
CAUT University and College Governance Survey // Spring 2019

If post-secondary institutions are to fulfill their public responsibilities for the creation, preservation, and transmission of knowledge and for the education of students, academic staff must play the decisive role in making academic decisions and setting academic policy. This requires that Canadian universities and colleges have strong systems of shared governance. Academic staff associations have a role to play in strengthening these systems and in protecting and fostering the voice of the academic staff within them.

As part of the activities of the CAUT Executive Committee's Ad Hoc Working Group on Governance, the group is soliciting information on activities academic staff associations undertake, and the internal structures academic staff associations have developed, or anticipate developing in the near future, in support of their members' roles in the shared governance of their institutions. Below are a series of questions that the group would like associations to answer as one mechanism for collecting this information. Your Association's response will help to inform the Working Group's recommendations on potential resources and tools CAUT may develop to assist academic staff associations in their efforts to strengthen shared governance at their respective institutions.

Please answer this short survey, BY MAY 31, to inform our work in this area. We request that **one** response be submitted per association.

The CAUT will not share individual responses without consent. Aggregated results may appear in CAUT reports.

It will take approximately 30 minutes to complete the survey.

1. Name of Association

Most questions, which follow, assume a bicameral system of shared governance consisting of a senior academic body responsible for academic decisions and setting of academic policy – herein called a **Senate** – and a **Board of Governors** or equivalent body with final authority for administrative and financial matters. Some institutions have a unicameral system wherein a single governing body carries out all of these functions.

2. What system of governance does your institution have? (Select one)

- a. Bicameral
- b. Unicameral
- c. Other

3. Survey logic:

- **If the answer to 2 was (a), then for each of the two bodies the respondent should be asked:**

(Preamble):

Since you chose bicameral system, we will ask about both governance bodies at your institution. These questions will address the relationship between the two governance bodies.

- What are the names of the two governance bodies?*
- Does one of these two bodies hold more authority than the other? If yes, please state the name of the body with more authority.*
- (Pathway question if yes) Is the body with more authority limited to making recommendations (i.e. is it advisory only)?*
- Do members of the academic staff participate as members of the body?*
 - no*
 - yes but have little voice and no vote*
 - yes with voice but no vote*
 - yes, with voice and vote*
 - (Pathway question for b., c., and d.) What is the percentage of total voting members who are academic staff?*
 - <33%*
 - 33-50%*
 - 51-66%*
 - >66%*
 - (Pathway question for b., c., and d.) Which academic staff are represented? Please choose all that apply.*
 - Tenured*
 - Tenure- track*
 - Permanent, teaching-only*
 - Contract, limited-term academic staff*
 - Librarian/archivist*
 - Laboratory instructor*
 - Clinical faculty*
 - Others, please specify*

- **If the answer to 2 was (b), then for the single body the respondent should be asked:**

- What is the name of the governance body?*
- Do members of the academic staff participate as members of the body?*
 - no*
 - yes but have little voice and no vote*
 - yes with voice but no vote*
 - yes, with voice and vote*
 - (Pathway question for b., c., and d.) What is the percentage of total voting members who are academic staff?*

- <33%
 - 33-50%
 - 51-66%
 - >66%
 - (Pathway question for b., c., and d.) Which academic staff are represented?
Please choose all that apply.
 - Tenured
 - Tenure- track
 - Permanent, teaching-only
 - Contract, limited-term academic staff
 - Librarian/archivist
 - Laboratory instructor
 - Clinical faculty
 - Others, please specify
4. At your institution, overall, how strong is its system of shared governance, including through the meaningful participation by members of the academic staff in making academic decisions, setting academic policy, and influencing the overall academic direction of the institution? (Likert scale)
5. Please list the top three challenges at your institution with respect to effective shared governance. (List up to 3)

The following questions concern initiatives that your academic staff association has undertaken in the last five years, or that it plans to undertake within the next one to two years, to foster the voice of the academic staff and strengthen shared governance of the institution.

6. What initiatives concerning changes to institutional governance structures or processes has the Association spearheaded in the last five years? In formulating your answers, please consider any initiatives concerning Senate and/or the Board of Governors (or their equivalents), administrative search/evaluation/reappointment committees, budget and finance advisory committees, etc. If yes, you will be asked to rate the effectiveness of this effort on a scale of 1 to 5.
- a. Altering governance structures (e.g. clarifying, expanding or reclaiming authority, amending bylaws, advocating for different representation, removing barriers to equitable participation, establishing committees or subcommittees, etc.)
 - b. Altering governance procedures (e.g. introducing, changing or enforcing rules of order, altering agenda format, seeking the provision of data and reports, introducing or

- changing question period, other openness and transparency initiatives, establishing joint Board-Senate governance reviews or initiatives, etc.)
 - c. Influencing institutional policy (e.g. proposing amendments, initiating policy development or review, addressing Codes of Conduct, etc.)
 - d. Influencing long-range academic or institutional planning
 - e. Concerning Senate, Board and committee elections (e.g. engaging or encouraging candidates)
 - f. Concerning administrative search (e.g. advocating for open and transparent processes, advocating for appropriate academic staff and campus community representation on committees, etc.)
 - g. Concerning institutional budgeting (e.g. seeking the provision of data and reports, alternative budgeting, establishing Senate budget committees, etc.)
 - h. Spearheading Senate recommendations to the Board of Governors on administrative or financial matters (e.g. concerning matters of academic or institutional import)
7. What initiatives concerning changes to institutional governance structures or processes will the Association spearhead in the next 1-2 years? In formulating your answers, please consider any initiatives concerning Senate and/or the Board of Governors (or their equivalents), administrative search/evaluation/reappointment committees, budget and finance advisory committees, etc.
- a. Altering governance structures (e.g. clarifying, expanding or reclaiming authority, amending bylaws, advocating for different representation, removing barriers to equitable participation, establishing committees or subcommittees, etc.)
 - b. Altering governance procedures (e.g. introducing, changing or enforcing rules of order, altering agenda format, seeking the provision of data and reports, introducing or changing question period, other openness and transparency initiatives, establishing joint Board-Senate governance reviews or initiatives, etc.)
 - c. Influencing institutional policy (e.g. proposing amendments, initiating policy development or review, addressing Codes of Conduct, etc.)
 - d. Influencing long-range academic or institutional planning
 - e. Concerning Senate, Board and committee elections (e.g. engaging or encouraging candidates)
 - f. Concerning administrative search (e.g. advocating for open and transparent processes, advocating for appropriate academic staff and campus community representation on committees, etc.)
 - g. Concerning institutional budgeting (e.g. seeking the provision of data and reports, alternative budgeting, establishing Senate budget committees, etc.)
 - h. Spearheading Senate recommendations to the Board of Governors on administrative or financial matters (e.g. concerning matters of academic or institutional import)
8. Which of the following capacity-building activities does the Association provide members?
(Likert scale for each with frequency 1. Very often, often, sometimes, not very often, never)
- a. The Association monitors and analyzes information in the governance domain (e.g. regarding the institution's budget and finances, institutional policy, academic direction of the institution, impacts of governmental or legislative changes concerning academic work, etc.)

- b. The Association releases information resources, briefs, and newsletters in relation to institutional governance (e.g. regarding the institution's budget and finances, institutional policy, academic direction of the institution, impacts of governmental or legislative changes concerning academic work, etc.)
 - c. The Association provides supports, services and resources to foster effective participation of academic staff in governance (e.g. orientation, training or mentorship programs for new members on governing bodies, caucusing, workshops, seminars, conferences, etc.)
 - d. Other initiatives, including but not limited to member education and mobilizing initiatives (please specify)
9. How has your academic staff association dedicated resources to enhance the role of academic staff in governance? How, if at all, has it restructured itself? Please provide details.
- a. With respect to responsibilities assigned to staff of the Association
 - b. With respect to the structure of the executive committee and the duties of its members
 - c. With respect to committees of the Association
 - d. With respect to member-facing communication channels and governance-related messages
 - e. With respect to the Association's underlying organization model (e.g. through a transition to an organizing / mobilizing model)
10. Does the academic staff association have a formal role in institutional governance? (e.g. through ex-officio membership on governing bodies, a formal role in selecting academic staff members to sit on governing bodies, administrative selection committees, budget and finance advisory committees, etc.) Please provide details.

Survey logic: if yes, in what ways does the Association support these functions and the members in these formally-established roles?

11. Does the Association engage and/or lobby government officials or politicians with respect to university governance issues? (e.g. concerning related provincial legislation that establishes governing bodies, offices, and their powers, duties and functions) (Select all that apply)
- a. Yes, directly
 - b. Yes, indirectly through a provincial association

- c. Yes, indirectly through CAUT
- d. No

Survey logic: if yes (directly or indirectly), request details about recent or current specific lobby/engagement issues

12. Does your collective agreement contain any provisions concerning the shared governance of the institution? (e.g. with respect to the rights and/or responsibilities of academic staff members to participate in shared governance, with respect to governance bodies themselves, etc.)
(yes/no)
13. In recent collective bargaining rounds, what efforts has your Association taken to protect or enhance the rights of academic staff to participate in shared governance? Have these been successful?
14. What impediments does your Association face, if any, in strengthening governance at your institution?
15. In what specific ways could the CAUT support member associations' efforts to strengthen shared governance locally? Please describe any concrete suggestions for campaigns, services, resources, venues for fostering communication and cooperation, etc.
16. Are there any other issues related to the shared governance of your institution about which you would like to elaborate at this time?