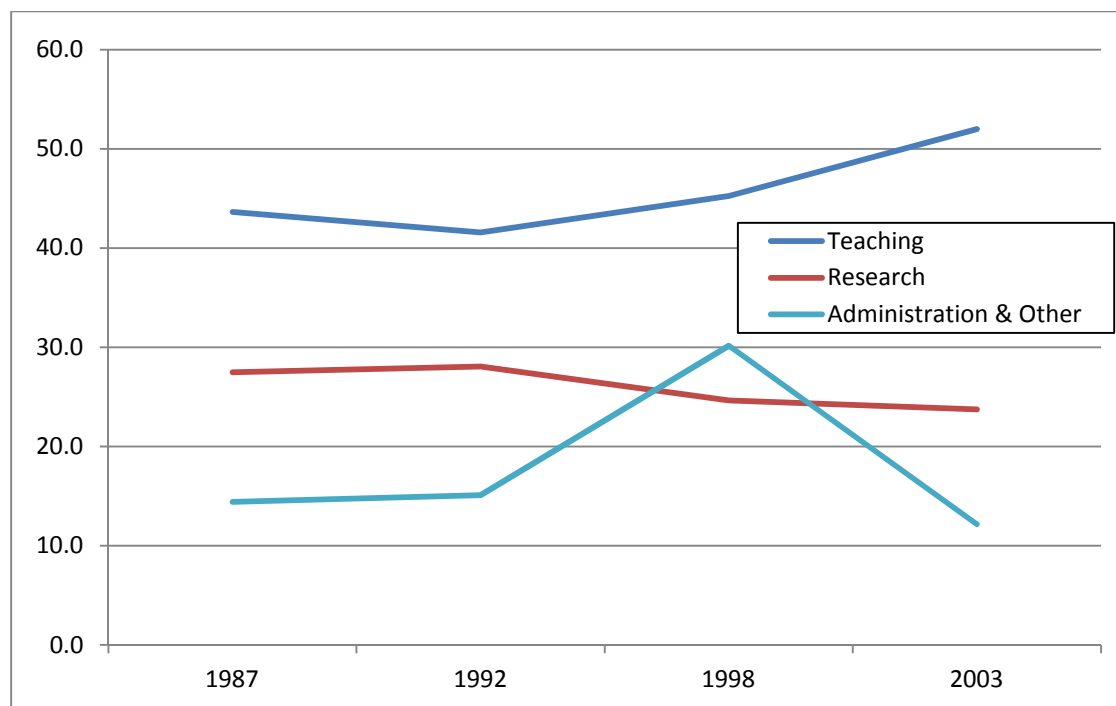


Figure 2.1 Changes in faculty time allocation of faculty at 4-year doctoral and research level institutions

Corporatization

Corporatization can be defined as the intermingling of business and academic cultures, resulting in a new paradigm in higher education. This new model is accompanied by concerns which add institutional complexity to both the overall governance and day-to-day operations of a university (Kezar and Eckel 2004). The President is pressed to manage the university like a corporatization, maximizing efficiency and accountability while maintaining a focus on outcomes and treating students as customers. Corporatization decisions affect the entire campus

and include such decision as outsourcing non-core functions (bookstores, food service, janitorial services) to reduce fringe benefits and overhead rates and running of academic departments as mini-profit centers, which can result in differential tuition across majors. Faculty specific examples of corporatization decisions include the increased use of adjuncts or part-time teaching staff to reduce spending on full-time faculty, the increased focus on faculty research as a revenue driver and the transfer of faculty developed intellectual property to private companies, also known as tech transfer, for a fee or a percentage stake in the profits generated. Corporatization leads to these decisions being made for purely economical reasons and not necessarily in accordance with the mission of higher education. An accent is placed on using the forces of the market, with students as consumers and presidents as CEOs.

Another corporatization concern is the million dollar presidents club. Increasingly, the requisite for a college president no longer necessarily includes elevation through the faculty ranks or a rise through an administrative position, both grounded in a strong history of institutional history. College presidents in the 21st Century have varied educational and professional backgrounds that include not only previous higher education experience, but also experience within the corporate sector as a President or CEO. According to the American Council on Education's American College Presidents Study, 21.4% of College Presidents immediate prior position was as a President or CEO. Other immediate prior positions included: 31.4% Chief Academic Officer, 30.3% Senior Executive/Administrative, 13.1% outside higher education, and 4.1% Faculty/Chair (American Council on Education, 2007). This trend towards professional administrators as college presidents is a dramatic change. According to the same 2006 Study, only 69% of College Presidents had ever served as a faculty member down from 75% in 1986 (American Council on Education, 2007).

This move towards a President with more business experience than educational management is one of the contributing concerns regarding the corporatization of higher education. McMaster (2007) highlighted this change in an Australian higher education study as a result of the changes in skill set needed to operate a university. No longer are the skills of teacher and collegial cheerleader needed, but presidents must now be marketers, HR specialists, accountants, fundraisers and public figures. Presidents must now be able to navigate billion dollar institutions through the turbulent waters of political, economic, and societal pressures. These pressures have increased the difficulties and tensions between the collegial and corporate models of management (McMaster, 2007).

The literature is split as to whether a move towards corporatization is good for higher education. Lenington draws parallels between business and higher education in that the resources needed in the delivery of their missions are similar: capital, personnel, and physical plant. He goes on to say the runaway costs in higher education warrant the application of business principals in the management of colleges and universities (Lenington, 1996). Although it is easier and faster for administrators to make decisions without faculty consent, faculty involvement in decisions was established to add a check and balance to the process as illustrated in the book, *Failed Grade*, which highlights the decline of higher education as a result of the intrusion of a corporate structure and purpose (Soloway, 2003). Schrecker sees the corporatization of higher education as an “amenities arm race” (Schrecker, 2010). Programs, courses, and amenities are added with only regard for revenue generation and student appeasement and not in consultation with faculty and without consideration for the Universities true purpose.

As a result of decreased academic interest in governance and an increase in corporatization of universities, Lapworth (2004) postulates a model which would allow for a meet-in-the middle approach allowing for rapid decision making while maintaining active academic participation in governance. His addition of a strengthened steering core takes the traditional two-dimensional model of shared governance to a “three dimensional, triangular based pyramid,” allowing for rapid response while providing for continued faculty participation (Lapworth, 2004, p.310).

Retrenchment

Retrenchment is a familiar concept in both corporations and higher education and one that has received much attention in the current economic times. Retrenchment can be defined as reorganization or reductions in times of financial crises including, but not limited to, programmatic cuts, departmental cuts, faculty cuts, or rescission of benefits or tenure. The restructuring of colleges, departments, or faculty in higher education is usually related to financial pressures (Gates, 1997). In a document review of AAUP cases dealing with retrenchment, Slaughter (1993) found university administrators responded to retrenchment in a similar manner as corporate CEOs: by focusing on profitable areas or divisions and reorganizing. The data Slaughter analyzed was from 1980-1990, where she found a large number of cases grouped around 1983, following the U.S. recession of the early 1980s. She found several universities whose bylaws or operating documents gave unbridled power to the president in times of economic exigency (as determined by the president) to make decisions without faculty consultation, including the dismissal of faculty and the closure of departments. Slaughter’s review highlighted stories such as the president of Westminster College in Utah stating that he took power from the faculty and gave it to himself in order to restructure and the Northern

Colorado president who had presidential authority for retrenchment. One president felt that a bold retrenchment move which included gains in fund raising and recruitment outweighed the abolishment of tenure.

Eckel (2000) conducted a study of four research universities and the ability of shared governance to facilitate retrenchment decisions. In the four cases a combined twenty-five programs/departments and two colleges were closed. Even though all four institutions had a shared governance process of some sort, of these closures only one was overturned due to faculty opposition. Of the eight Ph.D. programs slated for suspension or refocusing at the University of Rochester, only the mathematics faculty were successful in overturning the decision to suspend the mathematics Ph.D. program by engaging in a national publicity and letter writing campaign - a tactic outside of the shared governance channels.

Internal tensions between administrators and faculty increased during and after periods of retrenchment (Gates, 1997; Kerlin and Dunlap, 1993). Several retrenchment studies have identified the need for a strong faculty voice, yet all studies showed the administration was able to make changes with no regard for the faculty opinion (Ashar and Shapiro, 1990; Eckel, 2000; Gates, 1997; Gumport, 1993; Slaughter, 1993).

Other External Forces

In addition to the contemporary factors listed above, the existence of several other external entities affects the governance of higher education and should not be omitted. The actions of multi-campus boards, federal government, state level boards, and accreditation agencies have direct impact on institutional governance.

Of the external forces, multi-campus boards are the closest to the individual campuses and governing boards. Multi-campus boards were created when individual institutions joined to

form a statewide system of campuses but did not force a unified system. Instead individual institutions still maintained their individuality, while agreeing to certain common changes such as program coordination and staff salary schedules (Cohen and Kisker, 2010).

The federal government also exerted influence on higher education institutions. Each new piece of legislation provided a different benefit or hurdle for campuses and leads to the need for more administration to ensure compliance. A summary of the major federal Acts influencing Higher Education can be found in Table 2.3 (Cohen and Kisker, 2010). The Higher Education Act of 1965 mandated each state create a coordinating board for higher education. These state-level coordinating boards grew into agencies which created comprehensive plans for higher education within their state (Cohen and Kisker, 2010).

State control over postsecondary education differs between states. Most states have coordinating agencies whose responsibilities may include licensing, funding, and labor laws. Changes at the state level can influence the operations of individual institutions. State agencies also can serve as advocates for funding and mediators between state legislature and institutions (Cohen and Kisker, 2010). McGuinness (2003) presents several models of Postsecondary Education Coordination with the most popular model, found in 10 states or territories (Figure 2.2). In this organizational structure a single, statewide board has governing responsibility over all public institutions.

Table 2.3 Summary of Key Federal Legislation Affecting Higher Education

Act	Year	Summary
GI Bill	1944	Provided college or vocational training for returning veterans
Housing Act	1950	Loans to construct college residence halls
National Defense Education Act	1958	Authorized loans & fellowships for college students and funds to provide foreign language study
Health Professions Educational Assistance Act	1963	Provided financial assistance for new construction and student loans
Vocational Education Act	1963	Provided federal funds for vocational training
Higher Education Facilities Act	1963	Provided financing for new construction or renovation of facilities
Civil Rights Act	1964	Prohibits discrimination against students, employees, and applicants on the basis of race, color, national origin, religion, and sex
Higher Education Act	1965	Grants for libraries, undergraduate programs; guaranteed student loans; creation of state boards
Medical Library Assistance Act	1965	Library funding
National Vocational Student Loan Insurance Act	1965	Expanded loan insurance programs
Adult Education Act	1966	Authorized grants for special experimental demonstration projects and for teacher training focused on undereducated adults
Education Professions Development Act	1967	Expanded Teacher Training
Vocational Education Act (amended)	1968	Expanded provisions
Higher Education Act (amended)	1968	Expanded provisions
Occupational Safety and Health Act	1970	Required a hazard free, safe and sanitary environment for students and employees
Education Amendments	1972	Established education division in Department of Health, Education, and Welfare and authorized a Bureau of Occupational and Adult Education Title IX
Education Amendments	1974	Established the National Center for Educational Statistics
Americans with Disabilities Act	1990	Equal access to all programs and services
Higher Education Opportunity Act	2008	Reauthorized Higher Education Act of 1965

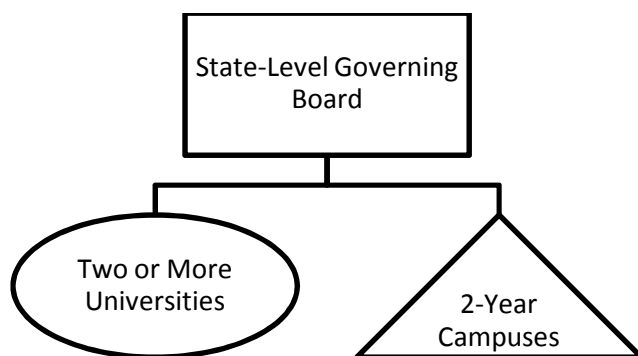


Figure 2.2 Consolidated Governing Board for All Public Institutions

Accreditation agencies created program and operating standards which institutions must follow as a result of calls for accountability from the general public and the federal legislature. These agencies monitor quality in higher education institutions and establish standards. Institutions are pressured by accreditation agencies to submit student learning outcome data for comparison against peer institutions (Cohen and Kisker, 2010).

The Faculty Perspective on Participation and Satisfaction

There is conflicting evidence on the participation level of faculty in governance activities and there have been few empirical studies on faculty role in recent years to provide credence to the debate. There is a perceptual difference in what faculty think their role is and the actuality of their role (Dykes, 1968; Sheridan, 1995). Due to the lack of rewards for such, many faculty are less interested in participating in governance activities and instead focus on teaching and research (Miller & Seagren, 1993). Apathy and lack of trust are cited as the biggest barriers to faculty involvement (Boruch, 1969; Dykes, 1968; Tierney & Minor, 2003). “A substantial body of evidence suggests that faculty members approve of their having a stronger voice in academic governance, but this approval is somewhat gratuitous in that they may have no real interest in

participation” (Boruch, 1969). Heimberger (1964) found the same to be true in his earlier 1964 study, noting that:

Perhaps because of sheer size and the diversity of specialized efforts, too many faculty members seem to be losing their feelings for the university as a whole and even for their oneness in what ought to be a proud, powerful, and responsible profession. All too often their attitude is one of live and let live, of lack of interest in what may happen elsewhere on the campus so long as personal or departmental endeavors are not directly affected. (Heimberger, 1964, p. 1107-08)

In a landmark 1968 study, Dykes found that faculty had a desire, yet a reluctance, to participate in governance and a penchant for historic governance structures. Dykes’ study also revealed a marked discrepancy by faculty between actual and expected roles of faculty in governance. Only 4% of respondents thought faculty were too involved or their involvement in decision making was just right. An overwhelming 95% felt the role of faculty was not what it should be. While the interviewed faculty insisted on the right to participate in decision making, few faculty desired to actually become heavily involved. (Dykes, 1968).

A thirty-year drought in the research literature on faculty governance role, from the 1970’s until 2003, ended with Tierney and Minor’s study on faculty role in institutional governance. The two surveyed over 2,000 faculty and provosts from across the U.S. and reported widespread dissatisfaction with the Faculty Senate concept and disagreement about the meaning of shared governance. Although apathy and lack of trust were cited as the biggest barriers to faculty involvement, the study found sufficient trust and communication between the faculty and administration (Tierney & Minor, 2003). The authors go on to state, “There is a certain irony that senior academic administrators believe faculty have influence, a

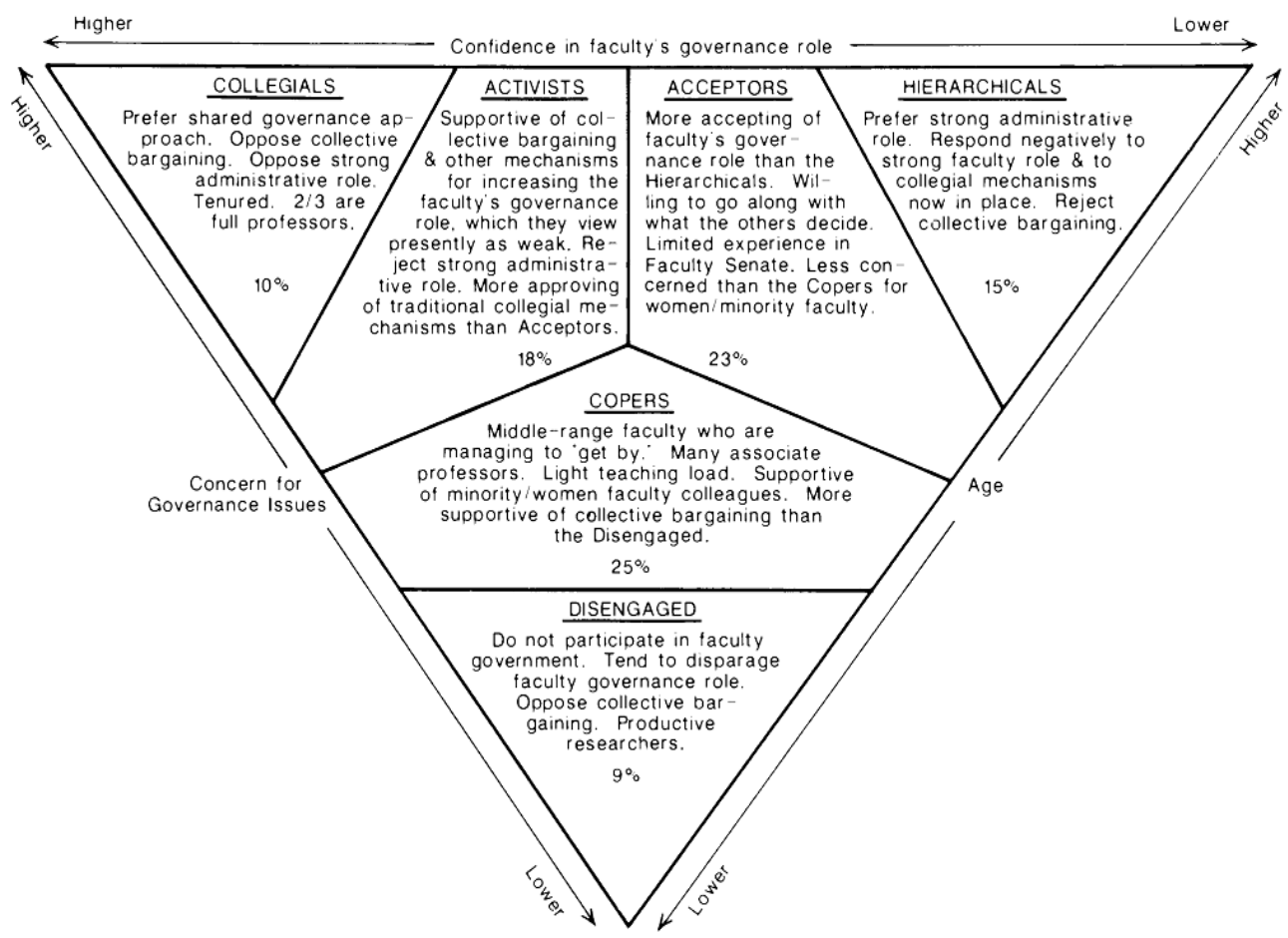


Figure 2.3 Six Perceptions of the Faculty's Governance Role

and faculty think they do not. Such perceptions carried to extremes are recipes for stalled decision-making” (Tierney & Minor, 2003, p.8).

Williams et al. (1987) analyzed the perspectives of University of Washington faculty and developed a model based on faculty perceptions of the role of faculty in governance (Figure 2.3). This model suggests that age, confidence in the ability to affect change, and concern for governance issues all play a role in the level of activity of an individual faculty member. The percentages included in the diagram signify where the interviewed University of Washington faculty were represented on the continuum.

Satisfaction

The National Study of Postsecondary Faculty (U.S. Department of Education, National Center for Education Statistics, 2004; U.S. Department of Education, National Center for Education Statistics, 1999; U.S. Department of Education, National Center for Education Statistics, 1993, U.S. Department of Education, National Center for Education Statistics, 1988) was developed by the U.S. Department of Education to collect data on faculty and instructional staff. Four surveys were conducted between 1987 and 2004, approximately every 5 years. Although marketed as the “most comprehensive study of faculty,” the survey was more of a demographic look at faculty as opposed to looking into questions about faculty life.

A question regarding satisfaction with faculty and administrator relations appeared only once on the 1988 survey. Across all institutional classifications, 38.9% of faculty reported they were dissatisfied with the administrator/faculty relationship. At doctoral institutions only, the percentage who were dissatisfied increased to 41% (U.S. Department of Education, National Center for Education Statistics, 1988).

In subsequent years the questions on satisfaction focused on general employment conditions, such as workload, and general instructional duties, such as instructional support.

Figure 2.3 illustrates the change in workload satisfaction among all faculty at doctoral level

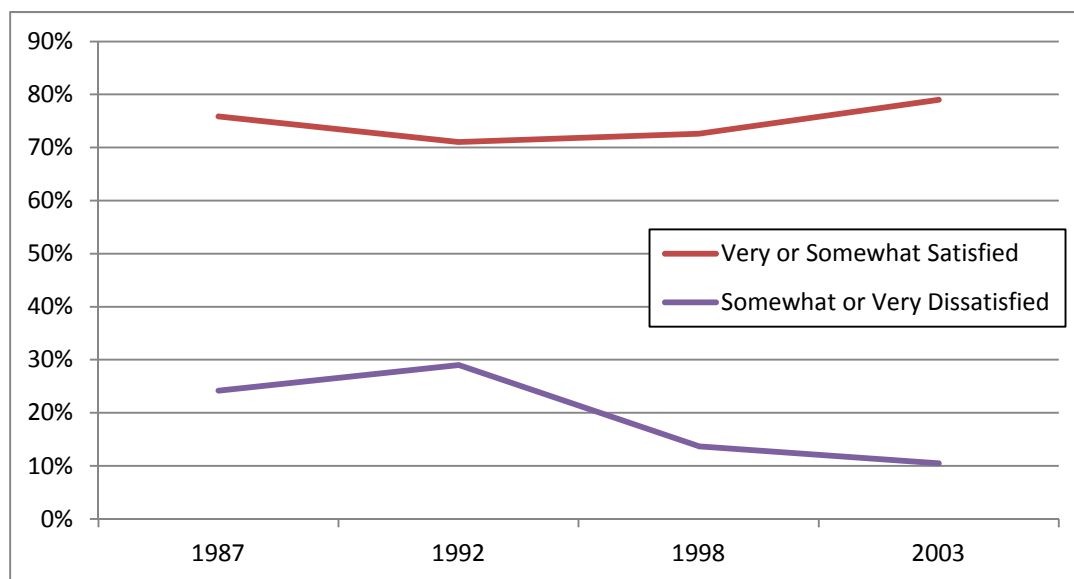


Figure 2.4 Percentage of Postsecondary Doctoral Faculty by Satisfaction with Workload, 1988-2004

institutions as defined by Carnegie classification (U.S. Department of Education, National Center for Education Statistics, 2004; U.S. Department of Education, National Center for Education Statistics, 1999; U.S. Department of Education, National Center for Education Statistics, 1993, U.S. Department of Education, National Center for Education Statistics, 1988). Since 1992, there has been a steady increase among full-time faculty members at doctoral institutions with their workload satisfaction.

Although there is recent data on faculty workload satisfaction and administrator relations, there is no recent data on faculty satisfaction with their role in decision making. The most recent statistic is from Dykes' (1968) study where he found 63% of faculty were dissatisfied or very dissatisfied with the role of faculty in decision making.

Motivation to Participate

Understanding why faculty are motivated to participate in governance is as important as how faculty participate and their satisfaction with participation. Through participatory management theory, we understand the involvement of employees in the decision making process will lead to improved employee satisfaction and morale. Knowing their motivations for participation and being able to recognize those motivations will only assist in improving satisfaction and morale.

In Dykes' study, the motivation for faculty involvement in governance varied based on age of the respondent. Older members of the faculty felt a personal sense of duty to their profession and that participation was necessary to protect faculty interests. Only 59% of faculty felt participation was in duty to the University (Dykes, 1968). A survey of faculty senate leaders found empowerment and sense of responsibility as the top two motivators for participation in governance (Miller, 1996). There is little research on whether there is tension between the conflicting motivations of duty and reward. Outside of the Miller study, there is little empirical data in recent years on faculty motivation for participation.

Beginning primarily in 1945, faculty were life-long employees of their institution and their motivation to participate in governance stemmed from their devotion to their institution. In more recent times, however, faculty are strongly encouraged to conduct research and seek outside funding for support. This scenario enables faculty to become "tenants, rather than owners", as faculty have the ability to move to new institutions with ease while taking their funding with them (Kerr, 1963, p. 59). As this mobility increases and faculty become more discipline focused, their motivation to participate at a university level may decrease.

What Impedes Participation

According to the 2004 National Survey of Postsecondary Faculty, of the 1.2 million faculty in 2- and 4- year institutions, approximately 56% were employed full-time. In comparison, the same survey in 1999, 1993, and 1988 found approximately 57%, 58%, 67% of faculty were full-time, respectively (U.S. Department of Education, National Center for Education Statistics, 2004; U.S. Department of Education, National Center for Education Statistics, 1999; U.S. Department of Education, National Center for Education Statistics, 1993; U.S. Department of Education, National Center for Education Statistics, 1988). These figures show a 13.6% decline in the number of full-time faculty between 1988 and 2004. These figures are alarming and the possible change in faculty role as a result should be studied. There is an obvious trend of decreasing full-time faculty and resultant increase in adjunct and part-time instructors. The American College President's survey reported similar trends (American Council on Education, 2007).

In addition to the change in full- and part-time faculty, the average age of faculty has been increasing. In 2004, the average age of faculty was 49.5 years, up from 46.1 years in 1988 (U.S. Department of Education, National Center for Education Statistics, 2004; U.S. Department of Education, National Center for Education Statistics, 1988). Dykes and many authors since have found a certain apathy of younger faculty to participation in governance (Dykes, 1968). In addition, junior faculty, who comprise a significant portion of faculty demographics, are often not afforded the same opportunities for participation as their senior colleagues (Dykes, 1968).

Faculty were found to be ambivalent towards participation; they wanted a strong role yet did not want to participate when given the opportunity and felt it was unrealistic to take time from research and teaching to participate (Austin & Gamson, 1983; Baldrige et al., 1978;

Dykes, 1968; Floyd, 1985; Heimberger, 1964; Williams et al., 1987). Specifically, Dykes found 82.7% of faculty thought governance activities took too much time away from research, while 30.8% felt it took too much time away from teaching. Heimberger reflects: “too many faculty members seem to be losing their feeling for the university as a whole and even for their oneness in what ought to be a proud, powerful, and responsible profession” (Heimberger, 1964, p. 1107).

Faculty and Administrative Relations

A polarization of views is evident in the literature on faculty and administrative relationships (Davis, 1974; Dykes, 1968; Schuster, 1991; Sheridan, 1995; Tierney & Minor, 2003; U.S. Department of Education, National Center for Education Statistics, 1988). Faculty serve in two capacities: one as a member of the profession, and the other as an employee. This dual role has caused conflict with their supervisors, the administration. Cooper (1971) found that although faculty and administrators agree on the ideal role of a university, faculties are polarized on perceptions of their current role and their beliefs about future roles. Conflict occurs because each has a different perception of their institution and is held accountable in different ways (McConnell & Mortimer, 1971). The lack of faculty role in governance is often blamed on the administration, and faculty felt their priorities tend to be incompatible with administrative priorities (Dykes, 1968).

There is conflict in the literature regarding faculty and administrator relations. In 1988, only 56.5% of faculty were found to be very satisfied or somewhat satisfied with the relationship between administration and faculty at their institution. This was the only year that a question of faculty satisfaction with administration appeared on the National Survey of Postsecondary Faculty (U.S. Department of Education, National Center for Education Statistics, 1988). In a Carnegie study (1989), an overwhelming 64% of faculty rated their administration as fair or poor

(Carnegie Foundation for the Advancement of Teaching, 1989). On the other side of the aisle, the American College President's survey reported the top challenge presidents faced was faculty, with no additional insight given to the details of this challenge (American Council on Education, 2007). Faculty apathy and lack of trust in the administration are major barriers to participation in governance. Tierney & Minor (2003) commented on the results of their study of 2,000 faculty and provosts, "there is a certain irony that senior academic administrators believe faculty have influence, and faculty think they do not." Dykes (1968) found that faculty and administrators agreed that an increase in the power or influence of the other led to a decrease in their own.

Another impediment to faculty participation in the past was the rapid growth in universities, and what is seen today as continued growth in the multiplication of the number of vice presidents (Dykes, 1968; Heimberger, 1964). As universities continue to grow, faculty are becoming more discipline centered as opposed to university-centered (Dykes, 1968).

Conclusion

The historical foundation of American higher education on the Scottish model of higher education created an initial limited role for faculty (Thelin, 2004). The evolution of shared governance gave voice to the faculty, mostly through the release of the *Statement on Government of Colleges and Universities* by the AAUP (American Association of University Professors, 1966). Through the years, the added dimension of external voices such as federal legislation, state higher education agencies, and accreditation agencies have impacted faculty role in shared governance. The influence of contemporary factors such as retrenchment, research expectations, pressure to corporatize, and the press for accountability has created a new environment for faculty to participate in governance.

Previous studies have been conducted on the role of faculty in institutional governance (Abbas, 1986; Dykes, 1968; Reiten, 1992; Sheridan, 1995; Sission, 1997; Tierney & Minor, 2003; vanBolden, 1983). Tierney and Minor attempted to address the challenges of institutional governance by providing data on the current role of faculty in institutional decision making. Their analysis, however, was purely quantitative and lacked any mention of satisfaction or importance scaling. Also, no information was presented regarding the satisfaction of faculty with their role nor the importance placed on faculty role in governance (Tierney & Minor, 2003).

Miller and Newman (2005) studied the perceptions of faculty and governance in research universities. The results revealed that research faculty perceive their most important roles were to insist on rights and responsibilities in appropriate governance roles and to convince administration that the faculty voice is valuable. However, no information was collected regarding satisfaction with faculty role (Miller & Newman, 2005). The 13.6% decline in the number of full-time faculty between 1988 and 2004 despite enrollment growth is alarming and the possible change in faculty role as a result should be studied. These ongoing changes in the demographics of faculty and the continued change in university management philosophy dictate the need for further study into the role of faculty in governance. The diversions found in the 1968 Dykes' study lay the groundwork for this study along with the unknown impact in changing demographics, institutional growth, and the contemporary factors of accountability, retrenchment, corporatization, and research prioritization have had on faculty role in institutional decision making.

There are serious limitations in the scope and breadth of previous studies on the faculty role in decision-making. The problem is we have no significant studies on faculty perceptions of their role amidst the contemporary factors of retrenchment, research expectations, corporatization, and accountability. Therefore, an updated study of faculty role in shared governance is needed.

Chapter 3 Methods and Procedures

Introduction

The purpose of this study was to explore faculty perceptions of their ideal and actual governance role within higher education and their satisfaction in those roles. The three research questions guiding this study were:

Question 1: Do faculty differ today in satisfaction with their role in decision making and their motivation to participate from previous Dykes' study?

Question 2: Is there a difference between the perceived ideal and actual role of faculty according to their age, gender, discipline, number of years teaching at the institution, and professorial rank?

Question 3: Is there evidence of a change in the perceptions of faculty regarding their role in institutional decision making, specifically compared to a 1968 study of faculty role by Dykes?

The methods and procedures used in the conduct of this study are detailed in this chapter, including the research design, site and population, sources of data, data collection and analysis, and the validity and reliability of the data collected.

Research Design

Combining quantitative research methods and qualitative research methods into one study is considered a mixed methods approach. The mixed methods approach yields a pragmatic paradigm that employs both deductive and inductive logic (Tashakkori & Teddlie, 1998). Utilizing both quantitative and qualitative methods of research in the same study can be conducted sequentially or simultaneously. The use of a sequentially mixed method design is designated by Creswell to be a two-phase design (Creswell, 1995). Dressler utilized a similar method by using both quantitative and qualitative techniques in a mental depression study among African-Americans. The qualitative data collected was used to capture insights that prove complimentary to the statistical analysis of the survey data (Dressler, 1991).

This study draws on a sequential mixed methods design. The benefits of using a mixed methods study design have been widely covered in the literature (Creswell, 2003; Tashakkori & Teddlie, 1998). This method of design was chosen to provide context to the statistical data. A strictly quantitative study allows for a greater breadth of information. A solely qualitative study allows for in-depth questioning; however, sacrifices would have to be made regarding the number of institutions to be included and the level of comparisons the author wished to make regarding institutional type and size. Combining these two methods and using a mixed method design, allowed for both breadth of information and depth on key issues.

The mixed method approach strategy used was first a quantitative survey followed by qualitative interviews. The survey method was chosen for the amount of data that could be collected and the variety of institutions that could be studied, while the interview method was added to gain insight into the survey findings. Adding the degree of sequentiality, rather than conducting a concurrent study, allowed first for a quantitative stage to collect responses from a

greater sample, then the collection of data qualitatively through interviews in order to inform the survey (Figure 3.1). The main benefit of the concurrent triangulation strategy is to provide corroboration and validation of the data collected during the study (Creswell, 2003).

Survey Instrument

The quantitative survey instrument consisted of 37 questions, 25 closed-ended questions, four open-ended questions, and eight demographic questions (Appendix A). Descriptive and inferential statistics will be discussed later in the chapter. Results are presented textually and graphically. The instrument was developed from questions previously used in Dykes' 1968 study and Sisson's 1997 study, as well as additional questions drawn from the literature and expert panel review. The instrument was submitted to a panel of scholars and experts comprised of faculty familiar with institutional governance prior to distribution to determine face validity. Constructive suggestions to improve the instrument were received from the panel and incorporated. Reliability was measured by calculating Cronbach's alpha to yield a coefficient of internal consistency.

For the operational aspects of the research design chosen for this study, the quantitative survey was distributed to a stratified random sample of three institutions selected from research level colleges and universities across the three regional accreditation agencies. The stratification was accomplished by separating the institutions by region and then choosing a random institution within each region. Individual institutions are not identifiable in this study.

Interviews

Due to the nature of qualitative studies and the limitations with regards to time and cost constraints, only one campus was utilized for interviews. The selected campus was chosen based on convenience and was not selected for participation in the quantitative phase of the study.

Qualitative interviews were used to inform the survey results in an effort to provide insight into issues raised during the quantitative phase. The interview guide is provided in Appendix B.

Questions were finalized after the conclusion of the quantitative portion of the study.

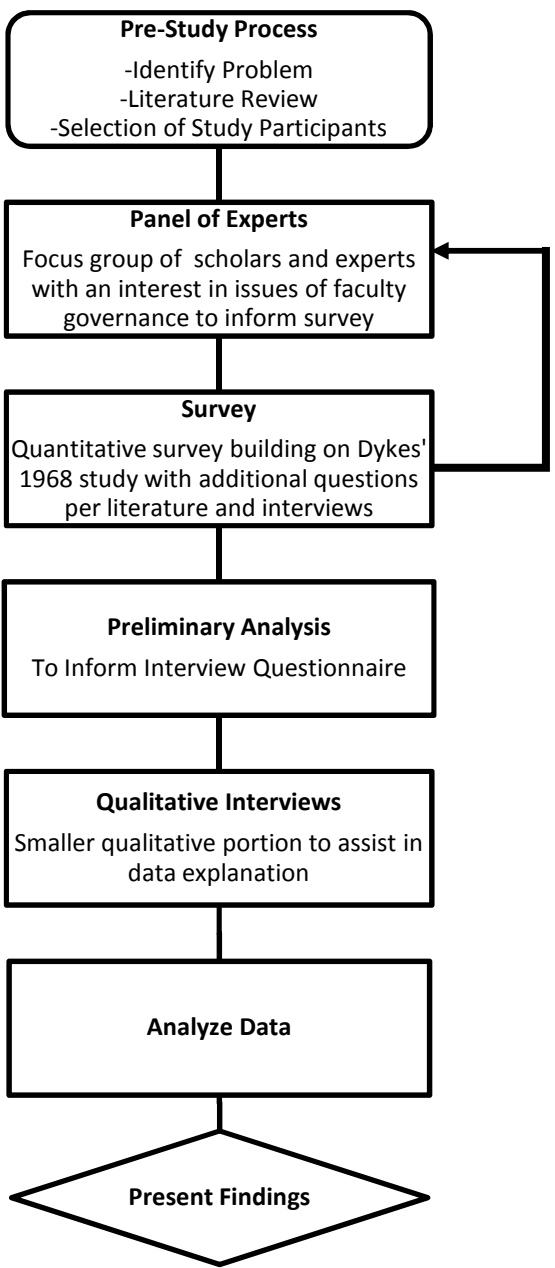


Figure 3.1 Study Design

Site and Population

The first step in identifying potential institutions for this study was to limit the study to non-profit higher education member institutions within the six regional accreditation agencies. To further narrow the population to be studied, only public, research-level institutions were considered. The final population for this study was 166 four-year, public, regionally accredited research level institutions across the United States. The population breakdown by accreditation agency and institutional type can be found in Table 3.1.

Table 3.1 Population Breakdown by Accreditation Agency by Institution Type

Regional Accreditation Agency	Total	Percentage of All
Middle States Commission on Higher Education (MSCHE)	17	10.24%
North Central Association – Higher Learning Commission (NCAHLC)	60	36.15%
New England Association of Schools and Colleges (NEASC)	8	4.82%
Northwest Commission on Colleges and Universities (NWCCU)	14	8.43%
Southern Association of Colleges and Schools (SACS)	57	34.34%
Western Association of Schools and Colleges (WASC)	10	6.02%
Total	166	100.00%

The original plan of study was to include one school from each region. Due to difficulties in obtaining campus approvals, the study was revised to three schools, each from a different accreditation region. Institutions were randomly chosen from the narrowed list of accreditation regions, for a total of three institutions, for participation in this study. The process of selection was to divide all public, research level institutions by accreditation region and assign each a number. Then a random number generator was used to select one institution from three of the regions, along with four alternates. The list included only those institutions holding active accreditation and excluded institutions in the application. It was hoped that by randomly selecting institutions and selecting institutions from more than one region, anomalies in faculty role at a particular institution or region would be identified and thus add to the validity of the study. When a school refused to participate, then the previously selected alternates were contacted, until one school from at least three regions agreed to participate. Pseudonyms are used to describe each university participating in this study. A summary of campus facts can be found in Table 3.2.

Table 3.2 Summary of Participating Institutions

Institution	Founded	Student Population	# of Full-Time Faculty	Tenure	Faculty Senate	N
Gulf University	1960's	Over 40,000	1,000+	Yes	Yes	1,289
Pine Tree University	Before 1900	Over 40,000	3,000+	Yes	Yes	1,709
Tumbleweed University	1960's	Over 27,000	1,000+	Yes	Yes	1,142
Zircon University (qualitative)	Before 1900	Over 27,000	1,000+	Yes	Yes	15

Gulf University

Gulf University is a member of the Southern Association of Colleges and Schools founded in the 1960's and has an enrollment of over 40,000 students. The school boasts over 1,000 full-time instructional and research faculty and is one of the largest schools in its state. The faculty governance structure includes a faculty senate and tenure is available.

Pine Tree University

Pine Tree University is located in the Northwest Commission on Colleges and Universities region and boasts an enrollment of over 40,000 students. Founded before 1900, it is a single campus in a multi-campus system. The school has over 3,000 instructional faculty of which more than 80% are fulltime. The faculty governance structure includes a faculty senate and tenure is available.

Tumbleweed University

Tumbleweed University is a highly ranked public university in a multi-campus system in the Western Association of Schools & Colleges region. Founded in the 1960's, the institution has a combined graduate and undergraduate enrollment between 25,000 – 35,000 students. The University has an academic staff of over 8,000 which includes a full-time instructional faculty count over 1,000. The faculty governance structure includes a faculty senate and tenure is available.

Zircon University

Faculty members of Zircon University were contacted during the qualitative phase of the survey in order to provide insight into the data collected during the quantitative phase. Zircon was founded prior to 1900 and includes an enrollment of over 27,000 students per year. The

instructional faculty is comprised of over 1,000 individuals. The faculty governance structure includes a faculty senate and tenure is available. Fifteen faculty participated in personal interviews, either in-person or via telephone.

Sources of Data

Data was collected in Phase One through surveys distributed using web-based survey software to faculty at three randomly chosen institutions. The survey method was chosen for the amount of data that could be collected and the variety of institutions that could be studied. The survey instrument was field-tested by a panel of scholars and experts in faculty governance from various institutions of higher education, none of which chosen for inclusion in Phase One of the study. These individuals included Dr. Michael T. Miller, Dr. Jack H. Shuster and Dr. John R. Thelin. The instrument was constructed by incorporating questions from Dykes' (1968) study and others identified through a review of previous research on the role of faculty in higher education as well as the panel of experts and scholars. A copy of the survey is included in Appendix A.

Phase Two included in-depth interviews of faculty at a single institution. Conducting interviews informed the results of Phase One. A copy of the qualitative interview guide is included in Appendix B.

Data Collection

The following steps were followed in conducting this study:

1. IRB approval was solicited from the University of Tennessee.
2. Permission was obtained from the selected schools.

3. A list of faculty email addresses was obtained from the schools and from their websites.
4. An introduction email with survey link was sent to each faculty member.
5. One week later, a reminder email will be sent asking to complete the survey.
6. As data was submitted, survey data was inputted into SPSS.
7. Once the deadline had passed, data was preliminarily analyzed.
8. Questions were finalized for qualitative phase of the study.
9. One Institution was contacted for follow-up interviews.
10. Interview data was collected and analyzed.
11. All data was analyzed.

A copy of the informed consent sheet is included in the Appendix C. Submission of the survey constituted informed consent.

Faculty at selected institutions were asked to participate via introduction email with the electronic survey link. A sample of the email can be found in Appendix D. Since responses were anonymous, tracking of non-respondents was not possible. Six days after receiving the initial email, participants received a follow-up reminder email to complete the survey if they had not already done so. Results are reported in aggregate and not by institutional name.

Data Analysis

The Data Analysis section that follows is structured in terms of the research questions.

Qualitative data will be collected and analyzed by themes presented by research question.

Descriptive and inferential statistics were used to analyze the data obtained as outlined in Table

3.3. In order to answer research question one:

1. Do faculty differ today in satisfaction with their role in decision making and their motivation to participate from previous Dykes' study?

Frequencies were calculated for the rank ordered satisfaction and motivation questions. In addition, a chi-square analysis test of independence was used to measure the difference between answers given by respondents in this study and results found for the corresponding questions in Dyke's 1968 study. QDA Miner was used to group themes from qualitative data collected.

To answer research question two:

2. Is there a difference between the perceived ideal and actual role of faculty according to their age, gender, discipline, number of years teaching at the institution, and professorial rank?

An analysis of variance was conducted to compare participants' perceived perception of the ideal role of a faculty member to their perception of the actual role of faculty. This test compares the average difference score between participants' ideal role and their perception of actual and in decision making within five demographic variables to see if there is a significant difference. Additionally, a paired samples t-test was conducted to test the difference between the overall perceived ideal and actual role composite scores across the following areas: academic affairs, personnel matters, financial affairs, capital improvements, and retrenchment. QDA Miner was used to group themes from qualitative data collected.

In order to answer research question three:

3. Is there evidence of a change in the perceptions of faculty regarding their role in institutional decision making, specifically compared to a 1968 study of faculty role by Dykes?

A chi-square analysis test of independence, frequencies, independent samples t-test, and content analysis, including percentages of themes mentioned, were used to provide analysis for perceptions changes from 1968 to today. QDA Miner was used to group themes from qualitative data collected.

Table 3.3 Survey Analysis Matrix

Research Question	Research Question Text	Survey Questions	Analysis
RQ1. & RQ3.	Satisfaction Diff '68 and now	#8, 8a, 9, 10	Frequencies Chi-Square Content Analysis
RQ2.	Ideal v. Actual	#1a, 1b, 2a, 2b, 3a, 3b, 4a, 4b, 5a, 5b	ANOVA Paired Samples T-Test Content Analysis
RQ3.	Diff '68 and now	#6, 7, 11, 11a, 12, 12a, 13, 14, 15, 16, 17, 18	Frequencies Chi-Square Independent Samples T-Test Content Analysis

Diff '68 and now refers to Dykes (1968) and the proposed study

Validity and Reliability

Validity

Cook and Campbell (1979) define validity as the "best available approximation to the truth or falsity of a given inference, proposition or conclusion." To develop construct validity of the quantitative instrument, qualitative procedures were used to generate items, including expert judgment and a review of the literature. To establish content validity the survey was submitted to scholars in the field with publications on faculty role. These individuals, previously identified in this chapter, were asked to evaluate the suitability of the instrument.

Because this study assumes no cause-effect or causal relationships, internal validity was not a concern. Great care was taken in sampling to ensure external validity. A random sample of three institutions, one in three different accreditation regions, constituted the population for this study. The number of institutions along with dispersion across the United States through the accreditation region stratification provided external validity. In addition, multiple emails were sent to selected school faculty to ensure a low dropout rate.

Reliability

The instrument was pilot tested with experts in faculty role from institutions not selected for inclusion in the study. The test group consisted of full-time faculty from the institution. Cronbach's alpha coefficient of reliability was calculated on the non-open ended response questions from number 1 to number 18 to examine internal consistency reliability. The resulting alpha was .931 (n=117). Eight items were identified for deletion resulting in a Cronbach's alpha of .937 (n=109). An additional 32 items were deleted resulting in a Cronbach's alpha of .956 (n=83). The items remaining in the scale were questions 1ab, 2ab, 3ab, 4ab, 5ab, 8, 11, 12, 14, and 18. An alpha of .956 suggests the remaining items have relatively high internal consistency.

Chapter 4

Results

The purpose of this study was to explore faculty perceptions of their ideal and actual governance role within higher education and their satisfaction in those roles. University faculty from three randomly chosen high-research level institutions participated through an electronic survey while faculty at a fourth institution provided qualitative insight into the quantitative results. The data were analyzed using a variety of statistical analysis in order to answer the following research questions guiding this study:

Question 1: Do faculty differ today in satisfaction with their role in decision making and their motivation to participate from previous Dykes' study?

Question 2: Is there a difference between the perceived ideal and actual role of faculty according to their age, gender, discipline, number of years teaching at the institution, and professorial rank?

Question 3: Is there evidence of a change in the perceptions of faculty regarding their role in institutional decision making, specifically compared to a 1968 study of faculty role by Dykes?

The findings of the study are presented in this chapter. Following the demographic description of the participants of the study, the findings are presented in terms of the three research questions.

Demographic Data

Four thousand, one hundred and forty full-time, teaching faculty from three randomly selected institutions were invited to participate in the quantitative portion of this study. Of this population, 395 faculty participated in a majority of the questions in this study for a 9.54% participation rate. According to Patten (2004), the recommended sample size for a population of 4,500 is 354 participants. An additional 15 qualitative interviews were conducted to bring total participation to 410 participants. The survey participants included 243 males (63.45%) and 136 females (35.51%) with four (1.04%) faculty not reporting their gender (Table 4.1). The majority of respondents reported professorial rank of Professor (204; 53.3%), followed by Associate Professor (73, 19.%), then Assistant Professor (70; 18.3%), and finally Other (36; 9.4%). Of those responding other the most common answer was Instructor or Senior Instructor (Table 4.2).

Table 4.1 Gender of Respondents

Gender	N	%
Male	243	63.45
Female	136	35.51
Not Reported	4	1.04
Total	383	100%

Table 4.2 Professorial Rank of Respondents

Rank	N	%
Professor	204	53.3
Associate Professor	73	19.0
Assistant Professor	70	18.3
Other	36	9.4
Total	383	100%

The age of survey respondents (Table 4.3) was grouped around two categories, 51-70 years (227; 59.3%) and 31-50 years (142; 37.1%). The remaining two categories accounted for less than 4% of respondents, 71 and older (12; 3.1%) and 30 or below (2; 0.5%). As seen in Table 4.4, the majority of respondents were Tenured (256; 66.8%), followed by Non-tenure track (65; 17%); and Tenure-track (non-tenured currently) (59; 15.4%). Interestingly three respondents chose ‘My institution does not have tenure’ even though all three selected institutions had tenure options.

Table 4.3 Age of Respondents

Age Range	N	%
71 and older	12	3.1
51-70	227	59.3
31-50	142	37.1
30 or below	2	0.5
Total	383	100%

Table 4.4 Tenure Status of Respondents

Status	N	%
Tenured	256	66.8
Tenure-track (non-tenured currently)	59	15.4
Non-tenure track	65	17.0
My institution does not have tenure	3	0.8
Total	383	100%

As seen in Table 4.5, a wide variety of disciplines are represented including the Other category (39; 10.2%) where the most common answer was medical related disciplines (9; 1.2%). The most common answer overall was Social Sciences (74; 19.3%), followed by Natural Sciences (71; 18.5%), Health Sciences (59; 15.4%), Engineering (42; 11.0%), Humanities (38; 9.9%), Business (18; 4.7%), Fine Arts (13, 3.4%), Education (12; 3.1%), Mathematics (10; 2.6%), and finally Communication (7, 1.8%).

Table 4.5 Discipline of Faculty

Program Area/Discipline	N	%
Business	18	4.7
Communication	7	1.8
Education	12	3.1
Engineering	42	11.0
Fine Arts	13	3.4
Health Sciences	59	15.4
Humanities	38	9.9
Mathematics	10	2.6
Natural Sciences	71	18.5
Social Sciences	74	19.3
Other	39	10.2
Total	383	100%

Table 4.6 Years at Current Institution

Years at Current Institution	N	%
0-2 years	42	11.0
3-5 years	49	12.8
6-10 years	67	17.5
11-20 years	78	20.4
21+ years	147	38.4
Total	383	100%

The final demographic question asked faculty how many years they have been teaching at their current institution and is shown in Table 4.6. The results were skewed towards longevity with almost 40% of faculty serving 21 or more years at their current institution (147; 38.4%), followed by 11-20 years (78; 20.4%), 6-10 years (67; 17.5%), 3-5 years (49; 12.8%); and 0-2 years (42; 11.0%).

Findings

Research Question One

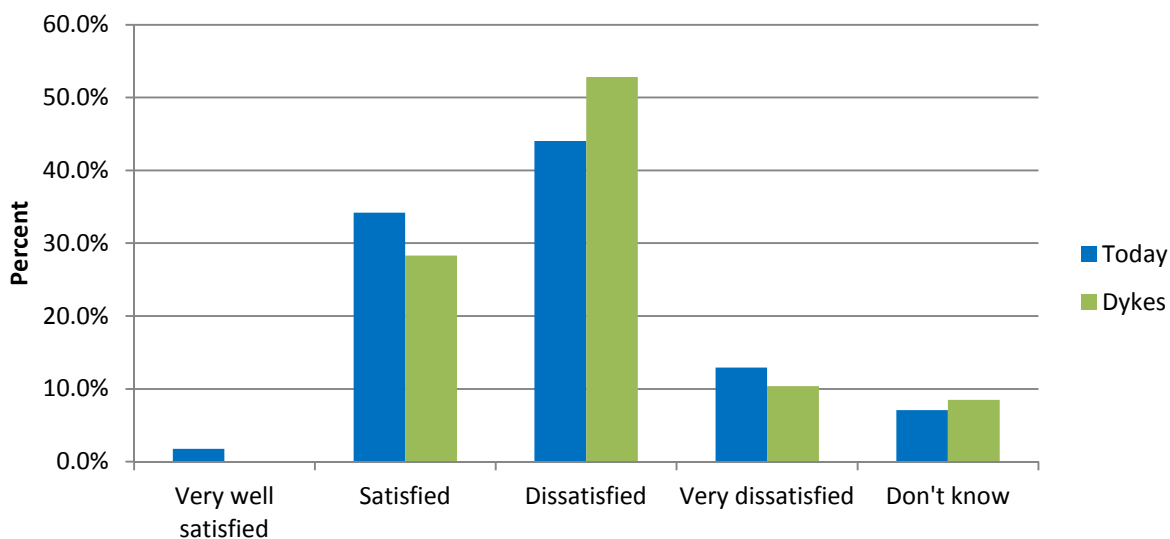
Research Question 1: Do faculty differ today in satisfaction with their role in decision making and their motivation to participate from previous Dykes' study?

A chi-square test of independence was performed to examine the relation between satisfaction of the overall faculty between Dykes and the present survey. The relation between these variables was not significant ($\chi^2(4)=4.81$ $p>.05$). The mean satisfaction score has not significantly changed from Dykes' study (M= 2.00, sd=0.86) to the current study (M=2.11, sd=0.90), indicating only a slight increase in satisfaction from 1968 to today. The median score of both studies remained constant (median=2.0), signifying the respondents Dissatisfied.

Table 4.7 Faculty Assessment of Satisfaction

Response Categories	TODAY		DYKES	
	Frequency	%	Frequency	Percent
Very well satisfied	7	1.8	0	0.0
Satisfied	135	34.2	30	28.0
Dissatisfied	174	44.0	56	53.0
Very dissatisfied	51	12.9	11	10.0
Don't know	28	7.1	9	9.0
Total	395	100.0	106	100.0

$\chi^2(4)=4.81, p>.05$

**Figure 4.1 Faculty Level of Satisfaction in Decision Making**

Additional insight was collected by asking those respondents who marked dissatisfied or very dissatisfied what they thought contributed most to faculty dissatisfaction with respect to decision making on their campus. The majority of respondents who provided feedback cited a top-down decision-making approach by administration as the greatest contributor to faculty

dissatisfaction in the decision making process. Examples from the top-down category include comments such as:

“The administration more or less ignores faculty when making major decisions. The administration mainly views faculty as employees. There is definitely a class divide between faculty and administrators.”

“The lack of consultation from the administration and the overall push to ‘economize’ higher education with no regard for academics and the conditions necessary for actually educating students.”

The latter answer crosses into the corporatization of higher education. The second most cited answer contributing most to faculty dissatisfaction was budget-related problems. A representative example of the sentiments shared includes “Lack of transparency and sharing of financial information so as to enable faculty to participate knowledgeably in the process. In some instances faculty are asked to provide recommendations, but this is not practiced consistently and administrators think that it is their job to manage the money.”

The remaining themes cited are, in order of frequency: Lack of Involvement/Inclusion, Lack of Trust or Respect, Lack of Communication, Issues with Shared Governance, No Voice in Governance, Lack of Transparency, a Corporate Management Mentality by the Administration, Lack of Benefits, No Academic Experience of Administrators, plus twelve additional non-related answers (Figure 4.2).

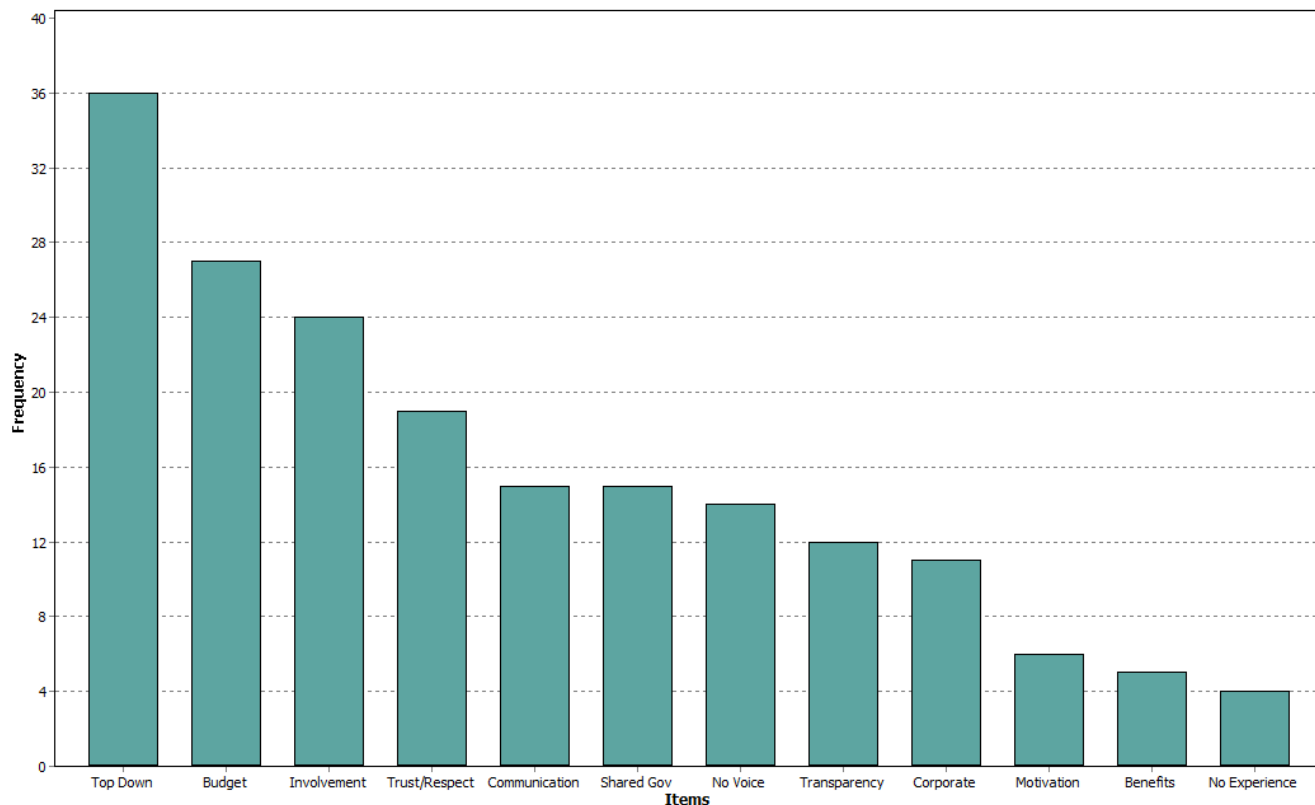


Figure 4.2 Keyword Distribution of Dissatisfaction Reasons

Next, respondents were asked to indicate the extent to which faculty members are motivated to participate in decision making at their institution (Table 4.8). Eleven factors were listed in the current study and ten of the same factors were listed in Dykes' 1968 study. It is interesting to note the change of the top and bottom three factors from Dykes' 1968 study to today's study. Status, recognition, and expectation, all external forces, rose to the top of the list compared to a sense of duty, personal interests, and having a voice, all internal forces, from the previous research.

Table 4.8 Motivation to Participate in Decision Making

Response Categories	DYKES	TODAY
	Rank Order	Rank Order
It gives them status with the faculty.	10	1
It brings them recognition from the administration.	9	2
It is expected of the faculty.	8	3
They like the influence it brings.	5	4
It is a factor in promotions and salary increments.	6	5
Personal enjoyment and sense of accomplishment	7	6
Personal Ambition	No Rank	7
A feeling of responsibility to the institution.	4	8
A sense of personal duty as a member of the academic profession	1	9
It is necessary to protect their interests.	2	10
They want a voice in decisions which affect them.	3	11

Interview Results

The majority of interview participants (ten of the fifteen) were intrinsically motivated to participate, which mirrored Dykes' results more so than the results of the surveyed faculty in this study. They were motivated by their desire to make their institution better for other faculty as well as students. All but two faculty felt they had a duty to participate whether their motivation was intrinsic or extrinsic. When asked further about their extrinsic motivation, one faculty member remarked "If I am asked to participate by our department chair or dean, I will comply. Otherwise I would be taking time away from my research which is what I am paid to do." This faculty member was unmotivated to

participate without mandate or benefit and thus had low levels of participation. Receiving no encouragement from administration, the faculty member did not have an intrinsic feeling of duty to participate as part of her academic duty and role as a faculty member. The remaining four faculty were extrinsically motivated hoping to receive accolades or a promotion as a result.

Satisfaction in decision making amongst the interviewees echoed the survey results. One respondent stated an opinion as to why satisfaction among faculty was generally dissatisfied, “Everybody has their own fiefdom and there is not a lot of interworking. Because of this faculty are unsatisfied with the governance process.” Another respondent echoed the comment stating faculty had a “tribal mentality.” A third respondent stated “Faculty are dissatisfied, but unwilling to put out the effort to change things. This would take time away from research.” A common overall theme from respondents was succinctly stated by a respondent, “I feel that changes in satisfaction and motivation over the years are resultant of the top-down corporate management decision-making approach of administration that has emerged over recent years.”

Research Question Two

Research Question 2: Is there a difference between the perceived ideal and actual role of faculty according to their age, gender, discipline, number of years teaching at the institution, and professorial rank?

A paired samples t-test was conducted to test the difference between the perceived ideal and actual role composite scores across the following areas: academic affairs, personnel matters, financial affairs, capital improvements, and retrenchment. The continuum of answers started with 'Faculty having no role' which was assigned one point to 'Faculty should always determine' which was scored with seven points. The comparative mean scores between the ideal and actual are summarized in Table 4.9 and Figure 4.3. It can be noted that across all areas, the ideal scores significantly higher compared with the actual scores (all t values were statistically significant at $p < .001$). It can also be noted that the largest discrepancy was in the area of retrenchment ($t(396) = 22.61$, $p < .001$) while the least discrepant was in terms of academic affairs ($t(498) = 14.91$, $p < .001$).

Table 4.9 Actual vs. Ideal Composite Scores

Area	Ideal		Actual		N	t	df	Sig
	M	SD	M	SD				
1. Academic affairs	5.54	0.98	4.87	1.09	499	14.91	498	.000*
2. Personnel matters	4.86	1.07	4.04	1.12	452	14.91	451	.000*
3. Financial affairs	3.71	1.00	2.52	1.08	427	20.93	426	.000*
4. Capital improvements	3.47	0.92	2.29	0.88	410	21.56	409	.000*
5. Retrenchment	3.93	1.10	2.32	1.15	397	22.61	396	.000*

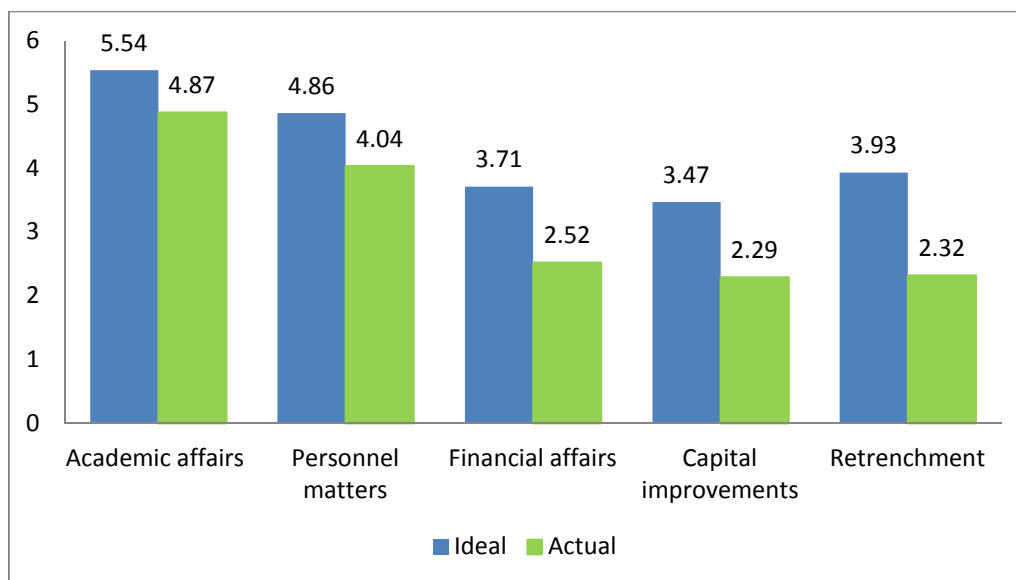


Figure 4.3 Mean Score Comparisons (Ideal vs Actual)

	Faculty has no role	Faculty should not usually be involved	Faculty should recommend to administration but latter should decide	Faculty and administration should determine together	Faculty should determine usually	Faculty should determine almost always	Faculty should determine always
Academic affairs					Actual	Ideal	
Personnel matters				Actual	Ideal		
Financial affairs			Actual	Ideal			
Capital improvements		Actual		Ideal			
Retrenchment		Actual		Ideal			

Figure 4.4 Faculty Role Ideal vs. Actual

For Academic Affairs issues respondents felt faculty ideally should usually or almost always determine as compared to their actual role which was between faculty usually deciding and faculty and administration deciding together. An illustration of the remaining composite scores can be found in Figure 4.4.

To address the main focus of research question number two, an analysis of variance (ANOVA) was conducted across each area and across age, gender, discipline, number of years at the institution, and professional rank. Where it was applicable, Tukey's post hoc tests were conducted. Difference scores (between ideal and actual) were computed and the results were used as the dependent variables in the subsequent analyses.

Age

Tables 4.10 through 4.14 summarize the ANOVA findings for comparing mean differences across four age group categories. Results indicated that there were no significant differences in the calculated ideal-actual difference scores of respondents across the age group categories.

Table 4.10 Academic Affairs Mean Comparisons Across Age Groups

Age	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
30 or below	4.69	0.62	4.50	0.88	0.19	0.27	2		
31-50	5.37	0.90	4.59	1.10	0.78	1.11	142		
51-70	5.71	0.91	5.08	1.01	0.63	0.95	227		
71 and older	5.15	1.10	4.60	0.89	0.54	1.04	12		
Total	5.56	0.93	4.88	1.07	0.68	1.01	383	.96	.41

Table 4.11 Personnel Matters Mean Comparisons Across Age Groups

Age	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
30 or below	4.14	0.00	3.43	1.01	0.71	1.01	2		
31-50	4.77	1.08	3.84	1.12	0.93	1.30	142		
51-70	4.96	1.03	4.12	1.06	0.84	1.10	227		
71 and older	4.77	1.19	3.96	1.09	0.81	1.10	12		
Total	4.88	1.05	4.01	1.09	0.87	1.18	383	.18	.91

Table 4.12 Financial Affairs Mean Comparisons Across Age Groups

Age	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
30 or below	3.50	0.71	2.50	2.12	1.00	1.41	2		
31-50	3.65	1.08	2.37	1.09	1.28	1.20	142		
51-70	3.75	0.91	2.54	1.03	1.21	1.14	227		
71 and older	3.93	1.09	2.75	0.86	1.18	1.07	12		
Total	3.72	0.98	2.49	1.05	1.23	1.16	383	.15	.93

Table 4.13 Capital Improvements Mean Comparisons Across Age Groups

Age	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
30 or below	3.43	0.81	2.78	1.72	0.64	0.91	2		
31-50	3.38	1.03	2.19	0.90	1.18	1.15	142		
51-70	3.52	0.85	2.30	0.85	1.22	1.09	227		
71 and older	4.02	0.94	2.55	0.82	1.48	1.07	12		
Total	3.43	0.81	2.78	1.72	0.64	0.91	2	.44	.73

Table 4.14 Retrenchment Mean Comparisons Across Age Groups

Age	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
30 or below	3.08	1.29	2.50	2.12	0.58	0.82	2		
31-50	3.88	1.11	2.16	1.07	1.72	1.31	142		
51-70	3.96	1.10	2.36	1.17	1.60	1.47	227		
71 and older	3.99	1.11	2.82	1.02	1.17	1.34	12		
Total	3.93	1.10	2.30	1.14	1.63	1.41	383	1.02	.38

Gender

Tables 4.15 through 4.19 summarize the ANOVA findings across gender groups. Results indicated there were no significant differences in the calculated ideal-actual difference scores of respondents across the gender group categories for academic affairs and retrenchment. There was a significant difference across personnel matters ($F=4.91$, $p<.05$), financial affairs ($F=4.78$, $p<.05$), and capital improvements ($F=3.18$, $p<.05$). Upon further examination, Tukey's HSD post-hoc test showed the following relationships within gender between 'other/prefer not to answer' and either 'Female' or 'Male' were significant at the 5% level. For personnel matters the relationship between female and other/prefer not to answer was significant at $p=0.01$, between male and other/prefer not to answer was significant at $p=0.00$. For financial affairs the relationship was significant between female and other/prefer not to answer was significant at $p=0.01$, between male and other/prefer not to answer was significant at $p=0.00$. For capital improvements the relationship was significant between male and other/prefer not to answer was significant at $p=0.04$.

Table 4.15 Academic Affairs Mean Comparisons Across Gender Groups

Gender	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Female	5.43	0.93	4.75	1.05	0.68	0.88	136		
Male	5.63	0.92	4.97	1.05	0.66	1.04	243		
Other/No Answer	5.63	0.42	3.84	1.95	1.78	2.37	4		
Total	5.56	0.927	4.88	1.07	0.68	1.01	383	2.43	.09

Table 4.16 Personnel Matters Mean Comparisons Across Gender Groups

Gender	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Female	4.76	1.03	3.85	1.06	0.91	1.00	136		
Male	4.94	1.06	4.12	1.08	0.82	1.22	243		
Other/No Answer	5.39	1.46	2.75	1.18	2.64	2.51	4		
Total	4.88	1.05	4.01	1.09	0.87	1.18	383	4.91	.01*

Table 4.17 Financial Affairs Mean Comparisons Across Gender Groups

Gender	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Female	3.65	1.08	2.39	1.14	1.26	1.11	136		
Male	3.75	0.90	2.56	0.699	1.19	1.14	243		
Other/No Answer	4.32	2.02	1.36	0.54	2.96	2.46	4		
Total	3.72	0.98	2.48	1.05	1.23	1.16	383	4.78	.01*

Table 4.18 Capital Improvements Mean Comparisons Across Gender Groups

Gender	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Female	3.30	0.90	2.05	0.84	1.25	1.03	136		
Male	3.57	0.89	2.41	0.87	1.17	1.11	243		
Other/No Answer	4.07	2.19	1.54	0.43	2.53	2.51	4		
Total	3.48	0.92	2.27	0.87	1.21	1.11	383	3.18	.04*

Table 4.19 Retrenchment Mean Comparisons Across Gender Groups

Gender	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Female	3.74	1.12	2.09	1.08	1.65	1.24	136		
Male	4.03	1.06	2.44	1.15	1.59	1.47	243		
Other/No Answer	4.46	1.98	1.29	0.58	3.17	2.46	4		
Total	3.93	1.10	2.30	1.14	1.63	1.41	383	2.53	.08

Discipline

Tables 4.20 through 4.24 summarize the ANOVA findings for comparing mean differences across disciplines. Results indicated there was a significant difference in the calculated ideal-actual difference score for academic affairs role perceptions ($F=2.43$, $p<.01$).

Upon further examination, Tukey's HSD post-hoc test showed the following relationships within disciplines and academic affairs between mathematics and engineering, fine arts, or health sciences were significant at the 5% level (0.05, 0.02, and 0.01 respectively). All other group comparisons across different areas and disciplines were not significantly different.

Table 4.20 Academic Affairs Mean Comparisons Across Disciplines

Discipline	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Business	5.59	1.06	4.74	0.96	0.85	1.03	18		
Communication	5.32	1.03	5.05	0.64	0.27	0.52	7		
Education	5.75	0.89	5.19	1.27	0.65	0.95	12		
Engineering	5.72	0.77	5.34	1.01	0.53	0.92	42		
Fine Arts	5.56	0.91	4.77	1.03	0.21	1.05	13		
Health Sciences	5.18	0.98	4.89	1.03	0.41	0.77	59		
Humanities	5.85	0.79	4.89	0.85	0.96	0.88	38		
Mathematics	5.96	0.77	4.30	0.95	1.66	1.23	10		
Natural Sciences	5.76	0.86	5.14	1.03	0.62	0.83	71		
Social Sciences	5.46	0.89	4.75	1.16	0.71	1.18	74		
Other	5.38	1.10	4.44	1.15	0.94	1.25	39		
Total	5.56	0.93	4.88	1.07	0.68	1.01	383	2.61	.00*

Table 4.21 Personnel Matters Mean Comparisons Across Disciplines

Discipline	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Business	4.91	1.25	3.79	0.78	1.12	1.65	18		
Communication	4.39	1.05	3.98	0.78	0.41	0.88	7		
Education	4.88	1.22	4.10	1.52	0.79	0.85	12		
Engineering	4.76	0.93	4.06	1.11	0.70	1.03	42		
Fine Arts	4.75	0.71	4.19	0.97	0.56	0.97	13		
Health Sciences	4.56	1.18	3.92	1.10	0.64	1.04	59		
Humanities	5.20	1.15	4.09	0.99	1.10	1.19	38		
Mathematics	5.20	1.12	3.53	1.19	1.67	2.02	10		
Natural Sciences	5.03	0.83	4.28	1.04	0.74	0.96	71		
Social Sciences	4.97	1.07	4.00	1.19	0.98	1.34	74		
Other	4.77	1.10	3.66	1.01	1.11	1.11	39		
Total	4.88	1.05	4.01	1.09	0.87	1.18	383	1.54	.13

Table 4.22 Financial Affairs Mean Comparisons Across Disciplines

Discipline	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Business	3.13	1.38	1.83	0.78	1.30	1.13	18		
Communication	3.39	1.05	2.63	0.91	0.75	0.78	7		
Education	3.36	1.57	2.51	1.72	0.84	0.81	12		
Engineering	3.64	0.97	2.54	1.12	1.10	1.00	42		
Fine Arts	4.05	0.54	3.12	1.05	0.94	1.03	13		
Health Sciences	3.52	0.89	2.32	1.05	1.20	1.24	59		
Humanities	4.20	0.96	2.56	0.92	1.63	1.21	38		
Mathematics	4.04	1.40	2.56	1.05	1.48	2.09	10		
Natural Sciences	3.73	0.67	2.53	0.94	1.20	0.97	71		
Social Sciences	3.86	1.02	2.66	1.05	1.20	1.31	74		
Other	3.60	0.89	2.22	1.01	1.38	0.98	39		
Total	3.72	0.98	2.48	1.05	1.23	1.16	383	0.99	.46

Table 4.23 Capital Improvements Mean Comparisons Across Disciplines

Discipline	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Business	3.04	1.51	2.09	1.07	0.95	1.12	18		
Communication	3.49	0.60	2.82	0.60	0.67	0.69	7		
Education	3.05	0.90	1.99	0.67	1.06	1.04	12		
Engineering	3.47	0.95	2.53	0.84	0.93	1.13	42		
Fine Arts	3.93	0.66	2.71	0.96	1.22	1.02	13		
Health Sciences	3.33	0.68	2.28	0.90	1.05	0.94	59		
Humanities	3.68	1.03	2.06	0.74	1.62	1.08	38		
Mathematics	4.00	1.41	2.07	0.72	1.93	1.90	10		
Natural Sciences	3.61	0.80	2.38	0.73	1.22	1.03	71		
Social Sciences	3.41	0.93	2.21	0.97	1.20	1.22	74		
Other	3.48	0.84	2.07	0.92	1.41	0.98	39		
Total	3.48	0.92	2.27	0.87	1.21	1.11	383	1.78	.06

Table 4.24 Retrenchment Mean Comparisons Across Disciplines

Discipline	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Business	3.51	1.55	1.93	0.90	1.57	1.48	18		
Communication	3.79	1.43	2.76	0.79	1.02	1.13	7		
Education	3.86	1.04	2.19	1.03	1.67	1.22	12		
Engineering	4.05	0.82	2.57	1.38	1.47	1.50	42		
Fine Arts	3.76	0.81	2.28	1.31	1.47	1.29	13		
Health Sciences	3.52	0.90	2.19	1.05	1.33	1.09	59		
Humanities	4.44	1.25	2.38	1.16	2.06	1.80	38		
Mathematics	4.25	1.18	2.05	0.62	2.20	1.34	10		
Natural Sciences	4.07	0.76	2.27	0.95	1.80	1.25	71		
Social Sciences	3.98	1.27	2.43	1.23	1.55	1.48	74		
Other	3.79	1.22	2.12	1.30	1.67	1.53	39		
Total	3.93	1.10	2.30	1.14	1.63	1.41	383	1.13	.34

Institution Longevity

The ANOVA findings for comparing mean differences across groups for number of years at the institution can be found in Tables 4.25 through 4.29. Results indicated there was a significant difference in the calculated ideal-actual difference score for financial affairs ($F=2.97$, $p<.05$), capital improvements ($F=3.27$, $p=.01$), and retrenchment ($F=4.20$, $p<.001$). Upon further examination, Tukey's HSD post-hoc test showed the following relationships within institutional longevity for financial affairs, capital improvements, and retrenchment was significant at the 5% level. For financial affairs the relationship between 0-2 years and 11-20 years was significant at $p=0.01$. For capital improvements the relationships between 0-2 years/11-20 years and 11-20 years/21+ years was significant at $p=0.02$ and 0.04 respectively.

For retrenchment the relationships between 0-2 years/6-10 years, 0-2 years/11-20 years, and 11-20 years/21+ years were significant at $p=0.04$, $p=0.01$, and $p=0.04$ respectively. Group comparisons across academic affairs and personnel matters were not significantly different.

Table 4.25 Academic Affairs Mean Comparisons Across No. of Years at Institution

Longevity	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
0-2 years	5.09	1.00	4.52	1.12	0.58	0.89	42		
3-5 years	5.13	0.90	4.37	0.83	0.76	1.06	49		
6-10 years	5.62	0.87	4.91	1.01	0.71	1.03	67		
11-20 years	5.70	0.85	4.87	1.14	0.83	1.11	78		
21 + years	5.73	0.90	5.14	1.03	0.59	0.96	147		
Total	5.56	0.93	4.88	1.07	0.68	1.01	383	.90	.46

Table 4.26 Personnel Matters Mean Comparisons Across No. of Years at Institution

Longevity	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
0-2 years	4.65	1.11	3.96	1.07	0.68	1.06	42		
3-5 years	4.65	0.92	3.61	0.93	1.04	1.23	49		
6-10 years	5.02	1.09	4.06	1.19	0.96	1.29	67		
11-20 years	4.90	1.10	3.90	1.14	0.99	1.28	78		
21 + years	4.95	1.03	4.19	1.04	0.76	1.07	147		
Total	4.88	1.05	4.01	1.09	0.87	1.18	383	1.18	.32

Table 4.27 Financial Affairs Mean Comparisons Across No. of Years at Institution

Longevity	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
0-2 years	3.30	1.16	2.50	1.21	0.79	0.92	42		
3-5 years	3.50	0.87	2.20	1.00	1.30	0.86	49		
6-10 years	3.81	1.09	2.49	1.13	1.32	1.25	67		
11-20 years	3.82	0.97	2.31	1.03	1.51	1.32	78		
21 + years	3.82	0.88	2.67	0.97	1.15	1.13	147		
Total	3.72	0.98	2.48	1.05	1.23	1.16	383	2.97	.02*

Table 4.28 Capital Improvements Mean Comparisons Across No. of Years at Institution

Longevity	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
0-2 years	3.34	1.12	2.47	1.01	0.87	0.86	42		
3-5 years	3.34	0.72	2.11	0.86	1.23	0.88	49		
6-10 years	3.38	1.16	2.06	0.83	1.32	1.31	67		
11-20 years	3.62	0.83	2.10	0.74	1.52	1.20	78		
21 + years	3.54	0.84	2.46	0.87	1.08	1.05	147		
Total	3.48	0.92	2.27	0.87	1.21	1.11	383	3.27	.01*

Table 4.29 Retrenchment Mean Comparisons Across No. of Years at Institution

	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Longevity									
0-2 years	3.59	1.20	2.49	1.31	1.10	1.07	42		
3-5 years	3.75	0.82	1.92	0.96	1.83	1.02	49		
6-10 years	3.86	1.30	2.01	0.90	1.85	1.43	67		
11-20 years	4.10	1.00	2.13	1.09	1.97	1.36	78		
21 + years	4.03	1.08	2.60	1.18	1.43	1.55	147		
Total	3.93	1.10	2.30	1.14	1.63	1.41	383	4.20	.00*

Professorial Rank

The ANOVA findings for comparing mean differences across groups for professorial rank can be found in Tables 4.30 through 4.34. Results indicated there was a significant difference in the calculated ideal-actual difference score for personnel matters ($F=3.30$, $p<.05$). Upon further examination, Tukey's HSD post-hoc test showed the following relationships within professorial rank and retrenchment was significant at the 5% level. The relationship between Professor and Associate Professor was significant at $p=0.03$. Group comparisons across the remaining areas were not significantly different.

Table 4.30 Academic Affairs Mean Comparisons Across Professorial Ranks

Rank	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Professor	5.69	0.93	5.11	1.06	0.58	0.95	204		
Associate Professor	5.61	0.93	4.90	1.04	0.71	1.11	73		
Assistant Professor	5.25	0.89	4.47	0.94	0.78	1.04	70		
Other	5.34	0.79	4.32	1.00	1.01	1.02	36		
Total	5.56	0.93	4.88	1.07	0.68	1.01	383	2.22	.09

Table 4.31 Personnel Affairs Mean Comparisons Across Professorial Ranks

Rank	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Professor	4.86	1.04	4.15	1.08	0.71	1.09	204		
Associate Professor	5.02	1.14	4.07	1.17	0.95	1.33	73		
Assistant Professor	4.86	1.01	3.79	1.01	1.08	1.18	70		
Other	4.72	1.06	3.48	0.93	1.23	1.19	36		
Total	4.88	1.05	4.01	1.09	0.87	1.18	383	3.30	.02*

Table 4.32 Financial Affairs Mean Comparisons Across Professorial Ranks

Rank	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Professor	3.70	0.94	2.80	1.01	1.11	1.15	204		
Associate Professor	3.91	1.08	2.43	1.07	1.49	1.20	73		
Assistant Professor	3.53	0.95	2.25	1.14	1.28	1.01	70		
Other	3.78	1.04	2.42	1.02	1.37	1.29	36		
Total	3.72	0.98	2.48	1.05	1.23	1.16	383	2.21	.09

Table 4.33 Capital Improvements Mean Comparisons Across Professorial Ranks

Rank	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Professor	3.47	0.82	2.37	0.84	1.09	1.07	204		
Associate Professor	3.56	1.08	2.17	0.81	1.39	1.24	73		
Assistant Professor	3.36	0.96	2.17	0.94	1.19	0.90	70		
Other	3.63	1.06	2.09	0.96	1.54	1.31	36		
Total	3.48	0.92	2.27	0.87	1.21	1.11	383	2.54	.06

Table 4.34 Retrenchment Mean Comparisons Across Professorial Ranks

Rank	Ideal		Actual		Difference		N	F	p-value
	M	SD	M	SD	M	SD			
Professor	3.97	1.04	2.49	1.17	1.48	1.41	204		
Associate Professor	4.13	1.12	2.14	0.95	2.00	1.47	73		
Assistant Professor	3.70	1.06	2.02	1.14	1.68	1.14	70		
Other	3.73	1.36	2.12	1.13	1.60	1.62	36		
Total	3.93	1.10	2.30	1.14	1.63	1.41	383	2.49	.06

Interview Results

All fifteen faculty interviewed mirrored the results in Figure 4.4. Each person's ideal level of participation in decision making did not align with the actual effort they were willing to or had time to commit. Additionally three faculty members said their level of participation was curtailed by the administrators in their department. One faculty member stated that her actual participation level is determined by her dean and not aligned with her ideal level:

When I interviewed for my faculty position a few years ago, it was then explained to me by the dean that there are three components – teaching, research, and service. If in fact you are an outstanding teacher and have marginal research you will not get tenure. If in fact you have outstanding research and marginal teaching you will get tenure, and that is about where service comes in there. Not even mentioned.

In response to why the level of ideal and actual roles was not the same among the survey respondents, another respondent stated, “Faculty might have formal roles for participant in governance but no real power or influence in cases where they have no real

formal role. This lends itself to the ideal level of participation being higher than the actual role faculty have.”

Research Question Three

Research Question 3: Is there evidence of a change in the perceptions of faculty regarding their role in institutional decision making, specifically compared to a 1968 study of faculty role by Dykes?

Respondents in the current study and in 1968 were asked to select a statement expressing their personal feelings about the faculty’s actual role on their campus and the results. The change in the perceptions is shown in Table 4.35 as the percentage of faculty who felt their involvement and influence was at the appropriate level increased from 1968 to today. The relationship was found to be significant at $p < .01$ through a chi-square analysis ($X^2 (5) = 20.62$).

Respondents were then asked if there were decisions being made on campus for which they thought faculty were being excluded but should have been involved. The results can be found in Table 4.36. There was an increase in the current study in the percentage of faculty who felt they were being excluded from decisions on their campus. The relationship was found to be significant at $p < .01$ through a chi-square analysis ($X^2 (2) = 24.08$).

Table 4.35 A Question on Actual Roles

Response Categories	DYKES		TODAY	
	Frequency	%	Frequency	%
The faculty is involved too much in decision making; considering other responsibilities there is altogether too much demand on faculty members.	2	2%	14	4%
The degree of faculty involvement and faculty influence on decisions is just about right.	2	2%	61	15%
The faculty's role is not what it should be ideally, but it is about what one can realistically expect.	47	44%	142	36%
The faculty has too little influence on decisions; more of the decision-making power should rest with the faculty	54	51%	158	40%
The faculty are involved in the right kind of decision making.	N/A	N/A	12	3%
Don't know or no answer.	1	1%	8	2%
Total	106	100	395	100

$X^2(5) = 20.62, p < .01^*$

Table 4.36 Lack of Faculty Input in Decisions

Response Categories	DYKES		TODAY	
	Frequency	%	Frequency	%
Yes	43	41	236	60
No	13	12	68	17
Don't Know	50	47	91	23
Total	106	100	395	100

$X^2(2) = 24.08, p < .01^*$

Table 4.37 Faculty Varying Participation in Decisions

Response Categories	DYKES		TODAY	
	Frequency	%	Frequency	%
Yes	92	87	371	95
No	0	0	8	2
Don't Know	14	13	12	3
Total	106	100	391	100

$\chi^2(2) = 19.14, p < .01^*$

Faculty were asked if some faculty member participating in decisions more than others and the results can be found in Table 4.37. The results from 1968 to today were in line with a slight percentage change of more faculty answering yes they felt some participated more than others and fewer answering 'don't know.' The relationship was found to be significant at $p < .01$ through a chi-square analysis ($\chi^2(2) = 19.14$).

A follow-up question was asked of faculty who had previously answered some faculty participated more appreciably than others, asking respondents to give a general example of those who participated more. The responses were thematically analyzed utilizing QDA Miner and several themes emerged. The most commonly cited answer was that more established faculty tended to participate more followed by faculty who were just more interested. The overall theme was faculty who were more committed to the institution (sense of responsibility, sense of duty, those who care about the institution, and were civic or community minded) participated more. Faculty who were ambitious, self-interested, had bigger egos, or politically minded participated

were cited as participating more as well. Additional, lower ranked participation themes included faculty who felt research or teaching was not as important, tenured faculty, and union members.

A question was asked to highlight whether junior faculty were at a disadvantage in decision making and the results can be found in Table 4.38. There was a substantial increase in the percentage of current faculty who thought all members of the full-time faculty had equal opportunity to participate in decision making. The relationship was found to be significant at $p < .01$, with a chi-square analysis ($X^2(2) = 35.24$).

Table 4.38 Decision Making Equality Among Faculty

Response Categories	DYKES		TODAY	
	Frequency	%	Frequency	%
Yes	11	10	156	40
No	84	79	211	54
Don't Know	11	11	24	6
Total	106		391	

$X^2(2) = 35.24, p < .01^*$

Table 4.39 How Free is the Faculty

Response Categories	DYKES		TODAY	
	Frequency	%	Frequency	%
Completely Free	16	15	83	21
Fairly Free	55	52	190	49
Not Very Free	27	25	81	21
Not Free At All	4	4	29	7
Prefer Not to Answer/No Answer	4	4	6	2
Total	106		389	

$X^2(4) = 6.35, p = .17$

Faculty were asked how free they felt to take positions on important issues contrary to the administration. The answers between 1968 and today were in line with only a slight percentage increase in the number of faculty who felt completely free and the number of faculty who did not feel free at all. The results can be found in Table 4.39. The relationship was found to not be significant at $p = .17$ through a chi-square analysis ($X^2(4) = 6.35$).

A follow-up question was asked for elaboration on how free faculty felt to take contrary positions to the administration on important issues. There was a clear dichotomy in the responses, as it was clear one campus' faculty felt there were no issues with faculty taking a contrary position to the administration. The other respondents cited retaliation or retribution as the biggest issue in providing viewpoints different from the administration.

Next, faculty were asked if they thought certain factors have adversely affected faculty participation in decision making. The results can be found in Table 4.40. The composite score

for the current faculty was calculated by weighting the responses received within the four decision categories of strongly affects, somewhat affects, slightly affects, and no affect. The question of emphasis on research and graduate education was combined in Dykes' study but looked at separately in the current study causing it to have a ranking of both one and six.

Table 4.40 Institutional Impediments to Faculty Participation

Response Categories	DYKES		TODAY	
	Composite Score	Rank Order	Composite Score	Rank Order
Growth in size and complexity of the university	80.8	1	74.0	3
Growing orientation of faculty members to their disciplines as opposed to orientation to their institution	69.2	2	69.5	4
Increasing emphasis on research and graduate education	67.3	3	79.8/59.0	1/6
Increasing numbers of administrators	48.0	4	77.5	2
Increasing relations of faculty members with government agencies, industry and foundations	30.7	5	46.8	7
Greater control over university affairs from outside the university	21.1	6	66.0	5

A one-sample t-test was conducted on the data collected in the current study. All t values were significant at $p < .000$ therefore we can say that respondents in the current study felt all seven items had some affect as institutional impediments (Table 4.41).

Table 4.41 Current Study Institutional Impediments

Response Categories	M	SD	Median	t	p-value
Growth in size and complexity of the university	3.01	.84	3.00	47.22	.000*
Growing orientation of faculty members to their disciplines as opposed to orientation to their institution	2.88	.89	3.00	41.19	.000*
Increasing emphasis on research	3.25	.89	3.00	49.58	.000*
Increasing emphasis on graduate education	3.54	.97	3.00	31.11	.000*
Increasing numbers of administrators	3.21	.98	4.00	44.05	.000*
Increasing relations of faculty members with government agencies, industry and foundations	2.17	.95	2.00	24.05	.000*
Greater control over university affairs from outside the university	2.76	.98	3.00	35.05	.000*

Faculty were asked how useful certain opportunities were for providing meaningful participation in decision making. The composite score for the current faculty was calculated by weighting the responses received within the four decision categories of very useful, useful, somewhat useful, and of little or no use. In the current study standing faculty committees rose above departmental staff meetings and ad hoc faculty committees as a more useful participatory device. The results can be found in Table 4.42.

Table 4.42 Usefulness of Participatory Devices

Response Categories	DYKES		TODAY	
	Composite Score	Rank Order	Composite Score	Rank Order
Departmental staff meetings	73.0	1	66.8	2
Ad hoc faculty committees	53.9	2	66.3	3
Standing faculty committees	51.9	3	70.8	1
The Faculty Senate	46.1	4	62.3	4
The Local Chapter of the AAUP	36.5	5	35.0	5

A one-sample t-test was conducted on the data collected in the current study. All t values were significant at $p < .000$ therefore we can say that respondents in the current study felt all five participatory devices were of some use with most be 'useful' and the local chapter of the AAUP being 'somewhat useful' (Table 4.43).

Table 4.43 Current Study Usefulness of Participatory Devices

Response Categories	M	SD	Median	t	p-value
Departmental staff meetings	2.79	1.03	3.00	34.06	.000*
Ad hoc faculty committees	2.73	.90	3.00	37.55	.000*
Standing faculty committees	2.87	.85	3.00	43.20	.000*
The Faculty Senate	2.62	.96	3.00	33.06	.000*
The Local Chapter of the AAUP	1.85	.96	2.00	17.46	.000*

Respondents were asked to select statements about faculty committees with which they agreed. The same list was presented to faculty in 1968 and in the current study and the results can be found in Table 4.44, showing the percentage of respondents who agreed with each statement. The top ranked answer in both 1968 and today with which the most individuals agreed was that committee membership seemed to come from a small group of faculty members. Respondents' opinions of committee influence declined between the two studies and current respondents thinking committee makeup included campus politicians and that committees were quite representative moved higher than influence.

Table 4.44 A Question on Faculty Committees

Response Categories	DYKES		TODAY	
	% of Respondents who Agree	Rank Order	% of Respondents who Agree	Rank Order
Committee membership always seems to come from a relatively small group of faculty members.	66%	1	63.7%	1
Committees have considerable influence on decisions.	54%	2	32.9%	4
The campus “politicians” tend to be on the Committees.	46%	3	49.6%	2
Committees are generally quite representative of the faculty.	40%	4	38.6%	3
The more able members of the faculty tend to be on the Committees.	31%	5	18.8%	7
Committees are more conservative than the faculty generally.	21%	6	16.2%	8
Committees are closer to the administration than to the faculty.	17%	7	23.2%	6
Committees are more liberal than the faculty generally.	15%	8	7.6%	9
Committees have little influence on decisions.	10%	9	25.6%	5

Interview Results

There was uniformity in answers among the interviewed faculty with regards to changing perceptions of decision making involvement over the past 20 years. All agreed that the workload of the faculty has increased over the years to include classroom teaching,

research, student mentoring, supervision and training at both the graduate and undergraduate level, and external and internal service. With this laundry list of items, most faculty stop short of the last item – internal service. However they agreed that leaving university service in the hands of the administration was a “bad idea,” resulting in a dilemma they could not resolve.

A second theme was the corporatization of universities which in some respondents opinion, lessens the role of faculty in governance. It was viewed that decisions were made on the basis of return-on-investment and thus faculty did not feel as empowered as they were 20 years ago to be involved in the decision making of the institution. Also the growing number of staff members in the past decade as compared to faculty members has lessened the input of faculty in some respondents’ opinions. As the number of middle managers and “vice-whatevers” grow, “this marginalizes the role of the faculty and reduces the opportunity for input. The addition of staff requires funding which detracts from other opportunities which may be important in the view of the faculty.”

Chapter 5

Conclusions

Faculty participation in the governance of institutions of higher education is a critical element in the decision and shared authority structure for American universities. This expectation and willingness to participate has been affected by contemporary factors such as accountability, shifting priorities among teaching, service, and research, corporatization, and retrenchment. Comparing faculty perceptions between Dykes' 1968 study and faculty today is important for determining if there has been a change in faculty's view of their role.

The purpose of this study was to explore faculty perceptions of their ideal and actual governance role within higher education and their satisfaction in those roles. Faculty at three research level institutions completed an electronic survey while faculty at a fourth institution provided insights to the results. The data was analyzed using a variety of analytical procedures including descriptive statistics, chi-square, t-tests, and multi-factor analysis of variance in order to answer the research questions guiding this study:

1. Do faculty differ today in satisfaction with their role in decision making and their motivation to participate from previous Dykes' study?
2. Is there a difference between the perceived ideal and actual role of faculty according to their age, gender, discipline, number of years teaching at the institution, and professorial rank?
3. Is there evidence of a change in the perceptions of faculty regarding their role in institutional decision making, specifically compared to the 1968 study of faculty role by Dykes?

Following is a summary of the findings, discussion of the findings, conclusions, implications of the study, and recommendations for further research which are presented in this chapter.

Summary of Findings

1. Faculty today do not differ significantly in satisfaction with their role in decision making as compared to faculty surveyed in 1968. The findings suggest satisfaction among faculty with their governance role has not generally changed since 1968 as seen in the mean difference score from Dykes' study ($M=2.00$, $sd=0.86$) to the current study ($M=2.11$, $sd=0.90$). The median score of both studies remained constant (median=2.0), signifying the respondents were 'Dissatisfied'.
2. Faculty motivations to participate in decision making have changed from predominantly intrinsic reasons to extrinsic reasons.
3. Across all five areas of faculty role in decision making, the mean ideal involvement scores were significantly higher than the mean actual involvement scores with retrenchment decisions having the largest discrepancy. All t values were statistically significant at $p<.001$. No one variable was statistically significant across all demographic variable categories: age, gender, discipline, number of years teaching at the institution, and professorial rank.
4. Mean differences between ideal role suggest there is a difference between faculty perceptions in 1968 and today. In addition questions regarding faculty involvement were statistically significant from 1968 to today.

Discussion

The study was undertaken to explore faculty perceptions of their governance role and their satisfaction in those roles and compare those results to a 1968 study on faculty role. As has been discussed earlier in this study, there has been conflict among faculty and administrators with regards to a model of governance (Dykes, 1968; Floyd, 1985; Matorana & Kuhns, 1975; Millett, 1969; Riley & Baldrige, 1977; Schuster & Finkelstein, 2006; and Schuster et al., 1994). Prior research did not include an investigation of contemporary factors such as corporatization of higher education, retrenchment, accountability, and the intensified research focus of faculty and institutions (Ashar and Shapiro, 1990; Boyer Commission, 1998; Eckel, 2006; Eckel, 2000; Gates, 1997; Gumport, 1993; Kerlin and Dunlap, 1993; Lenington, 1996; Massy and Zemsky, 1994; Slaughter, 1993; Wilson, 1999). This study fills the gap in the research and literature while providing evidence of a gap in the actual and ideal roles of faculty in today's academic environment.

With few previous studies on faculty satisfaction, it is interesting to find in this study satisfaction among faculty with their governance role has not generally increased or decreased since Dykes' study in 1968. Faculty continue to be dissatisfied with their role in governance. The mean satisfaction score of the faculty from Dykes' study to the current study remained constant. Correcting for outliers, the median satisfaction score of today's faculty is still closer to an average of 'dissatisfied' than it is satisfied (median = 2.00). The responses from the survey and the qualitative interviews found faculty were dissatisfied because of a number of factors. These factors included top-down decision-making approaches by administration, the corporatization of higher education, budget-related problems, lack of communication, and a lack of trust. Faculty

motivation for participation has changed since 1968, moving from intrinsic factors such as a sense of duty or interest to today's factors of status, recognition, or expectation.

Across all five areas of faculty role in decision making, the mean ideal involvement scores were significantly higher than the mean actual involvement scores with retrenchment decisions having the largest discrepancy. There were no significant differences among respondents when grouped by age but the remaining demographic variables each had some elements that were significant while others did not. Within gender, there was a significant difference between the ideal and actual role in personnel matters, financial affairs, and capital improvements. Within discipline, there was a significant difference in academic affairs. Within years of service, there was a significant difference in financial affairs, capital improvements, and retrenchment. Within professional rank there was a significant difference in personnel matters.

The desire to have more involvement in decisions could stem from a variety of sources. First, the impact of contemporary factors on governance has limited the faculty's ability but not desire to participate. As economic problems, decreasing budgets, and calls for accountability increase, administrators have gained more decision making power (Altbach et al., 2005). The demands on a faculty member of increased accountability and increased research productivity in an atmosphere of decreasing budgets and increased bureaucracy has left little time for involvement in decision making. As individual faculty members are no longer able to participate in the shared governance process, the overall voice of the faculty begins to deteriorate and the contemporary factors take an even greater stronghold. The faculty's actual role declines as administrations grow and decision timelines decrease. The second reason could be attributed to the 'grass is always greener' effect. It seems to be human nature to want what we do not have. The ideal is much higher than what one is actually willing to commit. When asked if faculty should be consulted on

every decision the answer would be yes, but in actuality it is not the best use of a universities time or resources and the faculty know that. The desired level to be involved may not be the ideal level of involvement.

The findings of this study of faculty's ideal role in decisions were in line with those found in Dykes' study as seen in the results section. The question of retrenchment was new to the current study. Faculty today felt they should be more included in decisions of financial affairs. Insight into this came from survey answers and qualitative interviews were respondents felt faculty were not included as much as they should be in financial decisions that result in departmental cuts or program termination. Across all five areas of faculty role in decision making, the ideal involvement scores were significantly higher than the actual involvement scores with retrenchment decisions having the largest discrepancy. All t values were statistically significant at $p < .001$.

A renewed interest in governance participation has been seen over the years, as evidenced in the current literature, due to several contemporary factors: retrenchment, corporatization of higher education, accountability, and the intensified research focus of faculty and institutions (Ashar and Shapiro, 1990; Boyer Commission, 1998; Eckel, 2006; Eckel, 2000; Gates, 1997; Gumpert, 1993; Kerlin and Dunlap, 1993; Kezar and Eckel, 2004; Lenington, 1996; Massy and Zemsky, 1994; Slaughter, 1993; Wilson, 1999). These contemporary factors can be seen in the findings of this study and highlight the impact these factors have had on faculty role. Outside of anecdotal comments, there is no evidence these factors have impacted the results. There was a definite change in what faculty saw as institutional impediments to their participation in governance. The increasing emphasis on research was the leading answer on the impediments to faculty participation. The second and third highest answers can be defined as part of the corporatization of higher education: the growth in the number of administrators and the growth

in the size and complexity of the university. Also supporting this was the response to adverse factors to faculty participation with the top answer being it takes too much time from research. These findings corroborate the influence of contemporary factors on faculty participation in higher education governance. Also faculty in the current study showed an increase in believing there were individuals on their campus being excluded from decisions.

Conclusions

Based on the findings of this study, faculty are dissatisfied with their role in institutional governance. It is reasonable to conclude that the desire for faculty to take an active role in institutional governance is present. Institutions should take a stronger role in providing engagement opportunities for faculty amidst the contemporary factors of retrenchment, corporatization, accountability, and the intensified research focus. An effort should be made by administrations on individual campuses to recognize that American higher education was founded on shared governance and therefore should work with faculty to set clear guidelines on what decisions would be made in consultation and which would be made unilaterally. The barriers to participation continue to be strong and include most prominently an increasing focus on research and the corporatization of higher education. Faculty cited the top three institutional impediments to participating in shared governance as increasing emphasis on research, increasing administrator numbers, and growth in the size and complexity of the university.

Amidst tightening budgets and state allocation cutbacks, retrenchment decisions should be made in consultation with the faculty and not behind closed administration doors. With regards to retrenchment, surveyed faculty felt strongly they should work with administrators to make decisions together. Retrenchment is an area of decision making where decisions are made within the administration of schools adopting a more corporate model of governance.

Implications of the Study

While findings of this study are limited to the public, research-level universities studied, implications can be seen across all faculty in higher education. A surprising finding was satisfaction among faculty has not increased since 1968. Whether the continued dissatisfaction is now related to the four contemporary factors is a topic for future study. We do know as faculty are excluded from decisions or become fearful of participation the shared governance model which is the foundation of America higher education will be compromised. Faculty felt decision making was not equal among the faculty. The change in motivators from intrinsic factors in 1968 to external factors in the current study should be a cause of concern for administrators. Faculty are no longer intrinsically motivated to better their institution through service unless compensated to do so. As faculty members retire, this can have future implications as to the longevity of the shared governance model. As new faculty enter the field, institutions should encourage participation in governance and service as equally as promoting research and teaching. The possibility of including service as a criterion for tenure equal to the consideration for research may help to encourage more faculty to take an active role in the shared governance of their institution. For the shared governance model of American higher education to continue faculty and administrators must both continue to support it.

Implications for Practice

The following is proposed for implementing increased faculty participation in institutional governance within public research level institutions of higher education.

1. **Weighting of Service in Tenure Decisions**

Currently, participation in service-related activities is included in tenure forms but informally may be weighted low in the decision making process. To counter this unwritten

practice, a minimal level of institutional service should be required in tenure and post-tenure faculty reviews. Each institution would be responsible for setting the minimum level of participation in discussion with faculty and administration. Institutional administration, from department heads to provosts, should have the same high expectations of service as they currently have for research and scholarship activities.

2. Strengthening of the Faculty Senate

Institutions should provide support for participation in the Faculty Senate, including possible release-time for faculty serving in leadership roles. Due to instituting a minimum service requirement through the implementation of recommendation one, a natural strengthening of the Senate will also occur. The Faculty Senate should also proactively seek out discussion topics and share the outcomes of their meetings with their colleagues. Providing a meaningful reason for participation and attendance will attract younger faculty.

3. Inclusion in Visioning and Planning Activities

Despite the increasing numbers of administrators who take on additional tasks previously relegated to the faculty, faculty should continue to be included in strategic planning and future visioning activities not only for their departments, but for the university as a whole. Administrations should strive to provide mechanisms allowing for increased faculty participation in providing ideas and feedback, including the implementation of a campus-wide planning day and electronic surveys for gathering feedback. Campus administrators could use quick polls to gather instant feedback for decisions on pressing topics.

Recommendations for Further Research

Based on the findings of this study several follow-up studies are recommended and include:

1. Investigating concrete opportunities for faculty and administrative collaboration within each of the four contemporary factors.
2. Replicating this study at private, high research level institutions.
3. Replicating this study at Master's level institutions or institutions without tenure.
4. Conducting a study on how the four contemporary factors outlined in this study directly impact faculty role.
5. Conducting a study based on an individual's level of participation (high, medium, low) and classification of the results accordingly.

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APPENDICES

Appendix A

Faculty Participation in Institutional Decision Making Survey

The Role of Faculty in Governance This dissertation study is to understand the role of faculty in governance decisions at your institution. The purpose of this study is to explore faculty perceptions of their ideal and actual role within higher education governance and their satisfaction in those roles. Any information obtained from this study will be used for reporting purposes in aggregate form only. No reference will be made in oral or written reports which could link participants to the study. Your participation in this study is voluntary. Submission of this survey constitutes informed consent. For the purpose of this survey, the following definitions are provided for reference: Administration: Full time employees of a college or university whose primary tasks involve the management and operation of a division or the institution as a whole. Although an administrator may teach one or two classes, teaching is not their primary purpose of employment. Retrenchment: Reorganization or reductions in times of financial crises including, but not limited to, programmatic cuts, departmental cuts, faculty cuts, and rescission of benefits or tenure.

I am a full-time faculty member at an institution of higher education.

- Yes
- No

1a. Ideally, what SHOULD BE the faculty's role in the academic affairs area of institutional decision making?

	Faculty has no role	Faculty should not usually be involved	Faculty should recommend to administration but latter should decide	Faculty and administration should determine together	Faculty should determine usually	Faculty should determine almost always	Faculty should determine always
Determining degree programs							
Providing curriculum development							

Adopting general instructional policies (methodology, syllabi)							
Setting institutional grading policy							
Establishing guidelines for selecting texts							
Determining admissions requirements							
Determining academic standards							
Developing new student degree programs							

1b. Please indicate your perception of faculty's PRESENT (actual) role at your institution within the academic affairs area of institutional decision making.

	Faculty has no role	Faculty should not usually be involved	Faculty should recommend to administration but latter should decide	Faculty and administration should determine together	Faculty should determine usually	Faculty should determine almost always	Faculty should determine always
Determining degree programs							
Providing curriculum development							
Adopting general instructional policies (methodology, syllabi)							
Setting institutional grading policy							
Establishing guidelines for selecting texts							
Determining admissions requirements							
Determining academic							

standards							
Developing new student degree programs							

2a. Ideally, what SHOULD BE the faculty's role in the personnel matters area of institutional decision making?

	Faculty has no role	Faculty should not usually be involved	Faculty should recommend to administration but latter should decide	Faculty and administration should determine together	Faculty should determine usually	Faculty should determine almost always	Faculty should determine always
Establishing specifications and procedures for selecting faculty							
Formulating faculty development plans							
Setting guidelines for determining faculty workload							
Establishing a faculty promotion policy							
Formulating faculty criteria and procedures							
Adopting faculty grievance procedures							
Awarding of Tenure							

2b. Please indicate your perception of faculty's PRESENT (actual) role at your institution within the personnel matters area of institutional decision making.

	Faculty has no role	Faculty should not usually be involved	Faculty should recommend to administration but latter should decide	Faculty and administration should determine together	Faculty should determine usually	Faculty should determine almost always	Faculty should determine always
Establishing specifications and procedures for selecting faculty							
Formulating faculty development plans							
Setting guidelines for determining faculty workload							
Establishing a faculty promotion policy							
Formulating faculty criteria and procedures							
Adopting faculty grievance procedures							
Awarding of Tenure							

3a. Ideally, what SHOULD BE the faculty's role in the financial affairs area of institutional decision making?

	Faculty has no role	Faculty should not usually be involved	Faculty should recommend to administration but latter should decide	Faculty and administration should determine together	Faculty should determine usually	Faculty should determine almost always	Faculty should determine always
Translating program needs into the budget							
Developing short-range budgets (1-3 years)							
Determining long-range budgets							
Developing faculty salary schedule							
Establishing schedule of benefits							
Determining internal departmental allocations							
Establishing guidelines for revisiting the budget after adoption							

3b. Please indicate your perception of faculty's PRESENT(actual) role at your institution within the financial affairs area of institutional decision making.

	Faculty has no role	Faculty should not usually be involved	Faculty should recommend to administration but latter should decide	Faculty and administration should determine together	Faculty should determine usually	Faculty should determine almost always	Faculty should determine always
Translating program needs into the budget							
Developing short-range budgets (1-3 years)							
Determining long-range budgets							
Developing faculty salary schedule							
Establishing schedule of benefits							
Determining internal departmental allocations							
Establishing guidelines for revisiting the budget after adoption							

4a. Ideally, what SHOULD BE the faculty's role in the capital improvements area of institutional decision making?

	Faculty has no role	Faculty should not usually be involved	Faculty should recommend to administration but latter should decide	Faculty and administration should determine together	Faculty should determine usually	Faculty should determine almost always	Faculty should determine always
Developing a master building plan							

Determining adequacy of present institutional facilities							
Determining the adequacy of present instructional equipment							
Determining the feasibility of renovation or replacement of substandard facilities							
Planning for a new instructional facility							
Planning for the aesthetic beauty of campus grounds							
Establishing building maintenance standards							

4b. Please indicate your perception of faculty's PRESENT (actual) role at your institution within the capital improvements area of institutional decision making.

	Faculty has no role	Faculty should not usually be involved	Faculty should recommend to administration but latter should decide	Faculty and administration should determine together	Faculty should determine usually	Faculty should determine almost always	Faculty should determine always
Developing a master building plan							
Determining adequacy of present institutional facilities							
Determining the adequacy of present instructional equipment							
Determining the feasibility of renovation or replacement of substandard facilities							
Planning for a new instructional facility							
Planning for the aesthetic beauty of campus grounds							
Establishing building maintenance standards							

5a. Ideally, what SHOULD BE the faculty's role in the retrenchment area of institutional decision making? (Retrenchment is defined as the reorganization or reductions in times of financial crises including, but not limited to, programmatic cuts, departmental cuts, faculty cuts, and rescission of benefits or tenure.)

	Faculty has no role	Faculty should not usually be involved	Faculty should recommend to administration but latter should decide	Faculty and administration should determine together	Faculty should determine usually	Faculty should determine almost always	Faculty should determine always
Determining overall							

benefits reductions or cuts							
Determining overall benefits reductions or cuts							
Identifying academic departments to eliminate							
Determining reductions in departmental budgets							
Identifying student degree programs to eliminate							
Identifying faculty to eliminate							
Participation in overall retrenchment decisions							

5b. Please indicate your perception of faculty's PRESENT (actual) role at your institution within the retrenchment area of institutional decision making.

	Faculty has no role	Faculty should not usually be involved	Faculty should recommend to administration but latter should decide	Faculty and administration should determine together	Faculty should determine usually	Faculty should determine almost always	Faculty should determine always
Determining overall benefits reductions or cuts							
Determining overall benefits reductions or cuts							
Identifying academic departments to eliminate							
Determining reductions in departmental budgets							
Identifying student degree programs to eliminate							
Identifying faculty to eliminate							
Participation in overall retrenchment decisions							

6. Which of the statements below best expresses your personal feelings about the faculty's ACTUAL ROLE on your campus?

- The faculty is involved too much in decision making; considering other responsibilities there is altogether too much demand on faculty members.
- The degree of faculty involvement and faculty influence on decisions is just about right.
- The faculty's role is not what it should be ideally, but it is about what one can realistically expect.
- The faculty has too little influence on decisions; more of the decision-making power should rest with the faculty.
- Don't know or no answer.
- The faculty are involved in the right kind of decision making.

7. Are there presently decisions being made on your campus from which the faculty is excluded but in which the faculty, in your opinion, should be involved?

- Yes
- No
- Don't Know

8. Speaking generally, what would you say is the faculty level of satisfaction with its role in decision making?

- Very well satisfied
- Satisfied
- Dissatisfied
- Very dissatisfied
- Don't Know

8a. In your opinion, what contributes most to faculty dissatisfaction with respect to decision making on your campus?

9. What would you say YOUR level of satisfaction is with your role in institutional decision making?

- Very well satisfied
- Satisfied
- Dissatisfied
- Very dissatisfied
- Don't Know

10. Based on YOUR PERSONAL OBSERVATIONS, indicate the extent to which faculty members are motivated to participate in decision making at your institution?

	Heavy Motivation	Some Motivation	Little Motivation	Very Little Motivation	No Motivation
A sense of personal duty as a member of the academic profession.					
It is necessary to protect their interests.					
They want a voice in decisions which affect them.					
A feeling of responsibility to the institution.					
They like the influence it brings.					
It is a factor in promotions and salary increments.					

Personal enjoyment and sense of accomplishment.					
It is expected of the faculty.					
It brings them recognition from the administration.					
It gives them status with the faculty.					
Personal Ambition					

11. In your opinion, do some faculty members participate in decision making appreciably more than others?

- Yes
- No
- Don't Know

11a. If yes, generally speaking who are they and why do you think they participate more (specific names are not sought here)?

12. Based on your observations, would you say all members of the full-time faculty have equal opportunity to participate in decision making?

- Yes
- No
- Don't Know

12a. Who would you say has an unequal opportunity to participate in decision making?

- Junior Faculty
- Non-tenured faculty
- Tenured Faculty
- Other :

13. Speaking of faculty members generally, indicate the extent to which you feel the following factors adversely affect faculty participation in decision making.

	Strongly affects	Somewhat affects	Slightly Affects	No Affect
Takes time from research				
Too much time is spent on inconsequential matters				
Indifference of faculty members				
Procrastination in decision making				
Takes time from teaching or teaching preparation				
Absence from campus (professional meetings, consulting, etc...)				

Faculty ideas and opinions are not really valued.				
Insufficient reward for significant faculty involvement (compensation, promotion eligibility, etc...)				

14. How free do you think faculty members feel to take positions on important issues which are contrary to those of the administration?

- Completely Free
- Fairly Free
- Not Very Free
- Not Free At All
- Prefer Not to Answer/No Answer

15. Please elaborate on why you believe the faculty does or does not feel free to take positions on important issues which are contrary to those of the administration.

16. In recent years, some people have contended that such developments as those listed below have contributed to a decline in faculty participation in institutional affairs. Would you indicate the extent to which you think each development has affected adversely faculty participation in decision making?

	Strongly affects	Somewhat affects	Slightly Affects	No Affect
Growth in size and complexity of the university				
Growing orientation of faculty members to their disciplines as opposed to orientation to their institution				
Increasing emphasis on research				
Increasing emphasis on graduate education				
Increasing numbers of administrators				
Increasing relations of faculty members with government agencies, industry, and foundations				
Greater control over university affairs from outside the university				

17. In your opinion, how useful is each of the following in providing opportunity for meaningful faculty participation in decision making?

	Very Useful	Useful	Somewhat	Of Little
--	--------------------	---------------	-----------------	------------------

			Useful	or No Use
Departmental Staff Meetings				
Ad hoc faculty committees				
Standing faculty committees				
The Faculty Senate				
The Local Chapter of the AAUP				

18. In a university of this size, much faculty participation in decision making must be accomplished through faculty committees. Would you give some indication of your feelings about these committees by checking the statements below with which you agree?

- Committees are generally quite representative of the faculty.
- Committees are more conservative than the faculty generally.
- Committees are more liberal than the faculty generally.
- Committees are closer to the administration than to the faculty.
- Committee membership always seems to come from a relatively small group of faculty members.
- The more able members of the faculty tend to be on the Committees.
- The campus “politicians” tend to be on the Committees.
- Committees have considerable influence on decisions.
- Committees have little influence on decisions.

19. Compared to, ten years ago, the degree of faculty influence in campus decision making generally has

- Increased significantly
- Increased somewhat
- Remained about the same
- Decreased somewhat
- Decreased significantly
- Not sure

20. With regards to the redistribution of the types of faculty appointments, what should be the faculty role in shifting types of appointments? (such as from full-time tenure track to off-track full time and to part-time)

- Faculty has no role
- Faculty should recommend, but the administration should decide
- Faculty and administration should decide together
- Faculty should determine
- Not sure

Demographic Questions

21. How many years have you been teaching at your current institution?

- 0-2 years
- 3-5 years
- 6-10 years
- 11-20 years
- 21 + years

22. Please indicate below the average number of hours you spend on independent research per week (research not related to your classroom activities).

- 0-5 hours per week
- 6-10 hours per week
- 11-20 hours per week
- 21-30 hours per week
- 31 or more hours per week

23. Please select the Professorial Rank below closest to your current rank.

- Professor
- Associate Professor
- Assistant Professor
- Other :

24. Select the answer below that matches your current tenure status.

- Tenured
- Tenure-track (non-tenured currently)
- Non-tenure track
- My institution does not have tenure

25. What is your Program Area/Discipline?

- Business
- Communication
- Education
- Engineering
- Fine Arts
- Health Sciences
- Humanities
- Mathematics
- Natural Sciences
- Social Sciences
- Other :

26. What is your gender?

- Female
- Male
- Other/Prefer not to answer

27. Please select your age range.

- 30 or below
- 31 - 50
- 51 - 70
- 71 and older

28. What is the name of your institution?

29. Final Comments you would like to express regarding faculty participation in decision making at your institution.

Appendix B

Interview Guide

1. Is this your first faculty position? If not, where else have you held faculty status?
2. Tell me about the role faculty play in making decisions at your institution.
3. Do you think faculty satisfaction with their role in governance has increased or decreased over the years?
4. What motivates faculty to participate in decision making?
5. How free do you think faculty are to take positions contrary to the administration?
6. Do you think faculty are excluded from decisions on this campus?
7. Tell me your thoughts on how faculty effect decision making at your institution?
8. How would you describe the relationship between faculty and administrators at your institution?
9. What would the ideal level of faculty involvement be in decision making in your opinion?
10. Is there anything that we haven't talked about that would give me insight into faculty role in decision making at your institution?

Appendix C

Email Text with Electronic Survey Link

Dear (Name),

My name is Marisa Moazen. I am a doctoral student in Higher Education Administration at the University of Tennessee. I am conducting a study on faculty role in higher education governance.

The purpose of this proposed research is to explore faculty perceptions of their ideal and actual governance role within higher education and their satisfaction in those roles. You have been identified as a full-time faculty member at (institution name).

Could you please take a few moments to complete an online survey?

Any information obtained during the course of this study will be kept confidential. All responses will be reported in aggregate as to not identify any one respondent. If you have any questions or concerns, please contact me at mgalick@utk.edu.

Your participation in this study is voluntary. Submission of this survey constitutes informed consent. Survey Link: <http://www.surveylink.sample>.

Sincerely,

Marisa Moazen

Doctoral Student

University of Tennessee, Knoxville, TN

mgalick@utk.edu

Appendix D

Informed Consent for Research Projects Involving Human Subjects

The following text will precede the electronic survey.

I understand that the purpose of this study was to explore faculty perceptions of their ideal and actual governance role within higher education and their satisfaction in those roles.

This study adopts a mixed methods approach using an online survey and in-depth interviews with full-time higher education faculty. Researchers will take field notes during and after interviews. All interviews will be audio-taped. The risks of harm anticipated in this proposed research are minimal. They are not greater than those encountered in daily life or during performance of routine physical or psychological examination or tests.

The confidentiality of each participant will be carefully preserved. To ensure confidentiality, pseudonyms will be used in field notes. Any information obtained from this study will be used for reporting purposes in aggregate form only. No reference will be made in oral or written reports which could link participants to the study.

Your participation in this study is voluntary. Submission of this survey constitutes informed consent.

VITA

Marisa Moazen has worked in the nonprofit and education fields since completing her Bachelors of Science degree in Finance at the University of Alabama in 1998 and Masters of Business Administration with a marketing focus in 2000. While attending the University of Alabama she was active in the University Programming Office holding a graduate assistantship after finishing her bachelor's degree. After completing her MBA, Marisa went to work in Knoxville, TN as the first executive director of The Joy of Music Youth Music School, an after school program for children who could not afford to participate in school music programs. After helping the organization to grow into its own space and become established, Marisa moved to Tusculum College as an administrator where she had been an adjunct professor of marketing since 2001. While at Tusculum, Marisa returned to school at the University of Tennessee for a degree in Higher Education Administration. While attending UT, Marisa began working for Oak Ridge Associated Universities in Science Education Programs managing internship and postgraduate programs. She completed her Doctor of Philosophy degree in Higher Education Administration in December 2012.